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# UNDP GLOBAL ANTI-CORRUPTION INITIATIVE (GAIN) 2014-2017

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**UNDP GLOBAL ANTI-CORRUPTION  
INITIATIVE (GAIN)  
2014 – 2017**

**UNITED NATIONS DEVELOPMENT PROGRAMME (UNDP)**





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<b>ACAs</b>	Anti-corruption Agencies
<b>AusAID</b>	Australian Agency for International Development
<b>BPPS</b>	Bureau for Policy and Programme Support
<b>CCAs</b>	Common Country Assessments
<b>DFAT</b>	Department of Foreign Affairs and Trade
<b>ECOSOC</b>	United Nations Economic and Social Council
<b>GIZ</b>	German Agency for International Cooperation
<b>GOPAC</b>	Global Organization of Parliamentarians Against Corruption
<b>LDCs</b>	Least Developed Countries
<b>MDGs</b>	Millennium Development Goals
<b>MISA</b>	Media Institute of Southern Africa
<b>NORAD</b>	Norwegian Agency for Development Cooperation
<b>OECD</b>	Organisation for Economic Co-operation and Development
<b>PACDE</b>	Global Thematic Programme on Anti-Corruption for Development Effectiveness
<b>PETS</b>	Public Expenditure Tracking Survey
<b>PACT</b>	Programme for Accountability and Transparency
<b>POPP</b>	UNDP's Programme and Operations Policy and Procedure
<b>TI</b>	Transparency International
<b>UNCAC</b>	United Nations Conventions Against Corruption
<b>UNDAFs</b>	United Nations Development Assistance Framework
<b>UNECA</b>	United Nations Economic Commission for Africa
<b>UNESCO</b>	United Nations Educational, Scientific and Cultural Organization
<b>UNODC</b>	United Nations Office on Drugs and Crime
<b>WBI</b>	World Bank Institute



# UNDP GLOBAL ANTI-CORRUPTION INITIATIVE 2014-2017

**Programme Title:** Global Anti-corruption Initiative (GAIN)  
**Programme Period:** 2014 - 2017  
**Start Date:** 01 January 2014  
**End Date:** 31 December 2017  
**Virtual PAC Meeting:** 16 December 2013

**Total Budget:** **US\$ 16,000,000.00**

- Mobilized: **\$ 7,600,000.00**
- To be mobilized: **\$ 8,400,000.00**

**Expected Outcome(s)/Indicator(s):** Countries have systems, institutions and civic engagement mechanisms to better manage and deliver public resources and services.

## UNDP's Strategic Plan (2014-2017)

**Focus Area 2:** Inclusive and effective Democratic Governance

### GAIN'S OBJECTIVES:

- Objective 1:** Integrate anti-corruption solutions in service delivery to contribute to MDG acceleration and post-2015 development goals.
- Objective 2:** Strengthen state/institutional capacity to implement UNCAC and prevent corruption.
- Objective 3:** Mitigate corruption risks in climate finance and natural resource management.
- Objective 4:** Enhance civic engagement, youth and women's empowerment for increased transparency and accountability at national and local levels.
- Objective 5:** Improve results-based management and institutional effectiveness on anti-corruption.

### BRIEF DESCRIPTION

UNDP's Global Programme on Anti-Corruption for Development Effectiveness (PACDE) (2008-2013) came to an end on 31 December 2013 and was succeeded by UNDP's Global Anti-corruption Initiative (GAIN) (2014-2017), which builds on the ongoing initiatives of PACDE and commitments agreed with donors (such as Australia) to continue its work on MDG acceleration, service delivery sectors such as education, health and water, social accountability, gender, and support for the implementation of the United Nations Convention against Corruption (UNCAC) and strengthening anti-corruption agencies.

Building on the lessons learned from PACDE (2008-2013), GAIN adopts the following strategy to play a lead role in strengthening UNDP's policy and programming:

1. Expanding the political and normative agenda on anti-corruption to development plans by integrating anti-corruption in service delivery and other sectors (e.g., climate change and extractive industry);
2. Strengthening state/institutional capacities (the supply side of anti-corruption) to prevent and combat corruption (working with line ministries and oversight institutions including parliamentarians);
3. Promoting civic engagement and social accountability (the demand side of anti-corruption) through youth and women's empowerment and the participation of civil society and the media;
4. Improving results-based management and institutional effectiveness for effective implementation of anti-corruption initiatives and monitoring their results.

GAIN follows the strategies adopted by the UNDP Strategic Plan (2014-2017), which aims to revitalize South-South and triangular cooperation as a core means for programming and operations, strengthen partnerships and coordination both within and outside UN system for important global and regional development issues, and transform institutional effectiveness for high quality programmes, greater organizational openness, agility, and stronger results-based management. To promote coherence on anti-corruption policy and advisory support, GAIN will continue its joint activities and partnership with more than 15 internal (UNDP units and UN agencies) and external partners such as Australia, Norad, OECD, World Bank, U.S. State Department, the Principality of Liechtenstein, GIZ, U4 Resource Centre, Basel Institute on Governance, Transparency International (TI), Integrity Action, Global Organization of Parliamentarians Against Corruption (GOPAC), and Huairou Commission.





## Global Trend on Anti-Corruption

While questions remain on the impact of anti-corruption initiatives and whether or not corruption is on the decline, there has been tremendous movement on the anti-corruption discourse over the last two decades. There is increasing evidence that anti-corruption efforts are contributing to promote transparency and accountability in decision-making processes. While corruption is a difficult phenomenon to measure due to its complexity, there is more evidence emerging on the correlations between corruption indicators, and economic and human development indicators. Countries scoring low on corruption prevalence or perceptions tend to be countries that enjoy greater prosperity, opportunity, and individual liberty.<sup>1</sup>

Over the last two decades, anti-corruption was almost absent from the development policy agenda, minimally included in discussions on the Millennium Development Goals (MDGs) and sustainable development. Today, there is growing demand by citizens for greater transparency and accountability, and the near universal ratification of the United Nations Convention Against Corruption (UNCAC) (170 state parties as of 29 January 2014<sup>2</sup>) positively added to the global anti-corruption movement.

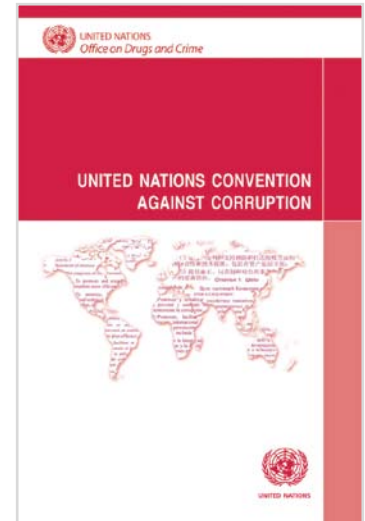
During the last five years, **UNDP's contribution to the global anti-corruption movement has been expanding the political policy and normative agenda on transparency and accountability and helping to make a link between anti-corruption and human development.** Consequently, anti-corruption is now being recognized as an essential ingredient in national and global development agendas such as the 2011 United Nations Conference on the Least Developed Countries, Group of 20 (G20) meetings, the 2012 United Nations Conference on Sustainable Development (also known as Rio+20), and United Nations Economic and Social Council

(ECOSOC) discussions and post-2015 consultations. Growing evidence of the adverse impact of corruption on development in recent years has reinforced the need to tackle corruption both nationally and globally if development is to be sustainable.

Despite significant progress on anti-corruption, corruption remains a major challenge for development. According to a recent study by Gallup, people in countries worldwide perceive corruption as a widespread problem. This includes countries with free press – an indicator of good governance and development – and those where media freedom is limited.<sup>3</sup> In many countries, the political will to fight corruption is very weak and the capacity to enforce new laws remains a work in progress, including the oversight and enforcement capacity of anti-corruption agencies. There is also a need to move the transparency agenda towards an increased focus on accountability. For example, significant progress has been made in demanding more transparency from governments – e.g., Publish What You Pay, the [Extractive Industries Transparency Initiative \(EITI\)](#), the Public Expenditure Tracking Survey (PETS), and asset declaration laws – but much more needs to be done to enforce these standards and tools and ensure more accountability. Moreover, there is a need for more guidance and knowledge tools showing good practices and approaches to effectively integrate transparency, accountability and integrity in ongoing development processes including the reform of the public service delivery sectors and mitigating and managing corruption risks in the natural resources sectors.

## Building on UNDP's global experience

During the past five years (2008–2013), anti-corruption has been one of the fastest growing policy service areas in UNDP. With support from the global and regional programmes, UNDP Country



There is increasing evidence that anti-corruption efforts such as the right to information are contributing to promote transparency and accountability in decision-making processes.

<sup>1</sup> "Does Transparency have a Payoff for Democratic Governance and Human Development? Exploring Initial Evidence from the Case of Latin America and the Caribbean," Working Document, Panama: UNDP Regional Service Centre for Latin America and the Caribbean, Berthin, Gerardo and Sandin Lotta (2011)

<sup>2</sup> UNODC, <http://www.unodc.org/unodc/en/treaties/CAC/signatories.html>.

<sup>3</sup> [http://www.gallup.com/poll/165476/government-corruption-viewed-pervasive-worldwide.aspx?utm\\_source=alert&utm\\_medium=email&utm\\_campaign=syndication&utm\\_content=morelink&utm\\_term=All%20Gallup%20Headlines](http://www.gallup.com/poll/165476/government-corruption-viewed-pervasive-worldwide.aspx?utm_source=alert&utm_medium=email&utm_campaign=syndication&utm_content=morelink&utm_term=All%20Gallup%20Headlines)



Offices (COs) have been at the forefront of providing anti-corruption support to their government counterparts and other partners. Its importance is driven in part by the nearly universal ratification of UNCAC and partly due to the realization by governments, donors, civil society organizations, the private sector and the development community that corruption is a major bottleneck for development.

Since 2008, the Global Thematic Programme on Anti-Corruption for Development Effectiveness (PACDE) has been UNDP's major vehicle through which it responded to the growing demand for technical assistance in anti-corruption. The objective of PACDE (2008-2013) was to promote greater policy coherence on anti-corruption and coordinate programming support to countries through Regional Service Centres and UNDP COs. Because of PACDE's global leadership on policy and advisory services, UNDP is now increasingly applying an integrated and multi-disciplinary approach to improve results and effectiveness of UNDP's anti-corruption programming at the regional and country levels. For example, UNDP's Results-oriented Annual Reports (ROARs) from 2011 and 2012 confirmed that more than 89 UNDP COs implemented anti-corruption initiatives in an integrated way across an array of UNDP governance thematic areas (such as strengthening public institutions, local governance, human rights and youth and civic engagement) and by integrating anti-corruption in various areas of development such as conflict prevention and reconstruction, climate change, health, education, water, MDG acceleration, and gender empowerment. ***This evidence clearly demonstrates the advantages of UNDP's integrated and interdisciplinary approach to tackling corruption in major areas of development.*** UNDP through GAIN needs to collect, disseminate and up-scale good practices on its integrated approach including deepening its work around understanding the impact of policy and programmatic interventions on gender empowerment on anti-corruption and vice versa.

## UNDP's Global Anti-corruption Initiative (GAIN) (2014-2017)

On 13 September 2013, the Executive Board of UNDP approved [UNDP Strategic Plan \(2014-2017\), \*Changing the World\*](#), whose overarching vision is 'to help countries achieve the simultaneous eradication of poverty and significant reduction of inequalities and exclusion.'

UNDP's work on anti-corruption cross-cuts all three development pathways of the new strategic plan – Sustainable Development, Democratic Governance and Resilience-building. More specifically, on voice and accountability, the new strategic plan envisioned that citizen's expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance (Outcome 2 of Strategic Plan). Moreover, the strategic plan also recognizes the vital role of institutions to progressively deliver universal access to basic services (Outcome 3 of Strategic Plan) and faster progress needed to reduce gender inequality and promote women's empowerment (Outcome 4 of Strategic Plan).

PACDE came to an end on 31 December 2013 and was succeeded by UNDP's Global Anti-corruption Initiative (GAIN) (2014-2017), which builds on the ongoing initiatives of PACDE and commitments agreed with donors (such as Australia) to continue its work on MDG acceleration, service delivery sectors such as education, health and water, social accountability, gender, and support for UNCAC implementation and anti-corruption agencies. Moreover, GAIN also takes into account the priorities of the new strategic plan including an increased focus in the area of extractive industry, climate change, bio-diversity, youth and gender empowerment, local/urban governance, post-2015 development agenda and strengthening institutional effectiveness and results-based management.

Building on the lessons learned from PACDE (2008-2013) and various regional strategies of UNDP, GAIN adopts **the following strategy** to play a lead role in strengthening UNDP's policy and programming:<sup>4</sup>

<sup>4</sup> Please see Figure 1 for reference.



- Expanding the political and normative agenda on anti-corruption to development plans by integrating anti-corruption in service delivery and other sectors (e.g., climate change and extractive industry);
- Strengthening state/institutional capacities (the supply side of anti-corruption) to prevent and combat corruption (working with line ministries and oversight institutions including parliamentarians);
- Promoting civic engagement and social accountability (the demand side of anti-corruption) through youth and women's empowerment and the participation of civil society and the media;
- Improving results-based management and institutional effectiveness for effective implementation of anti-corruption initiatives and monitoring their results.

GAIN also follows the strategies adopted by the UNDP Strategic Plan (2014-2017), which aims to revitalize South-South and triangular cooperation as a core means for programming and operations, strengthen partnerships and coordination both within and outside UN system for important global and regional development issues, and transform institutional effectiveness for high quality programmes, greater organizational openness, agility, and stronger results-based management.<sup>5</sup> To promote coherence on anti-corruption policy and advisory support, GAIN will continue its joint activities and partnership with more than 15 internal (UNDP units and UN agencies) and external partners such as Australia, Norad, OECD, World Bank, U.S. State Department, the Principality of Liechtenstein, GIZ, U4 Resource Centre, Basel Institute on Governance, Transparency International (TI), Integrity Action, Global Organization of Parliamentarians Against Corruption (GOPAC), and Huairou Commission.

The following table summarizes GAIN's priorities for the programme period (2014-2017).

*Table 1: Summary of GAIN's objectives and outputs*

Objectives	Outputs
1: Integrate anti-corruption solutions in service delivery to contribute to MDG acceleration and post-2015 development goals.	1.1: MDG acceleration strategies take into account corruption bottlenecks in targeted countries.
	1.2: Anti-corruption solutions integrated in service delivery systems (such as in health, education and water sectors).
	1.3: Anti-corruption solutions and experiences incorporated in global advocacy and policy processes.
2: Strengthen state/institutional capacity to implement UNCAC and prevent corruption.	2.1: UNCAC and anti-corruption mainstreamed in national development strategies and programmes.
	2.2: Civil society and other actors engaged in national dialogue and consultations on anti-corruption and UNCAC implementation.
	2.3: Measures to prevent and combat corruption are put in place by anti-corruption institutions.
3: Mitigate corruption risks in climate finance and natural resource management.	3.1: Corruption risks mitigation measures are integrated in REDD+ strategies or programme.
	3.2: Countries have transparent and accountable mechanisms and systems to manage revenues from their extractive industries.
4: Enhance civic engagement, youth and women's empowerment for increased transparency and accountability at national and local levels.	4.1: Multi-stakeholder networks, including youth and women networks, engaged in social accountability initiatives at the local and national level.
	4.2: Transparency, accountability and integrity measures are integrated in local/urban governance to improve service delivery.
5: Improve results-based management and institutional effectiveness on anti-corruption.	5.1: Results-based management practice is reinforced in anti-corruption programming.
	5.2: Knowledge and experience on anti-corruption is shared with countries globally.

<sup>5</sup> UNDP, *Changing with the World, UNDP Strategic Plan: 2014 – 17*.



# I. SITUATION ANALYSIS



Photo: UNDP. Anti-corruption dialogue with University students in DRC, December 2013.

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**An estimated \$148 billion dollars a year is lost by African countries alone due to corruption, and almost \$1 trillion dollars is paid in bribes every year, globally.**

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The global context on corruption is complex and presents both opportunities and immense challenges in combatting corruption. Corruption affects all aspects of organized society and endangers individual rights and freedom – from hindering rule of law to peace and security to sustainable development. Recognizing the detrimental impact of corruption on sustainable development and in an effort to address the growing scourge, countries signed up to the UN Convention Against Corruption (UNCAC) – the first international legal instrument against corruption that came into force in 2005. With 170 state parties as of 29 January 2014, UNCAC has been influential in enabling state parties to adopt national legal instruments against corruption, including anti-corruption laws and strategies, and establishment of anti-corruption institutions. The push towards UNCAC also coincided with the freedom of/right to information movement – where advocates strongly believed that right to information as a tool can assist media and civil society to expose corruption. Additionally, it supports a structural shift within the state to ensure greater transparency in the affairs of the state and better engagement between the

state and civil society to combat corruption.<sup>6</sup>

Despite the significant progress made globally in recent years, corruption continues to impede development and undermine democracy and rule of law. Evidence indicates that more money is lost due to corruption than ever before. For instance, a UNDP commissioned study on illicit financial flows (2010) shows that illicit financial flows from the Least Developed Countries (LDCs) increased from \$9.7 billion in 1990 to \$26.3 billion in 2008. Increasing levels of corruption are reinforcing the vicious cycle of corruption and inequality.<sup>7</sup> At present, the richest 1 percent of the people own about 43 percent of the world's wealth and the bottom 80 percent only share 6 percent. With income inequality widening within countries and globally,<sup>8</sup> corruption is also on the rise as the rich use corruption to maintain or increase their control of resources, and the poor

6 See UNCAC Civil society Coalition 10th anniversary of Right to Know Day (28 September 2012) <http://www.uncaccoalition.org/en/learn-more/resources/finish/3-coalition-statements/158-coalition-statement-on-asset-recovery-spanish.html> From the very beginning, right to information advocates recognized the important role it can play in combating corruption and other forms of wrongdoing. Indeed, this has been a very strong selling point for right to information laws in the face of sometimes skeptical governments. **Of particular note is Article 10 of UNCAC, which many advocates have interpreted as requiring States to adopt right to information laws.**

7 Jong-Sung You and Sanjeev Khagram (2004), 'A Comparative Study of Inequality and Corruption', The Hauser Center for Nonprofit Organizations and The John F. Kennedy School of Government, Harvard University, Working Paper No.22

8 HDRO (2013) 'Equity, Inequality and Human Development in a post-2015 framework' HDRO Research Paper





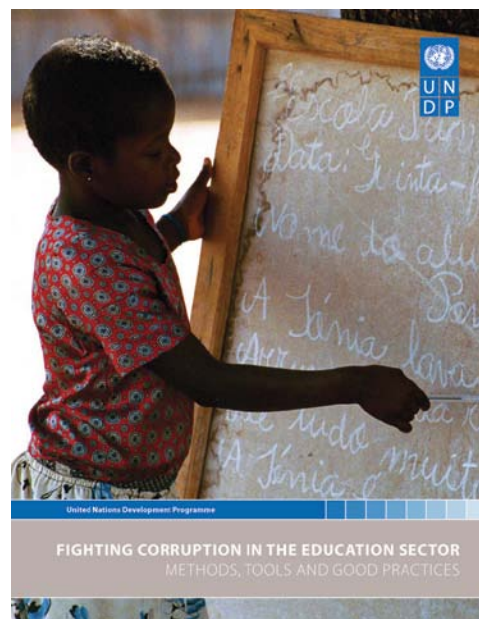
are forced to give in to petty corruption to access services. Corruption could also fuel inequality as poverty makes people vulnerable to corruption in electoral processes, and they could potentially sell their votes to maintain existing power structures.<sup>9</sup>

Similarly, poor governance – structural weakness, corruption, non-inclusive and non-transparent and unaccountable political systems – is limiting progress towards reducing inequalities and affecting people’s access to services.<sup>10</sup> The amount of money that is lost through corruption and mismanagement, which otherwise could be used for equitable development, is staggering. An estimated \$148 billion dollars a year is lost by African countries alone due to corruption,<sup>11</sup> and almost \$1 trillion dollars is paid in bribes every year, globally.<sup>12</sup> In addition, poor governance is also diverting financial gains from natural resources sector away from investment in jobs and local economic growth. The loss of resources due to weak institutions and systems could have been used for achieving the MDG goals<sup>13</sup> and for reducing men and women’s experiences of insecurity, disempowerment, and marginalization<sup>14</sup> that are exacerbated by income inequality. Further, corruption and lack of transparency and accountability poses a challenge for climate change funds management and equitable distribution of benefits from climate change mitigation and adaptation programmes.

To stem the immense losses through corruption, countries have put in enormous resources in investigating and prosecuting corrupt acts. But this focus has yielded limited impact as the success rates of prosecution and asset recovery remain low. On the other hand, corruption prevention has received

less emphasis compared to investigation and prosecution of corruption. Although many countries have adopted and implemented new anti-corruption laws and strategies and have established or re-organized their anti-corruption agencies, these efforts seem to have had only limited success. At the same time, raising inequalities and growing dissatisfaction with state efforts to address corruption is leading to increased public demand for responsive and accountable governments<sup>15</sup> – and in some cases, triggering social unrest or violent conflict. Arab Spring is one such example.<sup>16</sup>

Despite these limitations, fighting corruption is no longer taboo. It is a part of global and national development discourse. Evidence of the adverse impact of corruption on development has also helped give prominence to the need to tackle it. Governments are responding to growing demands to address corruption and promote transparency and accountability at the national and global level. State Parties to the UNCAC have adopted the “[Marrakech Declaration on Prevention of Corruption](#)” at the fourth Conference of State Parties in October 2011. State parties acknowledged that corruption endangers the achievement of MDGs and is a serious impediment to reducing poverty and therefore, have pledged to do more to prevent corruption. The Open Government Partnership is another significant example of governments’ growing commitment to promote transparency and accountability.<sup>17</sup> Similarly, through a resolution at the Human rights council,



**State parties to the UNCAC acknowledged that corruption endangers the achievement of MDGs and is a serious impediment to reducing poverty and therefore, have pledged to do more to prevent corruption.**

9 See Jong-Sung You and Sanjeev Khagram (2004), ‘A Comparative Study of Inequality and Corruption’.  
 10 See UNDP (2010), ‘The path to achieving the Millennium Development Goals: A synthesis of evidence from around the world’, June 2010. See also the series of global and regional reports prepared for UNDP Democratic Governance Community of Practice Meeting 15-19 February 2012 in Dakar, Senegal.  
 11 African Union (2002)  
 12 World Bank (2004)  
 13 For example, based on official UN estimates, \$ 30 billion is required annually to meet Education for All targets; annually \$ 25 billion is needed to fight HIV/AIDS; \$ 30 billion is needed per year to eradicate hunger; an estimated \$ 18 billion is required annually to improve water and sanitation, and; an estimated \$ 55 billion per year is needed in infrastructure investment.  
 14 See discussions on Multidimensional Poverty Index at <http://hdr.undp.org/en/statistics/mpi/>.

15 UNDP (2012) Governance for Peace.  
 16 There have been socio-political movements against corruption in Brazil, India, Russia, and Thailand among others. China’s communist party has also declared that addressing corruption is a priority.  
 17 Initially founded by eight governments in 2011, currently 55 countries are committed to strengthening partnerships with civil society and implementing concrete action plans to promote transparency and accountability in all aspects of public administration.



Photo: UNDP. Commemoration of the International Anti-Corruption Day, Bangkok, Thailand.

member states also acknowledged that corruption is an enormous obstacle to the realization of all human rights — civil, political, economic, social and cultural, as well as the right to development.<sup>18</sup>

The importance of addressing corruption and promoting transparency and accountability for furthering sustainable development was recognized at several international forums, including the [2010 MDG Summit](#), the [Rio+20 Summit on Sustainable Development](#)<sup>19</sup> and more recently by the [Secretary-General's High-Level Panel of eminent persons on the Post-2015 Development Agenda](#). The outcome documents of these summits and processes stress the importance of addressing corruption and increasing transparency and accountability in decision making, management of public resources, and protection of the environment. They

also reaffirm the need for countries and development actors to leverage development co-operation and achieve development effectiveness by forging new partnerships to promote transparency and accountability.<sup>20</sup> As presented above, the global context of corruption is complex and multi-dimensional. It provides hope and opportunities in the form of government commitments, increased engagement of non-state actors, establishment of new networks and a general thrust towards collective action to address corruption. It also presents challenges – from increasing illicit financial flows, economic crises, poor governance, and rising inequality – all of which make managing and preventing corruption a tall order. This context does not call for a single approach to address corruption but confirms the position of the UNCAC, which stressed a comprehensive multi-sectoral and multi-stakeholder approach to make an impact on corruption and consequently address other development challenges.

18 OHCHR, "The Human Rights Case Against Corruption" at <http://www.ohchr.org/EN/NewsEvents/Pages/HRCASEAgainstCorruption.aspx>

19 Others major conferences such as the [Istanbul Programme of Action \(IPoA\) of the fourth Conference of the Least Developed Countries \(LDC-IV\)](#) also stresses on the importance of the fight against corruption for achieving sustainable development.

20 See [Busan Partnership for Effective Development Co-operation](#) (November 2011)

## II. UNDP'S NICHE AND COMPARATIVE ADVANTAGES ON ANTI-CORRUPTION



UNDP's niche and comparative advantages on anti-corruption come from its global development network, presence in 177 countries and territories and with Country Offices in 136 countries and its more than two decades of experience on anti-corruption programming. UNDP was one of the pioneer organizations in the early 1990s in developing programmes to address and curb corruption. This, in some cases, implied shifting focus from traditional (neutral) public administration reform concerns to confronting more politically sensitive areas that are at the core of good governance. The first generation of UNDP's country level programmes on accountability, transparency and integrity were reinforced by the Programme for Accountability and Transparency (PACT) implemented at the global level. The PACT was guided by UNDP's corporate policy paper 'Fighting Corruption to Improve Governance' (1998), which highlighted corruption as a development issue. Since then, UNDP has remained a leading provider of anti-corruption technical cooperation within its democratic governance portfolio. The advent of UNCAC in 2005 provided a new opportunity for UNDP to mainstream anti-corruption within a governance and development framework.

In 2008, UNDP's Strategic Plan 'Accelerating Global Progress on Human Development' (2008-2013) reaffirmed that the basis of UNDP's support on governance and anti-corruption is to support the achievement of internationally agreed development goals such as MDGs. In this regard, UNDP focuses on the eradication of poverty, supporting equitable and sustained economic growth, fostering democratic governance, promoting gender equality, and encouraging capacity building for human development. UNDP's comparative advantages thus stem from the fact that UNDP views corruption and poor governance as a major bottleneck to the achievement of development goals, including the MDGs.

To achieve the objectives of UNDP's Strategic Plan (2008-2013), to respond to the growing demand (from partners and UNDP Country Offices), UNDP

developed the **Global Thematic Programme on Anti-Corruption for Development Effectiveness (PACDE)** (2008-2013). PACDE was built upon UNDP's experiences in strengthening democratic institutions, promoting inclusive participation including women's empowerment, civil society, community and youth engagement, strengthening responsiveness and accountability of public institutions, and promoting programming countries' compliances to the international norms and standards such as UNCAC. The programme was anchored in the operating principles for development effectiveness namely national ownership, capacity development, effective aid management and South-South cooperation.

More specifically, PACDE focused on clarifying UNDP's niche and policies, putting in place the global and regional management architectures, building UNDP and partner countries' capacities through regional training programmes and initiatives, establishing and strengthening regional networks and service delivery platforms, increasing knowledge and awareness, and enhancing coordination and cooperation with relevant internal and external partners.

PACDE was instrumental in setting the foundation for up-scaling UNDP's anti-corruption work, particularly linking UNDP's work with other development initiatives, pilot testing and up-scaling anti-corruption projects and improving the results-based management and reporting of UNDP's anti-corruption work. For instance, now that UNDP has clear policy guidelines to develop anti-corruption programmes that emphasize integrating anti-corruption measures in national development frameworks and strategies such as United Nations Development Assistance Framework (UNDAFs)<sup>21</sup>, MDG plans, Poverty Reduction Strategies, etc., the demand from UNDP Country

<sup>21</sup> The United Nations Development Assistance Framework (UNDAF) is a programme document between a government and the United Nations Country Team that describes the collective actions and strategies of the United Nations to the achievement of national development. UNDAF is prepared on a four year cycle basis and through participatory and consultative process with government and civil society actors. As part of UNDAF, Governments are expected to incorporate the UNDAF into national development framework. The UNDAF roll-out countries are pre-determined by their UNDAF cycles.

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UNDP views corruption and poor governance as a major bottlenecks to the achievement of development goals, including the MDGs.

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Offices for programming support has increased tremendously with more than 100 UNDP COs having anti-corruption interventions in 2011 and 2012. UNDP also takes the lead in mitigating corruption risks in emerging issues such as climate change. On the implementation of the normative agenda, UNDP, working together with UNODC, also encouraged state parties to **go beyond the minimum** treaty requirement of UNCAC review by encouraging UNCAC gap-analyses and self-assessments through multi-stakeholder engagements (with civil society organizations and media, among others) to contribute to broader policy reforms at the national level.<sup>22</sup>

More specifically, the following areas reflect UNDP's niche and comparative advantages on anti-corruption:

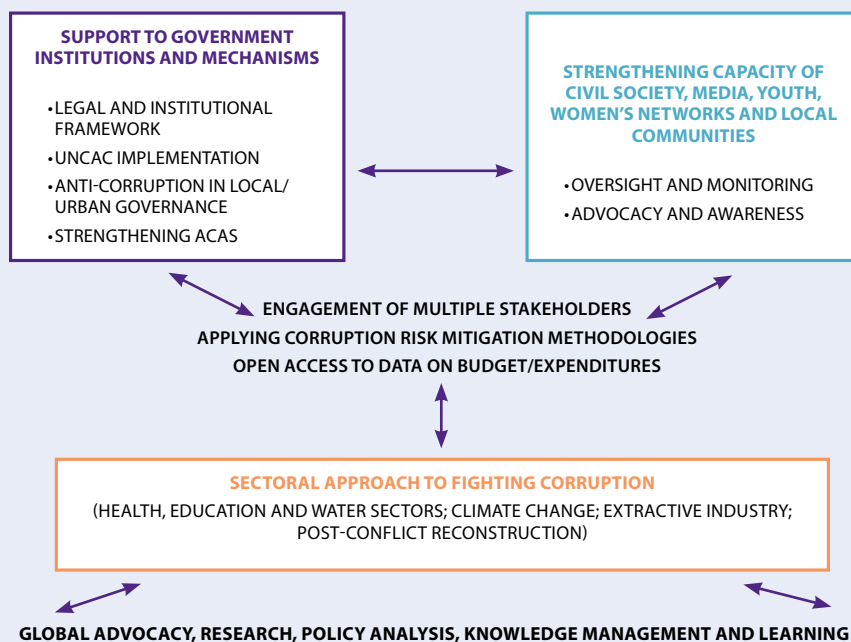
1. With its longstanding engagement on strengthening institutions and supporting

governance reforms, UNDP's main area of strengths is supporting the prevention of corruption. UNDP is increasingly applying its governance approach to preventing corruption by integrating anti-corruption with other areas of governance support such as public administration reform, legal reforms, local governance, youth and women's empowerment, and strengthening civil society and media.<sup>23</sup>

2. Being the UN's largest development network, UNDP has an ability to expand the normative agenda on anti-corruption such as UNCAC to a development plane by increasingly applying an integrated and multi-disciplinary approach to tackling corruption in major areas of development. UNDP has taken a lead globally in developing and implementing risk mitigation methodologies to integrate transparency, accountability and integrity into service delivery sectors (e.g., education, health and water sectors), climate change, local governance and post-conflict reconstruction in more than 40 countries.

3. UNDP's strength also lies in implementing a comprehensive approach that focuses on strengthening state/institutional capacity (the supply side of anti-corruption), facilitating the multi-stakeholder engagement with civil society, community, youth and women's groups to provide monitoring and oversights to these reforms (the demand side of anti-corruption), applying multi-disciplinary approach to reduce corruption risks by integrating transparency, accountability and integrity measures in various areas of development, and strengthening advocacy, results and knowledge management (please see Figure 1 left).

Figure 1: UNDP's integrated approach to anti-corruption



22 Please note that the participation of civil society in UNCAC review process is optional. Similarly, it is up to the state parties to make the UNCAC review report public. Only a summary of the report is made public. These are two main reasons why UNDP developed going beyond the minimum methodology.

23 UNDP's Results-oriented Annual Reports (ROARs) from 2011 and 2012 confirmed that more than 89 UNDP COs implemented anti-corruption initiatives in an integrated way across other governance thematic areas of UNDP.



# III. LESSONS LEARNED FROM PACDE (2008-2013) AND RATIONALE FOR GAIN (2014 – 2017)



Over the years, UNDP has learned several valuable lessons in the promotion of transparency and accountability and addressing corruption. These include:

**1. Importance of investing in corruption prevention:**

While prosecution of acts of corruption is important for curbing impunity, UNDP's work in the area of anti-corruption has shown that investing in short, medium and long term strategies to prevent corruption is equally important as they may reduce **the risks of corruption**. Corruption prevention calls for coordination not only between different branches of the state and horizontal accountability, but also vertical accountability to enhance the capacity of media, civil society and private sector in exposing corruption, putting pressure on enforcement, and promoting transparency and accountability. This is one of the reasons why UNDP strategic plan (2014 – 2017) aims to pay close attention to the connections that exist between democratic governance including anti-corruption and sustainable development and resilience-building against economic and environmental shocks.<sup>24</sup>

**2. UNCAC as a means, but not an end itself:**

UNCAC is an instrument that sets global standards and a legal framework for the fight against corruption. The implementation of UNCAC continues to provide an opportunity for broader reforms to curb corruption and improve governance. UNCAC is also a strategic framework to promote preventive measures as well as enable sharing information on implementation between countries and non-state actors. UNDP along with partner organizations such as UNODC should continue providing comprehensive support for full implementation of the UNCAC provisions, but in particular focus on preventive measures.

One important lesson learned from UNCAC is that it should be utilized as an opportunity to expand its scope for governance reform by engaging multiple stakeholders (e.g., civil society, media, parliamentarians, private sector, etc.), as opposed to merely limiting it as the state's obligation to report for compliance.

**3. Support to anti-corruption agencies (ACAs) could be a good entry point on anti-corruption, despite criticism that these agencies have limited impact:**

Once seen as an important institution in the fight against corruption, ACAs are now seen as having little to no impact and are also being politicized in many countries. Anti-corruption agencies are one important piece of the anti-corruption system, as they can play a coordinating role in UNCAC implementation as well as guide and monitor anti-corruption policy. There is a need to invest in both institutional capacity as well as improving the political and legal environment to enable ACAs to perform their role effectively. In general, ACAs play an important role in preventing corruption through system audits, integrity assessments of sectors and enforcing and monitoring integrity standards.

**4. Transparency and accountability are mutually reinforcing:**

Improving transparency needs to go hand in hand with efforts to enhance accountability of both public and private institutions. Popular demands for transparency resulted in a big push in the last two decades to make official information more accessible, through the right to and access to information laws and the rapid expansion of information and communication technologies (ICTs) and social media. But transparency has not always led to an increase in government accountability in enforcing standards, nor in utilizing data and information for policy reform,

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Popular demands for transparency resulted in a big push in the last two decades to make official information more accessible, through the right to and access to information laws and the rapid expansion of ICTs.

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<sup>24</sup> UNDP, "Changing with the World", UNDP Strategic Plan 2014 – 17.



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The selected approach to fighting corruption is challenged by coordination failure and the lack of knowledge across sectors commonly referred to as the 'missing middle'.

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monitoring and improving service delivery. Experience also points to a variety of accountability mechanisms at formal and informal levels that need to reinforce one another in order to promote transparency, participation and collaboration. In addition, the private sector also has a role in promoting transparency and accountability, particularly in macro and micro economic policy settings.

**5. The sectoral approach to fighting corruption has a “missing middle problem”:**

While approaching corruption from a holistic angle can be preferable, sometimes a targeted approach is more realistic and practical. Sectoral anti-corruption interventions, such as in water, education and health, could potentially mitigate corruption risks in climate change, and integrate transparency and accountability in the management of natural resources, local governance reforms, and within peace-building and state-building initiatives. However, UNDP experiences show that the implementation of a sectoral approach is challenged by coordination failure and the lack of knowledge across sectors commonly referred to as the 'missing middle'. While there is required expertise in the area of anti-corruption and in relevant sectors, it is often hard to find an expert with knowledge of both anti-corruption and a particular sector. Thus, there is a need for more knowledge, tools and methodologies to guide integration of anti-corruption in respective sectors and also documenting lessons learned from various programmes around the world.

**6. Anti-corruption is a process and often results are not immediately visible:**

Over the past two decades, there has been progress in the fight against corruption in terms of advocacy and awareness, systems, norms, frameworks, legal tools, net-

works, internet technology, and enhanced anti-corruption strategies. In spite of these efforts, various studies, perceptions of corruption show that the prevalence of corruption still remains very high in many countries. Some would also argue that there are more failures than successes in the area of anti-corruption. Many studies point out the weaknesses in results-based management such as in context analysis, prioritization, planning and implementation, and results reporting. Most anti-corruption initiatives are also criticized for not having a theory of change (TOC) to inform and guide the programme and initiatives to strengthen their results. Moreover, many assessments and reviews were critical of the fact that most development initiatives have been ad-hoc and lacking a long-term sustainable approach starting with a pilot programme, up-scaling it and then capturing results to feed back into the knowledge loop.<sup>25</sup> One obvious lesson learned is that while the last decade has seen a rise in the efforts by governments, donors, civil society actors, and multilateral agencies to address corruption – there has been very little investment in gathering evidence on what works and what doesn't work. This lack of knowledge limits the ability of stakeholders to improve their anti-corruption efforts and have an impact on reducing corruption. Therefore, an investment in learning and knowledge management in the area of anti-corruption is necessary.

**7. There needs to be a gender-based approach to addressing corruption:**

Most global anti-corruption discourses tend to assume that corruption is gender neutral. However, [UNDP's 2011 study on grassroots women experiences with corruption and anti-corruption](#) has identified

25 AUSAID, Australian Multilateral Assessment, March 2012; DFID, "Multilateral Aid Review: United Nations Development Programme", February 2011; and PACDE Mid-term review, 2011.



that women’s experience with corruption is different, in particular when accessing services. There is a need for adopting specific strategies to address the gender-dimension of corruption as well as implement strategies that will increase grassroots women’s awareness of their rights and entitlements, strengthen their ability to organize, and undertake collective action to address corruption. Moreover, there is also a need to deepen the understanding of the impact of policy and programmatic interventions on anti-corruption to gender empowerment and vice-versa.

**8. Policy and programme support plays a critical role in improving impact and results on the ground:**

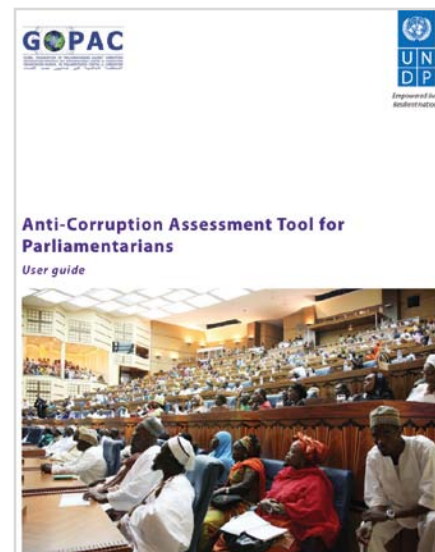
One of the major lessons learned from PACDE (2008 – 2013) is that policy and programme support through a global initiative plays an important role in aligning global, regional and country efforts, enhancing coordination with major partners, and strengthening results-based management, oversight and quality assurance to demonstrate impact at the country level. Moreover, policy and programme support combined with seed funding for innovations and up-scaling initiatives can contribute to increasing the effectiveness of anti-corruption initiatives.

With the above mentioned lessons learned, the rationale for UNDP’s continued work on anti-corruption and implementation through GAIN (2014 – 2017) can be summarized as follows:

1. There is a need to have a global anti-corruption initiative to respond to the increased demand from programming countries and partners for policy, advisory and programme support. In this regard, building on the success of PACDE (2008-2013), GAIN will continue supporting a global anti-corruption architecture to promote regional and

country level efforts. GAIN’s coordination role at the global level, its support to regional and country level strategies, as well as its policy advice and dialogue can be a strategic means to leadership on policy strategy, research and analysis and provide guidance in programming, promote inter-regional knowledge sharing, and enhance consistency, coherence and effectiveness of UNDP’s anti-corruption programming.

2. UNDP needs to sustain the momentum created by PACDE (2008-2013) in terms of its support to an array of initiatives, which are now in the process of being scaled-up with support from other partners and donors. UNDP’s continued support will be important to promote a sustainable approach to anti-corruption programming. For example, UNDP is taking the lead globally to promote sector-wide approaches to address corruption bottlenecks and promote transparency and accountability along the value chain. As mentioned above, more than 30 UNDP Country Offices and their counterparts are implementing sector-wide approaches that respond to the national context. Corruption bottlenecks were identified through Corruption Risk Assessment Methodologies, and action plans that address identified gaps and risks were implemented to improve service delivery and decrease corruption risks in health, education and water sectors. Lessons learned from these three sectors need to be applied in other sectors such as access to justice and agriculture sector. With UNDP’s lead, corruption risk assessments are also an integral part




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**There is a need to have a global anti-corruption initiative to respond to the increased demand from programming countries and partners for policy, advisory and programme support.**

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of REDD+ implementation, which aims to reduce corruption risks in the management and distribution of climate change funds. This methodology is also currently being integrated in UNDP's initiatives to manage extractive industry. UNDP also supports mainstreaming of anti-corruption in local governance through the Transparency and Accountability in Local Governance **(TRAALOG) Initiative**, focusing on supporting transparency and accountability in public services at the sub-national level.

3. There is a need to maintain strategic partnerships with key partners to sustain and maximize the impact of anti-corruption efforts. Together with UNODC, UNDP is actively coordinating with other partners at global, regional and county levels on anti-corruption and is taking the lead to bring various UN agencies and organizations together to integrate anti-

corruption in UN programming processes through the UNDAF and a dedicated web-portal ([www.anti-corruption.org](http://www.anti-corruption.org)).

4. More importantly, GAIN has been developed in line with UNDP's strategic plan titled **"Changing with the World (2014-2017),"** which aims to address complex and inter-related causes that contribute to growing inequality and exclusion by promoting sustainable human development, strengthening democratic governance systems, and building the resilience of societies and individuals. Within this broad focus, the strategic plan – drawing on UNDP experience and building on the outcomes of several global, regional and country inputs – places specific emphasis on building the integrity of public institutions to manage resources and implement sustainable development policies.



Photo: UN Global Compact. Speaker on the High Level Panel on the role for Anti-Corruption & Governance in the post 2015 development agenda, 25 September 2013, New York.





The implementation of GAIN (2014-2017) will be based on the following five guiding principles:

### a) Continuing the on-going initiatives and building on the successes of PACDE (2008-2013)

During the last five years, UNDP through the PACDE programme has been leading the key flagship activities on anti-corruption, which have contributed significantly to raising awareness on the negative impact of corruption on development and bringing anti-corruption at the centre stage of global and national development discourse. These ongoing flagship activities have to be continued in order to sustain the impact in the long-term. Figure 2 presents five ongoing flagship initiatives on anti-corruption spearheaded by UNDP. UNDP successfully brought together various partners to develop corruption risk mitigation methodologies, which are currently being applied in health, education and water sectors in more than 30 countries. The main objective is to strengthen transparency, accountability and integrity in the public sector with an objective of enhancing service delivery and preventing corruption.

To integrate anti-corruption in various areas of development, UNDP has also brought together various UN agencies to have a common approach on anti-corruption through an anti-corruption course dedicated for UNDAFs<sup>26</sup> and an interagency web-portal ([www.anti-corrupton.org](http://www.anti-corrupton.org)), which aims to serve as a one-stop shop for sectoral and country level information on anti-corruption. UNDP also has standard training modules and knowledge products for capacity development of national anti-corruption institutions, civil society and media. UNDP, working together with UNODC and other partners, is also leading the Interna-

tional Anti-corruption Day Campaign, which has reached more than 300 million people since 2009.

In addition, UNDP's strong country level presence bolstered by its regional centres and headquarters has enabled UNDP to facilitate knowledge-sharing within and between countries thereby promoting South-South and triangular cooperation. GAIN adopts **South-South and triangular cooperation** as an operational strategy to achieve its objectives. GAIN will continue working together with partners such as the members of the advisory committee to maximize and leverage resources for sustainability and impact of its initiatives.

More importantly, continuation of activities initiated under PACDE (2008-2013) is also due to the fact that **UNDP has to honour various cost-sharing agreements and programming cooperation frameworks signed with donors to deliver on specific priorities and activities**. For example, in 2012, UNDP, signed a cost-sharing agreement of USD \$10.6 million for four years (2012-2015) with AusAID<sup>27</sup> to implement activities related to three specific objectives of PACDE: (1) To Accelerate MDG achievement and reduce poverty through addressing corruption bottlenecks; (2) To mainstream UNCAC and anti-corruption into national development processes; and (3) Strengthen the capacity of anti-corruption agencies (ACAs). Objectives 1, 2 and 4 of GAIN are directly linked with the three aforementioned objectives outlined within the partnership framework with DFAT (formerly with AusAID). Objectives 3 and 4 are linked to the support provided by Norway and Liechtenstein. GAIN will continue to closely coordinate with partners and donors to mobilize additional resources to ensure sustainability of the initiative.

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UNDP has brought together various UN agencies to have a common approach on anti-corruption through an anti-corruption course dedicated for UNDAFs.

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<sup>26</sup> This course will build synergies with the human rights based approach, which emphasizes the role of accountability mechanism to reinforce development.

<sup>27</sup> In 2013, AusAID was dissolved and integrated into the Department of Foreign Affairs and Trade (DFAT) of Australia.

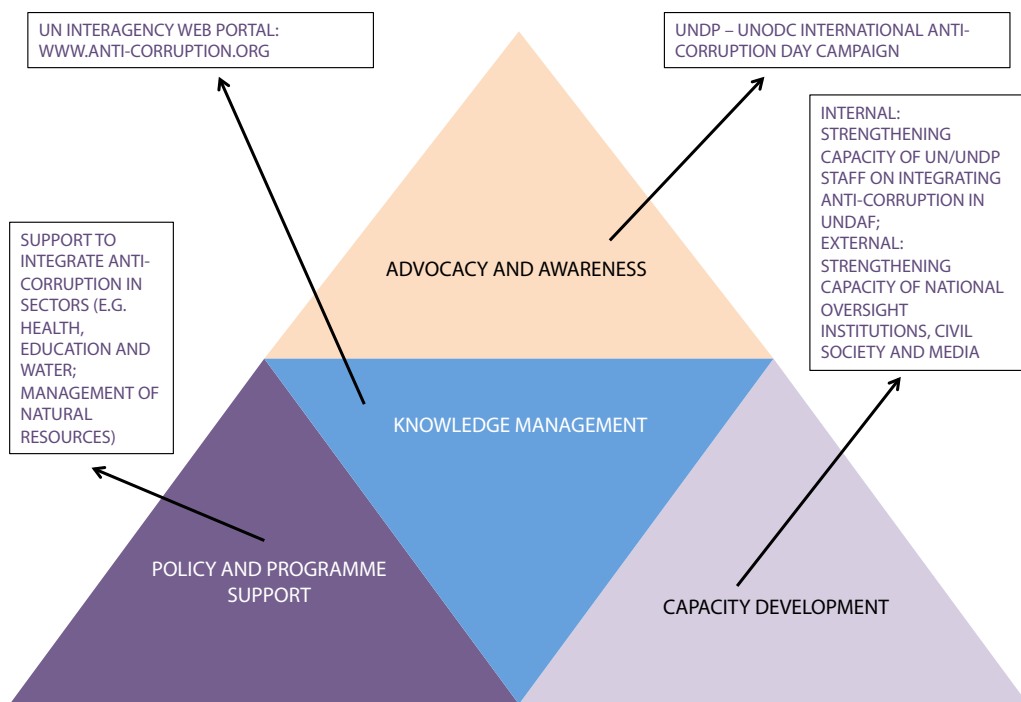
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**GAIN adopts South-South and triangular cooperation as an operational strategy to achieve its objectives as envisaged by the UNDP Strategic Plan (2014-2017).**

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Figure 2: UNDP's key flagship activities on anti-corruption



**b) Realigning major priorities of PACDE (2008-2013) with UNDP strategic plan (2014-2017)**

In September 2013, the Executive Board of UNDP approved the Strategic Plan (2014-17), *Changing with the World*. UNDP also developed a UNDP Global Programme (2014-2017) in support of the new strategic plan vision 'to help countries achieve the simultaneous eradication of poverty and significant reduction of inequalities and exclusion.' Thus, the objective of GAIN is to align its existing priorities with the new strategic plan priorities and its approach and to reinforce policy and programme support envisioned by the Global Programme.

The strategic plan (2014-2017) proposes to concentrate on three substantive areas of work: how to adopt sustainable development pathways; how to build and/or strengthen inclusive and effective democratic governance; and how to build resilience. Each of these areas of work, when applied together, aims to contribute to the seven outcome

areas of the strategic plan. Particularly, on voice and accountability, the new strategic plan envisions that citizen's expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance (Outcome 2 of Strategic Plan). Moreover, the strategic plan also recognizes the vital role of institutions to progressively deliver universal access to basic services (Outcome 3 of Strategic Plan) and faster progress needed to reduce gender inequality and promote women's empowerment (Outcome 4 of Strategic Plan).<sup>28</sup> As shown in the following graph, although the main contribution of GAIN to the strategic plan is through Outcome 2 of strategic plan (voice and accountability) and output 2.2 (anti-corruption)<sup>29</sup> under the Democratic Governance pathway, UNDP's work on anti-corruption cross-cuts all three development pathways of the new strategic plan – Sustainable Development, Democratic Govern-

<sup>28</sup> UNDP, *Changing with the World, UNDP Strategic Plan: 2014 – 17*.

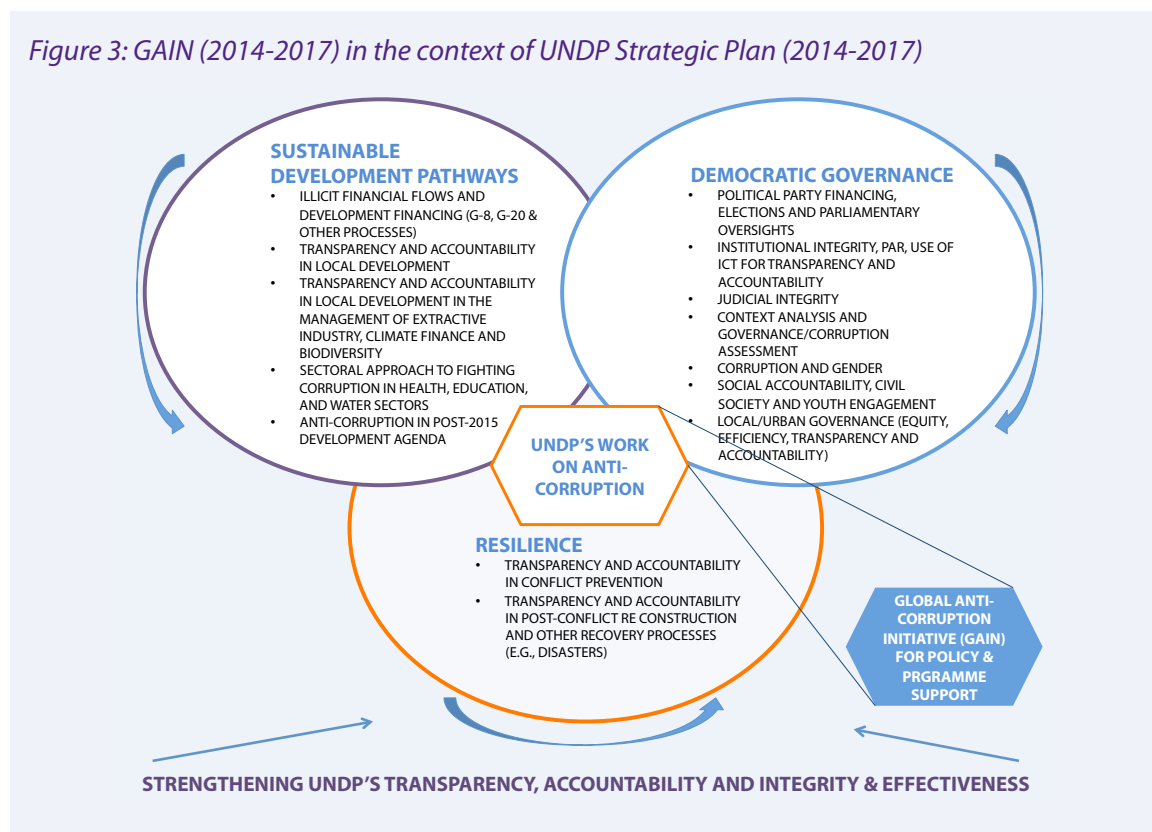
<sup>29</sup> UNDP Strategic Plan Output 2.2: Institutions and systems enabled to address awareness, prevention and enforcement of anti-corruption measures across sectors and stakeholders.



nance and Resilience-building. Similarly, GAIN will also contribute to the strategic plan’s objective of improving institutional effectiveness making UNDP a more open, adaptable and agile institution by focusing on a systematic, organization-wide investment for improved RBM to improve quality, robustness and performance.

to strengthen multi-stakeholder engagement by providing technical support to government institutions, system and processes (the supply side of anti-corruption) as well as various mechanisms for civic engagement (the demand side of anti-corruption).

Figure 3: GAIN (2014-2017) in the context of UNDP Strategic Plan (2014-2017)



**c) Reinforcing an integrated and multi-disciplinary approach**

As shown in Figure 1, UNDP has a comparative advantage in applying an integrated and multi-disciplinary approach to prevent corruption by embedding corruption risk mitigation methodologies as well as norms and standards on anti-corruption in various programming processes and areas of UNDP’s work. This approach will also encourage UNDP’s interagency collaborations and partnerships to use ‘**anti-corruption as a UN programming principle**’ by integrating anti-corruption in UNDAF processes. Moreover, an integrated and multi-disciplinary approach also aims

**d) Pursuing youth and gender empowerment as an engagement principle**

The UNDP Strategic Plan (2014-2017) clearly acknowledges the importance of engaging citizens, especially women and youth in development planning and policy reforms. It recognizes the pivotal significance of gender equality and women’s empowerment in achieving sustainable human development, which will not be fully achieved unless women and girls are able to contribute on an equal basis with men and boys to their societies. The UNDP Gender Equality Strategy also stresses on the importance of women’s empowerment for achieving objectives in all its areas of work (poverty



Photo: UNDP. Women participating on the Commemoration of the International Anti-Corruption Day, December 2013, Khartoum, Sudan.

reduction, democratic governance, crisis prevention and recovery and the environment and sustainable development). All policies, programmes and projects developed and implemented by UNDP pay specific attention to promoting gender equality and women's empowerment. UNDP's anti-corruption work has already integrated gender consideration in its programming. For example, in 2011, UNDP conducted research on the impact of corruption on women and also supported 11

women's grassroots organizations to develop and implement anti-corruption initiatives working together with the Huarion commission – a global coalition that empowers grassroots women's organizations. UNDP has also taken measures to ensure gender balance in anti-corruption trainings as well as strengthening the capacity of anti-corruption.

Similarly, UNDP has engaged youth through a competition to develop and launch the theme of the 2013 international anti-corruption day, and has involved them in the implementation of its social accountability and sector projects such as mitigating corruption risks in health, education and water sectors. GAIN will continue its focus on building synergies between fighting corruption and women's empowerment through advocacy, research and studies and by supporting grassroots women's organizations. Moreover, PACDE's support to country pilots will also look into whether country level projects have prioritized women's engagement and empowerment, in addition to youth and community level organizations. Similarly, GAIN will also continue its engagement with youth to raise awareness, strengthen networks and capacities to prevent corruption and institutionalize transparency, accountability and integrity through youth leadership.

#### e) Strengthening results-based approach to development solutions

As mentioned above, integrating anti-corruption in a particular sector such as climate has a "missing middle" problem, meaning that there are needs to develop a common understanding of the problem between anti-corruption and sector-specific practitioners. Moreover, in order to ensure the effectiveness of any approach, it requires a pilot-testing

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**PACDE's support to country pilots will also look into whether country level projects have prioritized women's engagement and empowerment, in addition to youth and community level organizations.**

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and then up-scaling successful initiatives by securing national and local ownerships. Moving from a pilot to a full-fledged initiative is often a missing link in many development efforts, which often stop at the pilot phase without being successfully up-scaled or without any lessons learned contributing to the revision of methodology, approach and indicators of successes.

GAIN (2014-2017) will thus apply a results-based approach to development solutions while implementing its initiatives. GAIN will start providing more guidance to identify and prioritize corruption risks to develop and implement a risk reduction plan. Risk mitigation methodologies will be developed to build a common understanding between different disciplines and create a critical mass to put these methodologies into practice. This will require training both sectoral and anti-corruption experts on how to implement these risk reduction methodologies. Once the capacity is developed to identify

and address the corruption risk in sectors, GAIN will support pilot projects to conduct corruption risk assessments and implement a corruption risks reduction plan in a particular setting by focusing on major political economy issues. A multi-stakeholder (involving government, the private sector and civil society governments), and systematic country diagnostic and assessment of corruption risks in a particular sector helps countries identify both challenges and opportunities within their political, social and cultural realities, and also secure national ownership with a meaningful impact of the pilot-testing. The successful pilot projects are then supported by GAIN to be up-scaled and replicated in other countries.

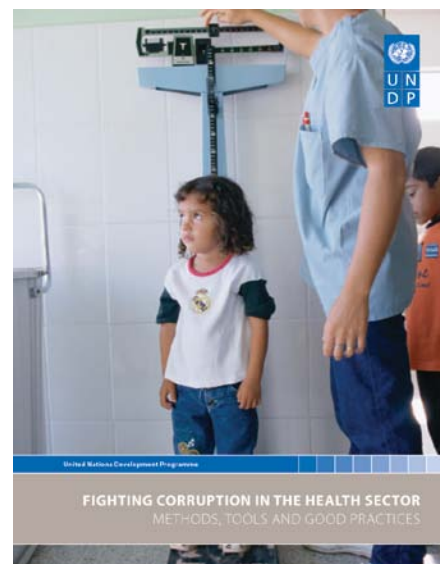
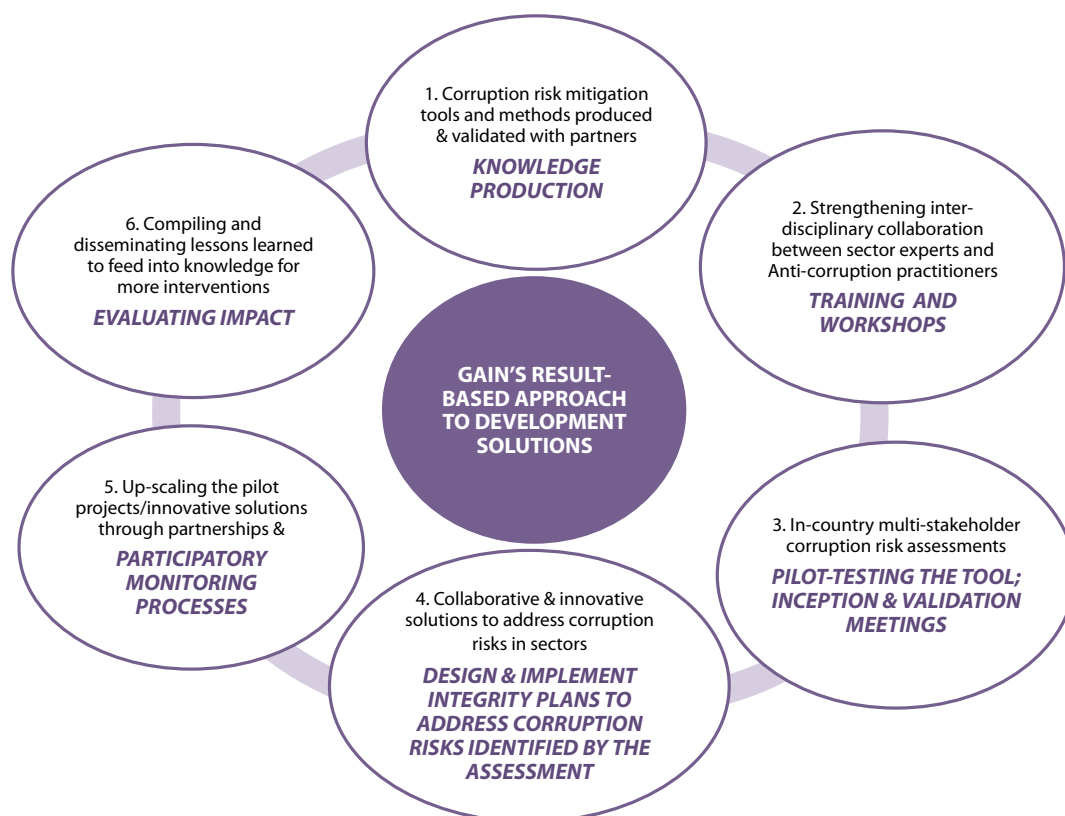


Figure 4: Results-based approach to development solutions





## V. PROGRAMME AREAS: OBJECTIVES AND OUTPUTS

The overall objective of GAIN is to help countries strengthen anti-corruption systems, institutions and civic engagement mechanisms to better manage and deliver public resources and services.

### Overall objective:

The overall objective of GAIN (2014-2017) is help countries strengthen anti-corruption systems, institutions and civic engagement mechanisms to better manage and deliver public resources and services. This will help countries achieve the simultaneous eradication of poverty and significant reduction of inequalities and exclusion. More specifically, GAIN has the following five objectives.

### Objective 1: Integrate anti-corruption solutions in service delivery to contribute to MDG acceleration and post-2015 development goals.

Uneven progress between and within regions and countries has implications for the achievement of MDGs by the 2015 deadline. Evidence shows that it is crucial to address the issues of poor governance, low institutional capacity, and resource leakages to accelerate the progress on MDGs. Until recently, the discourse on the MDG achievements tended to focus more on up-scaling financial resources into developing countries (e.g. through increase in ODA, development of innovative finance schemes, etc.) and less on preventing the leakages of resources. However, the 2010 MDG Summit clearly identified corruption as a major bottleneck to development. Member states stressed their commitment to fighting corruption as a priority with the realization that corruption diverts resources away from activities that are vital for poverty eradication, the fight against hunger and sustainable development.

Thus, to address the objective of mitigating corruption risks in service delivery and contributing to MDG Acceleration and post-2015 development goals, GAIN will focus on delivering on the following three outputs.

#### Output 1.1: MDG acceleration strategies take into account corruption bottlenecks in targeted countries.

To accelerate progress to achieve MDGs and

reduce poverty, the MDG Acceleration Framework (MAF) was developed by UNDP and approved by the United Nations Development Group (UNDG) to help countries identify and address major bottlenecks to MDG achievements. The MAF works by bringing a wide range of stakeholders together to tackle the obstacles to progress. It draws on existing evidence, policies, and strategies to devise concrete and prioritized country action plans.<sup>30</sup> The MAF pilots were rolled-out in 2010 and 2011 in Belize, Burkina Faso, Chad, Colombia, Ghana, Jordan, Lao PDR, Mali, Niger, Papua New Guinea, Tajikistan, Tanzania, Togo, and Uganda. These countries were selected based on the interest of several UN Country Teams and national governments and also on the basis of country typologies (e.g., both the Least Developed Countries (LDCs) and Middle Income Countries (MICs), although majority of the countries selected were LDCs). As of February 2013, forty-five countries have been using the MAF to identify pragmatic solutions to speed up progress on lagging MDGs.<sup>31</sup>

Over the next four years, GAIN will support at least 10 countries to integrate anti-corruption in the MDG acceleration strategies in order to remove governance and corruption bottlenecks and contribute to service delivery. This is in line with the UNDP Medium-Term Strategic Priority to accelerate MDG achievement. After 2015, GAIN will continue its support to accelerate the achievements of post-2015 development goals.

### Key activities:

1. Identify, engage and reach agreement with potential countries that express interest and commitment to tackle off-track MDGs at national and/or sub-national levels by addressing governance/anti-corruption bottlenecks.
2. Develop and integrate tools and method-

<sup>30</sup> Please see, UNDP, *MDG Acceleration Framework*, November 2011.

<sup>31</sup> Helen Clark: Opening Remarks "Making the MDGs work" at 2013 Global MDG Conference, 27 February, 2013.



ologies within MDG acceleration strategies to promote transparency and access to information, and support public tracking of resources.

3. Provide support for South-South cooperation and knowledge exchange on integrating anti-corruption in sectors.
4. Provide advisory support and monitor the progress on MDG acceleration to ensure results achieved are consistent with the results framework of GAIN.

### **Output 1.2: Anti-corruption solutions integrated in service delivery systems (such as in education, health and water sectors).**

UNDP has developed and launched tools and methodologies to combat [corruption in education, water and health sectors](#). Based on their expressions of interest, UNDP's sectoral approach to combating corruption is currently being implemented in more than 30 countries with an objective of improving access and quality of services. Early lessons emerged from supporting sectoral approach to fighting corruption show that corruption often tends to be hidden as a mismanagement problem in the sectors. There is, therefore, a need for training sector experts on anti-corruption to enhance efficiency, transparency and accountability and help address issues such as ghost teachers, absenteeism and leakages of public resources.

The results of the activities being implemented (many still ongoing) during the last three years show that many governments are open to mapping and addressing corruption risks in sectors. However, UNDP's experience also shows that for sectoral approaches to be effective, they must be linked to overall anti-corruption policies and/or strategies. Moreover, corruption assessments in sectors need to be followed up by specific measures to prevent and/or reduce corruption risks and inform broader policy reforms. Therefore,



*Photo: UNSSC. Training held at the UNSSC in Turin on Integrating anti-corruption in UN Programing Processes, April 2013.*

translating interest in mapping sectoral risks into policy action and/or reform is an important step to ensure sustainability and ownership.

With this background, GAIN will expand the ongoing country level pilots, support more countries, and provide advice to translate pilot initiatives into national and/or sub-national policy framework. Working together with the governments, donors and other partners, the priority will be given to upscale and replicate successful sectoral initiatives.

#### **Key activities:**

1. Provide policy and programme support to at least 30 countries to design and implement initiatives to map out corruption risks in education, health and water sectors and develop risk mitigation plans.
2. Provide both technical support and financial grants to implement corruption risk mitigation plans and help governments to up-scale successful initiatives.
3. Expand risk mitigation methodologies in other sectors such as access to justice and agricultural sector.



4. Provide support for results-based management and monitoring and evaluation of sectoral programmes/projects. This will include South-South cooperation and knowledge exchange.

### Output 1.3: Anti-corruption solutions / experiences incorporated in global advocacy and policy processes.

Data and evidence clearly show that mitigating corruption risks along the value chain in key social sectors (health, education, water) pays off.

Anti-corruption is increasingly at the centre of various global development discourses. Achieving positive development outcomes (including MDGs and eventually after 2015, their successors) requires that public resources and services get delivered in an efficient, transparent and accountable manner. Addressing corruption for promoting development effectiveness and enhancing governance has been one of the major priorities of many donors and development partners. Data and evidence clearly show that mitigating corruption risks along the value chain in key social (health, education, water) and other sectors (forestry and extractive industries) pays off. For example, a Transparency International (TI) study from 2010 has shown the huge, **positive impact transparency can have on education outcomes** – if the corruption-poverty equation is reversed. For example, the findings suggest that higher levels of access to information — such as on a school's budget, resource inflows provided to schools and appointment procedures for teachers and school administrators — is positively and significantly correlated with higher literacy rates. In other words, make a school budget more transparent and literacy rates go up.<sup>32</sup> Thus, the global discourse on up-scaling resources for development is as important as preventing the leakages of resources meant for development.

With this background, GAIN will continue its global advocacy and leadership through its participation at major anti-corruption fora (e.g., International Anti-Corruption Conference and the Conference of

<sup>32</sup> Transparency International, "The anti-corruption catalyst: Realising the MDGs by 2015", 2010.

the State Parties to UNCAC) and continue UNDP's research, advocacy and awareness on topics, such as illicit financial flows among others. GAIN will build on the successes of the UNDP-UNODC "International Anti-Corruption Day" campaign, which engages media, civil society, youth, universities, government institutions, private sector and other stakeholders to have a dialogue on corruption and anti-corruption.

#### Key activities:

1. Engage on global advocacy, research and analysis on "UN Norms and International Standards" on anti-corruption vis-à-vis discussions on development financing, aid effectiveness, open data and Open Government Partnership, access to information and post-2015 development agenda.
2. Participate and contribute with technical inputs in pilot projects aimed at contributing to the post-2015 development debate and discourse.
3. Organize national dialogues and consultations and implement capacity development initiatives to prevent illicit financial flows including in LDCs.
4. Coordinate UNDP's participation and representation at major global fora including at the International Anti-Corruption Conference (IACC) and the CoSP to UNCAC.

### Objective 2: Strengthen state/ institutional capacity to implement UNCAC and prevent corruption.

Globally, UNCAC is a major factor for increasing demand for technical assistance on anti-corruption as UNCAC is closer to achieving universal adherence. While UNODC takes the lead on UNCAC review, UNDP is working together with UNODC to help member states organize national consultations and dialogues on anti-corruption and bring together government institutions, civil





society and other non-state actors to conduct analysis and review of existing laws, structures and institutional arrangement to inform UNCAC review process and build capacities to implement UNCAC, in particular Chapter II (prevention).

For UNCAC to gain credence as a development tool, UNDP believes that it should be integrated into the national development process, such as poverty reduction strategies, national plans, and UNDAFs, which are signed between the host government and the UN office in a given country as an entry point for UN's engagement in the national development processes. For example, 30 countries prepared their UNDAFs in 2011 and 17 in 2012; 11 countries were scheduled to roll out UNDAF in 2013 and 17 in 2014 respectively.

There is also high demand for technical assistance on anti-corruption in post-conflict and transition contexts to develop and implement anti-corruption programmes and national anti-corruption strategies, strengthen the capacity of state institutions, civil society and media, and mainstreaming anti-corruption in different pillars of governance in post-conflict and recovery processes.

Moreover, strengthening anti-corruption agencies (ACAs) could be a good entry point to tackle corruption and strengthen democratic governance in many countries. The ACAs often are mandated with coordination of UNCAC review and the implementation of national strategies. Some also have mandates to prevent corruption and reinforce norms and standards to institutionalize integrity in public sectors. With this background, GAIN aims to achieve the following three outputs under Objective 2.

### **Output 2.1: UNCAC and anti-corruption mainstreamed in national development strategies / programmes.**

UNDP aims to integrate anti-corruption into the development process by using UNDAF as an entry

point. UNCAC provides a unique opportunity to integrate and mainstream anti-corruption in ongoing governance reforms and development processes, especially in countries that have ratified the UNCAC and are going through the next cycle of the UNDAF process. UNDP and UNODC working together with the UN System Staff College (UNSSC) developed a course on integrating anti-corruption in UN programming processes. There are 30 dedicated trainers, who went through the training of trainers in April 2013. The training already has been pilot tested in Kenya, Iraq and Madagascar and will be rolled out to more countries in 2014-2017. The training is meant to incorporate anti-corruption in the development planning and processes at the national level. Further, the training also specifically highlights the importance of supporting participatory, inclusive and multi-stakeholder engagement with key political actors to engage meaningfully on anti-corruption.

Based on its flagship publication titled "[Fighting Corruption in Post Conflict and Recovery Situations: Learning from the Past](#)", UNDP will continue to mainstream UNCAC and anti-corruption elements by providing technical assistance in post-conflict and recovery contexts (e.g., Afghanistan, Cote d'Ivoire, DRC, Kosovo, Sierra Leone, South Sudan, Timor-Leste) as well as in countries in transition (Egypt, Jordan, Morocco, Libya, Tunisia and Yemen).

#### **Key activities:**

1. Provide advisory services to those countries, which are developing UNDAFs, CPDs and national anti-corruption programmes and projects.
2. Support regional and national UNDAF training events to mainstream/integrate anti-corruption into governance reform and national development processes. Build synergies with the Human Rights Based Approach, particularly providing training to mainstream anti-corruption in UNDAFs.

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**In 2013, UNDP and UNODC working together with the UN System Staff College (UNSSC) developed and rolled out a course on integrating anti-corruption in UN programming processes.**

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**UNDP, through its 'Anti-corruption Assessment Tool for Parliamentarians' is partnering with GOPAC to strengthen the oversight role of the parliamentarians on anti-corruption.**

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3. Provide advisory services to the regions and countries to develop CPDs and national anti-corruption programmes and projects.
4. Provide support to integrate anti-corruption in peace-building, post-conflict reconstruction and transition processes. Strengthen the newly established institutions, civil society and media.
5. Develop knowledge tools to provide guidance to mainstream anti-corruption in development, including a practical guide to anti-corruption programming in post-conflict and transition contexts.

**Output 2.2: Civil society and other actors engaged in national dialogue and consultations on anti-corruption and UNCAC implementation.**

With the limitation that the participation of civil society in the UNCAC review process and publication of UNCAC review report depends on the state parties, UNDP working together with UNODC and GTZ, Basel Institute on Governance, Institute of Governance Studies of BRAC University in Bangladesh introduced a methodology on how to conduct a nationally-owned multi-stakeholder UNCAC self-assessment, based on country experiences from **Bangladesh, Indonesia, and Kenya**. The participatory UNCAC Self-Assessment methodology 'Going beyond the Minimum' was piloted in **Bhutan, Mongolia, Vietnam and Maldives**. In addition, the Guidance Note was seen as a good example of knowledge collaboration between UNDP, UNODC and other relevant partners. The Guidance Note does not only offer useful information for countries to prepare for the UNCAC review, but also encourages member states to make the UNCAC review process participatory and transparent so that it contributes to legislative and institutional reforms. Similarly, UNDP, through its "Anti-corruption Assessment Tool for Parliamentarians" is partnering with GOPAC to strengthen

the oversight role of the parliamentarians on anti-corruption.

**Key activities:**

1. Jointly with UNODC, support training for countries selected for UNCAC review.
2. Encourage the countries to go beyond the minimum requirement for UNCAC review (by engaging with civil society, media, parliamentarians, private sector, etc.).
3. Produce and disseminate policy and programming guidance regarding inclusive and participatory UNCAC review processes, based on UNDP's experiences and lessons learned.
4. Provide technical support for gap analysis and link the findings with the on-going governance reforms (e.g., implementation of national anti-corruption strategy, public administrative reform, parliamentary strengthening, etc.).

**Output 2.3: Measures to prevent and combat corruption are put in place by anti-corruption institutions.**

UNDP has over two decades of experience in supporting capacity building of public administration and anti-corruption institutions around the world. It has a large knowledge repository on capacity-building and can facilitate south-south exchange of knowledge and experiences, particularly on strengthening the capacity of ACAs. For example, in 2012, UNDP directly supported 16 anti-corruption institutions all over the world to develop their capacity to monitor services of government institutions, to conduct UNCAC gap analysis, to investigate the cases of corruption and to increase the coordination mechanism among government institutions, media and civil society on the fight against corruption.



Photo: UNDP. Anti-corruption has a development dividend in natural resource management. UNDP tree planting in Bratislava, Slovakia.

UNDP has developed a ‘[Practitioner’s Guide to Capacity Assessment of Anti-Corruption Agencies](#)’ to support ACAs to better understand their capacity gaps and develop appropriate plans to strengthen their capacities. GAIN aims to implement capacity strengthening programmes in at least 5 ACAs per year and will increase its support for South-South cooperation to facilitate knowledge exchange and experiences among ACAs from various regions.

#### Key activities:

1. Conduct capacity assessment of ACAs as a part of capacity strengthening programme. Provide capacity development support so that ACAs put in place measures that contribute to strengthen their effectiveness including developing, implementing and evaluating anti-corruption national strategies as well as developing and implementing ACAs own work plans and strategies.
2. Provide training to ACAs on investigation, prosecution, prevention and awareness-raising. Training packages and knowledge products will also be rolled out in the area

of corruption measurement/assessment and monitoring and evaluation of anti-corruption initiatives.

3. Provide technical support to conduct system audits or integrity assessment in sectors (e.g., health, education and water) and help to implement the risk reduction plan contributing to the change management system.
4. Provide advisory and technical support to ACAs and facilitate South-South knowledge exchange and capacity development among ACAs.

### Objective 3: Mitigate corruption risks in climate finance and natural resource management.

Dealing with many of the complex development challenges such as climate change and natural resource management requires a multi-sectoral approach that looks at the underlying governance constraints. Climate finances or revenues from the natural resource sector could significantly contrib-





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**GAIN will deepen the country level actions on mitigating corruption risks in REDD+ by translating the findings of the assessments into programmatic interventions.**

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ute to poverty reduction and sustainable development. However, this depends to a large degree on whether these finances get spent for the intended purpose and reach the target beneficiaries without corruption and leakage. Even when the right policies and regulations are put in place to manage these revenues, their effectiveness and stringency could be eroded by the lack of institutional checks and balances or enforcement capacities.

Over the past three years, UNDP has been working together with partners on a number of initiatives to integrate anti-corruption measures in climate change finance and natural resource management. As part of the United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation (UN-REDD Programme), UNDP led the work on strengthening national systems for transparent, equitable, credible and accountable management of REDD+ funds. Aided by practical tools and technical assistance, six countries have initiated concrete country-level actions to identify and curb corruption risks in REDD+ processes.

Building on the lessons from its multi-practice approach, UNDP has been analyzing the economic, institutional and social interventions necessary to translate gains from natural resources to poverty reduction and conflict mitigation. UNDP recently developed a strategy to work on the specific challenges and opportunities facing emerging resource-rich countries, as well as those whose resources are depleting. One of the core components of this strategy focuses on promoting transparent and efficient revenue management and thus GAIN aims to achieve the following two outputs under Objective 3.

**Output 3.1: Corruption risks mitigation measures are integrated in REDD+ strategies or programmes.**

Knowledge “primers” jointly developed between PACDE and the UN-REDD Programme have since

2010 made UNDP a recognized leader on anti-corruption for REDD+ issues. In 2011-2012, a series of regional sensitization events were held in Africa, Asia and Latin America regions, which connected over 300 REDD+ and anti-corruption government and civil society practitioners to form a common understanding on corruption risks for REDD+ and come to a joint realization of its potential detrimental impacts on the effectiveness, efficiency and equity of REDD+. As a result of these engagements, six countries have developed initiatives to analyze and prioritize risks and initiate anti-corruption measures. These plans and the associated requests for targeted support under the UN-REDD Programme, undertaken with PACDE’s support, included conducting REDD+ corruption risk assessment and stakeholder consultations in Bhutan, Bangladesh, Kenya and Peru; strengthening civil society’s awareness on forest sector anti-corruption instruments and tools in the Philippines; and analyzing the corruption root causes of drivers of deforestation and forest degradation in Nepal. The methodological guide that was developed to support the conduct of [REDD+ Corruption Risk Assessment](#) has been customized and applied in four of the countries listed above.

GAIN (2014-2017) will deepen the country level actions on mitigating corruption risks in REDD+ by translating the findings of the assessments into programmatic interventions. Besides developing capacities to design these interventions and manage corruption risks in REDD+, UNDP will continue to contributing to the knowledge and information gap by producing cutting-edge and practical knowledge products on the role of anti-corruption and law enforcement bodies, local governments, civil society and indigenous peoples in promoting greater transparency, accountability and integrity throughout national REDD+ strategies.

**Key Activities:**

1. Provide targeted technical support to conduct REDD+ corruption risk assessments.





2. Strengthen capacities to manage REDD+ corruption risks, based on the findings of the assessments.
3. Support establishment of platforms for citizen (including women and indigenous people) and media monitoring of REDD+ implementation.
4. Provide advisory and policy support and document lessons learnt and ensure lessons learnt inform climate change fund management strategies.

**Output 3.2: Countries have transparent and accountable mechanisms and systems to manage revenues from their extractive industries.**

Equitable, transparent and accountable management of natural resources allows developing countries to advance their economies, protect their environment and improve the lives of their citizens. UNDP aims to support these resource-rich countries to establish and/or strengthen systems of governance for the revenues and distribute the benefits. Despite the significant potential of natural resources to generate development finance, the risk of resource leakage and corruption remains high and it needs to be tackled. The risk of corruption could be present in all phases of resource exploitation, from licencing to investment. Hence, minimizing and managing risks in contracting, licensing, revenue collection and distribution systems is critical.

Various actors are involved throughout the extraction processes with different roles and degree of influences. Understanding the power relations and engaging multi-stakeholders could foster checks-and-balance and accountability in the processes. For instance, improving the state's ability to manage contracting and licensing has to be matched with efforts to also empower oversight and watch-dog organizations (social audit).



*Photo: Huairou Commission. Grassroots women fighting corruption in Uganda.*

Emerging evidence attests that citizen groups and civil society coalitions could play a crucial role in monitoring contracting and procurement, which in turn contributes to controlling corruption. Similarly, understanding the nature and potential impact of corruption risks in the supply chain of extraction provides the opportunity to put in place context specific preventive measures.

**Key Activities:**

1. Establish and/or develop corruption risk mitigation systems, related to both government and private companies.
2. Support national capacity to make information publicly available related to all aspects of the extraction.
3. Strengthen the capacities of oversight and watchdog organizations to monitor the management of extractive industries (social audit, etc.).
4. Support local officials, civil society organizations and media to monitor and verify information related to concessions, including through social accountability initiatives involving Indigenous peoples.



5. Provide advisory and policy support and document lessons learnt and facilitate south-south exchange.

**Objective 4: Enhance civic engagement, youth and women’s empowerment for increased transparency and accountability at national and local levels.**

Initiatives to enhance the ability of citizens and stakeholders to engage with public officials and policymakers in a more informed, direct and constructive manner have been getting more attention and support. This reflects a growing shift towards democratic governance issues related to public policy making, empowerment and citizen participation, all of which form the basis for social accountability. Similarly, the importance of integrating transparency and accountability in local governance is ever increasing because of growing urbanization trends, a move towards more

decentralized governance, and the emphasis on the role of local and other sub-national governments (municipalities, parishes, departments, provincial governments) in delivering public services such as health, education and water. It is widely acknowledged that the decentralization of power and resources without adequate oversight mechanisms to ensure transparency and accountability can increase the risk of corruption. On the other hand, since local governments are closer to their constituencies or communities, there are more opportunities to enhance citizen engagement and participation in decision making and providing oversight. Against this backdrop and building on experiences from PACDE (2008-2013) and regional initiatives such as [TRAALOG](#), GAIN will continue to support social accountability initiatives, in particular in local urban/governance and service delivery. Moreover, contrary to the findings from various studies, most discussions on anti-corruption tend to perceive corruption as gender neutral and thus, building synergies between women’s empowerment and anti-corruption is important. Similarly, youth engagement and empowerment is still vastly untapped areas for advocacy, awareness, policy discussions and leadership development on anti-corruption.

In order to address the above multiple challenges, under objective 4, GAIN will focus on two outputs.

**Output 4.1: Multi-stakeholder networks, including youth and women networks, engaged in social accountability initiatives at the local and national level.**

PACDE (2008-2013) developed various social accountability tools and worked with a number of CSOs to support civil society engagement in monitoring development activities in India, Kenya, Nigeria, the Philippines, Uganda and Zambia. Other partners in the project include GIZ, TI, TIRI and EITI and the Millennium Campaign. As reported in [PACDE Annual Report 2012](#), there has been marked improvement in the quality of ser-



Photo: UNDP. International Anti-Corruption Day drawing contest hosted by the Sudan Faculty on fine arts, December 2013.



vices. PACDE has helped establish citizens' feedback mechanisms using web-based platforms (e.g., Huduma in Kenya and Samadhan – Citizens' Action for Governance in India). These platforms allow citizens to file complaints related to corruption and poor services in the public service delivery through multiple means – SMS, toll-free number, internet and in writing or in person.

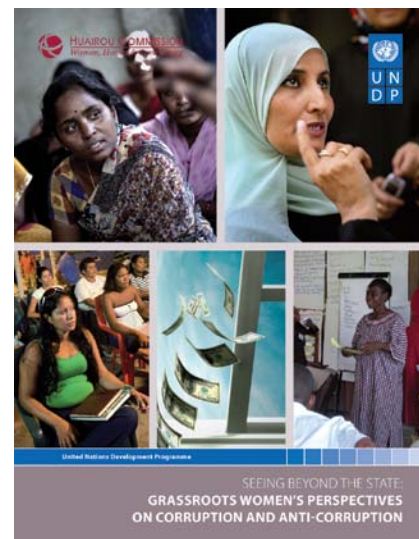
In Latin America and the Caribbean Region, PACDE also supported the Workshop on Social Audit for Young Leaders and Entrepreneurs to develop a [Practical Guide to Social Audit as a Participatory Tool](#) under the [TRAALOG Regional Initiative](#). Since 2011, there have been 2 regional Social Audit workshops and 5 National replications throughout the region. In total, so far 200 young leaders in Latin America and the Caribbean, representing over 80 youth organizations of 20 countries have benefitted from this training.

GAIN (2014-2017) will build on PACDE's successes on social accountability in 4 countries (Ghana, PNG, Serbia and the Philippines) to replicate and up-scale these initiatives in at least 10 countries. The countries will be selected based on expressed demand (through expressions of interest, direct request from the governments, and priorities of current partners – TI, Integrity Action and various national civil society organizations).

Under PACDE (2008-2013), UNDP has played a key role in bringing gender into global and national anti-corruption discourses by launching reports on gender and corruption and providing support to the grass-root women's networks to build synergies between gender empowerment and fighting corruption. As affirmed by the UNDP study, strategies to empower women should also be used to tackle specific forms of corruption faced by women as well as the impact of corruption on both men and women.<sup>33</sup> Moreover, GAIN will build on the successful initiatives of grassroots women that have helped to organize women for empowerment to

fight corruption through actions such as awareness-raising and capacity building initiatives, generating an informed public debate, mobilizing public action, and monitoring service delivery.

Similarly, UNDP has been at the forefront of engaging youth on anti-corruption. For example, UNDP-sponsored 'Thai Youth Anti-Corruption Network' won a best practice award at the by World Economic Forum. This campaign was a part of UNDP-UNODC led global anti-corruption campaign designed to commemorate the International Anti-Corruption Day (9 December). GAIN will continue engaging youth and their networks and empowering them to promote innovative solutions to fight corruption.



**Key activities:**

1. Produce policy and programming guidance on civil engagement and social accountability to prevent and combat corruption.
2. Support country level pilot projects to encourage multi-stakeholder engagement in social accountability processes including social innovations approaches (e.g., the use of new technologies and social media).
3. Engage on research, advocacy and awareness to empower and strengthen the voice of youth and women on anti-corruption, particularly deepening the understanding of the impact of policy and programming interventions on anti-corruption to gender empowerment and vice-versa.
4. Support pilot projects aimed at enhancing social monitoring and accountability through the utilization of ICTs by women and youth networks.

<sup>33</sup> UNDP, *Seeing Beyond the State: Grassroots Women Experiences with Corruption and Anti-corruption*, 2011.





5. Strengthen the capacity and engagement of media and civil society to monitor and report corruption.

**Output 4.2: Transparency, accountability and integrity measures are integrated in local/urban governance to improve service delivery.**

While there are different levels and forms of decentralization, depending on the political context, it is generally acknowledged that the benefits of decentralization processes include broader empowerment of the public, strengthened local democratic systems, improved efficiency of public administration, and equitable service delivery that reflects local realities. However, the decentralization processes in most developing and/or transition countries is still a work in progress.

Based on the experience from different regions, PACDE is elaborating on a Guidance Note on Transparency and Local Governance. Both regional and global anti-corruption and local governance teams have been working on this Guidance Note and providing inputs based on previous and ongoing work around the world, particularly those good practices from Latin America, ECIS, and Arab region on integrating transparency, accountability and integrity in local governance. The Guidance Note will be

reviewed and validated during a regional/global meeting in Panama in November 2013, in the context of the 5<sup>th</sup> Conference of State Parties of UNCAC. Since there is no global corporate guidance note on this topic, this will help to bring together experience from different regions and provide guidance in line with the new strategic plan.

With this recognition, GAIN aims to mainstream anti-corruption, transparency and accountability mechanisms to enhance integrity of local/urban governance institutions and improve service delivery.

**Key activities:**

1. Engage on research, advocacy and awareness including context specific risk assessment to strengthen the capacity of local governments on anti-corruption to improve service delivery.
2. Provide policy and programme support to local and urban governments to integrate anti-corruption to improve service delivery.
3. Support initiatives to strengthen anti-corruption, transparency and accountability capacities including internal oversight and monitoring mechanisms (e.g., ethics, conflict of interest, code of conducts, etc.) and strengthen horizontal and vertical accountability mechanisms (access to information, internal and external communication, internal controls and oversight) including multi-stakeholders consultations to identify appropriate interventions to address corruption bottlenecks.
4. Support upscaling local anti-corruption solutions to national levels and linking national level anti-corruption reforms to the local level actions.
5. Facilitate South-South exchange and docu-



Photo: UNDP. Anti-corruption in the context of local/urban governance, regional dialogue in the Arab states, June 2013, Beirut, Lebanon.



ment experiences and lessons learned to up-scale similar interventions within the countries, and to serve as reference in other countries.

### **Objective 5: Improve results-based management and institutional effectiveness on anti-corruption.**

As indicated in the programme strategy section, UNDP has taken major steps to promote its results-based management— particularly on how it delivers results and the impact achieved through its programmes. Moreover, through UNDP Strategic Plan (2014-2017), UNDP plans to improve its institutional effectiveness in its programming and operations including strengthening its integrated approach and knowledge management. To this end, GAIN aims to contribute to strengthening institutional effectiveness by reinforcing standards on ethics, integrity, transparency and accountability, and an integrated approach with other areas of governance and development, improving the results-based management, and revamping its knowledge management to make UNDP as a knowledge-driven, innovative and open institution.

#### **Output 5.1: Results-based management practice is reinforced in anti-corruption programming.**

GAIN will work closely with the Operational Support Group (to be in new BPPS), Bureau of Management and the unit on results-based management unit at the BPPS (new central policy bureau) to provide training and guidance on improving delivery and results and systematically collect and analyse information on impact and lessons learned. GAIN will also contribute to providing guidance to UNDP COs on how to report on anti-corruption outputs against the indicators defined by the Integrated Result Resource Framework (IRRF) of the UNDP Strategic Plan (2014-2017). Policy and advisory support will also be provided to programming countries on designing more reliable and practical indicators on anti-corruption to monitor and evaluate the impact of anti-corruption initiatives/interventions.

In line with the UNDP approach of reinforcing an integrated and multi-disciplinary approach to programming, GAIN will also work closely with other areas of governance such as strengthening the oversight role of parliaments, integrating anti-corruption in public sector reform, electoral support, and judicial sector reforms and human rights based approach. This approach will strengthen UNDP's governance approach to preventing corruption. Moreover, GAIN will continue its partnership with UNDP Ethics Office and the Office of Audit and Investigations to develop new tools and disseminate existing tools on ethics and integrity and integrating these tools in anti-corruption training. GAIN will also closely work with the Secretariat of the [International Aid Transparency Initiative \(IATI\)](#), which displays comprehensive project information—from income and expenditures to activities and results—to promote the objective of encouraging donors and programming countries to open their data and use the IATI standards.

#### **Key activities:**

1. Develop and implement tools and methodologies to reinforce RBM in anti-corruption programming at the country level.
2. Provide training on RBM in anti-corruption including on formulating results and indicators, reports and writing reports with stories on impact.
3. Support the country level pilots to integrate anti-corruption in various areas of governance and other development issues including ethics and integrity standards.

#### **Output 5.2: Knowledge and experience on anti-corruption is shared globally and with countries.**

PACDE has played a key role in shaping anti-corruption discourse through identifying, codifying and disseminating knowledge products on

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**GAIN aims to contribute to strengthening institutional effectiveness by reinforcing standards on ethics, integrity, transparency and accountability.**

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Photo: UNDP. Grass root women can be game changers in the fight against corruption. Fifty-eighth session of the Commission on the Status of Women, March 2014, New York.

emerging issues related to today's development challenges. Internally, UNDP's Global Anti-corruption Community of Practice led by PACDE was joined by almost 70 Country Offices. It has effectively served as a platform for knowledge sharing across the organization and to clarify UNDP's comparative advantage on anti-corruption. Overall, PACDE contributed in expanding the normative framework on anti-corruption to development by bringing together various UN agencies, organizations and other partners to launch a web-portal on anti-corruption ([www.anti-corruption.org](http://www.anti-corruption.org)), which provides information on the linkages of corruption with major areas of development and contribution of anti-corruption to accelerate the progress on development such as the MDGs.

GAIN aims to continue serving as UNDP's main global knowledge and advocacy platform on anti-corruption. Global advocacy and awareness will remain at the heart of GAIN's work through the global campaign on anti-corruption and other global fora in which UNDP works together with UNODC and other partners. Likewise, GAIN will continue leading the interagency web-portal ([www.anti-corruption.org](http://www.anti-corruption.org)), producing and disseminating knowledge products, guidance

notes, and training modulus, and strengthening global and regional networks to facilitate knowledge exchange.

#### Key activities:

1. Lead and manage the UN anti-corruption web portal and other knowledge management tools specialized on corruption prevention interventions at global, regional and national level.
2. Coordinate the global and regional anti-corruption community of practices to facilitate knowledge sharing and capture lessons learned to enhance UNDP's anti-corruption programming.
3. Disseminate key anti-corruption knowledge products produced by PACDE/GAIN such as guidelines, methodologies and toolkits on integrating anti-corruption in key development areas through training, seminars and conferences.
4. Develop and roll out knowledge management strategy for UNDP's anti-corruption projects.





GAIN will continue strengthening its partnerships with relevant partners in the field of anti-corruption. GAIN's effective partnership will also contribute to mobilizing required resources. GAIN will work closely with UNODC, the Secretariat of the Conference of the State Parties to UNCAC. While UNODC leads the UNCAC review process and coordinates overall support for UNCAC implementation, UNDP will focus on the prevention of corruption and integrating normative framework of UNCAC in various development processes. Similarly, GAIN works closely with the World Bank, the United Nations Economic Commission for Africa (UNECA), and the various networks of anti-corruption agencies such as Southern African Forum Against Corruption (SAFAC) to strengthen the capacity of ACAs. To strengthen the capacity of civil society and media, GAIN will continue its joint activities with Transparency International (TI), Integrity Action (formerly Tiri), the U.S. State Department and the Media Institute of Southern Africa (MISA).

On gender and anti-corruption, GAIN will expand its work in partnership with the UNDP gender team, UN-Women, and the Huairou Commission. On mitigating corruption risk in climate change and natural resource management, GAIN

will closely work with the United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation (UN-REDD) and UNDP's Global Extractive Industry Initiative, respectively. To expand its work on integrating anti-corruption measures in health, education and water sectors, GAIN will continue its partnership with the World Health Organization (WHO), UN System Staff College (USSC), the United Nations Educational, Scientific and Cultural Organization (UNESCO) and Stockholm International Water Institute (SIWI). On anti-corruption and gender, GAIN will continue its partnership with Norad, UN Women and the Huairou Commission. On global advocacy, research and analysis, GAIN will partner with Global Financial Integrity, the U4 Anti-Corruption Resource Centre, Department of Foreign Affairs and Trade (DFAT) of Australia, the Global Organization of Parliamentarians Against Corruption (GOPAC), the Organisation for Economic Co-operation and Development (OECD) and the Basel Institute.

Within UNDP, GAIN will work closely with other global and regional initiatives such as Rule of Law and Access to Justice, as well as with UNDP Country Offices.

## GAIN'S PROGRAMME PARTNERS



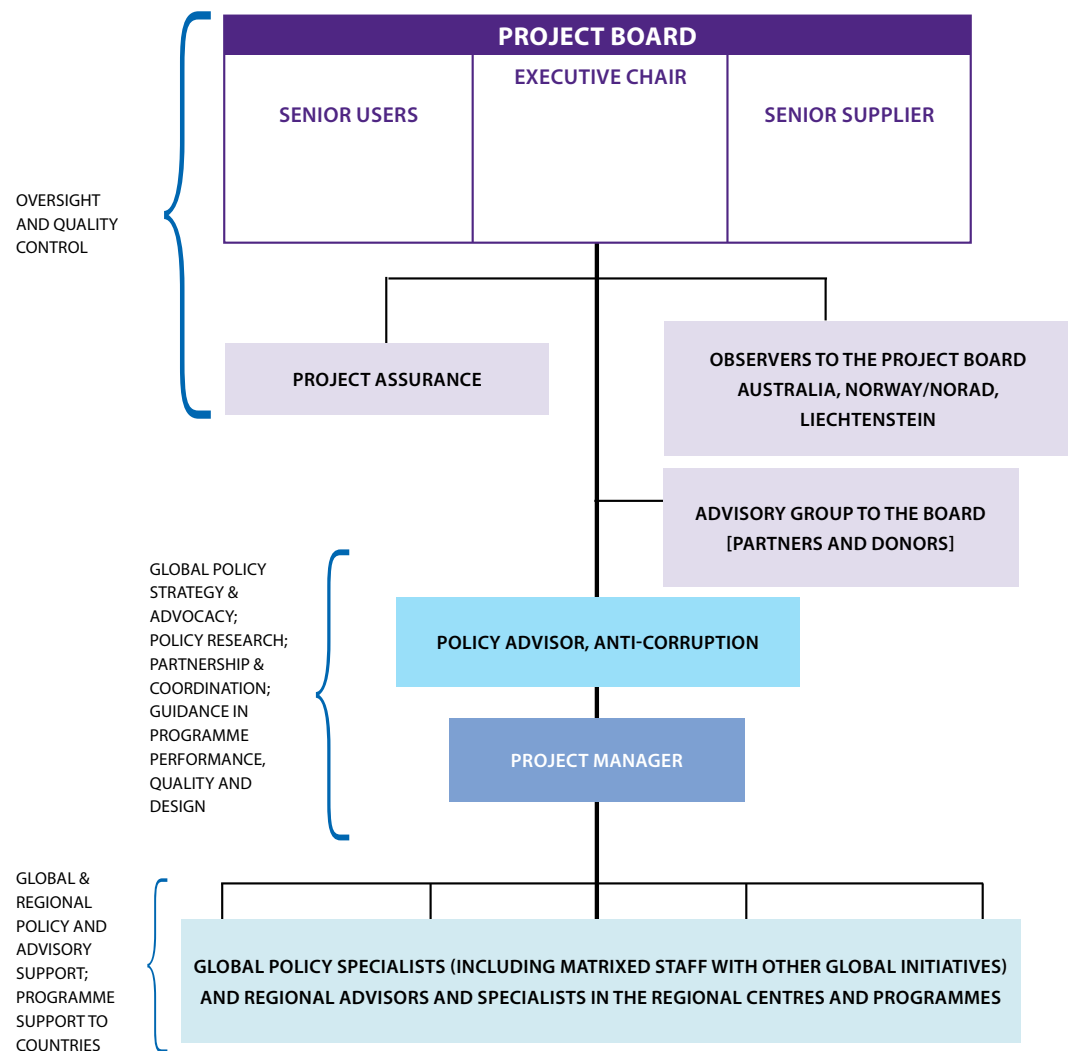


# VII. MANAGEMENT OF GAIN (2014-2017)

A Project Board will provide overall direction and management of GAIN.<sup>34</sup> The Board will be chaired by a Board Executive Chairperson, which will be DGG Director<sup>35</sup> and other members of the board will be comprised of representatives from UNDP

regional bureaux/centres, donor partners and UNDP's various global programmes and projects. The following organogram reflects the overall management and oversight structure of GAIN.

Figure 5: Organogram: UNDP's Global Anti-Corruption Initiative (GAIN)<sup>36</sup>



34 The composition of the Project Board of GAIN will be reviewed as part of the ongoing restructuring process and merger of UNDP's central policy bureaus.

35 Or whatever management position leading the governance area in the new BPPS.

36 The organizational structure of GAIN will be subject to UNDP's structural review and restructuring.





**GAIN will be implemented in selected countries in Asia, Africa, Arab States, Latin America, and Eastern Europe and the CIS region.** This four year programme will be evaluated and monitored based on its results and resource framework and also on how effectively it has adhered to its project strategy, which is essential for the long term sustainability of its programme objectives as well as for having a cumulative impact on preventing and combating corruption.

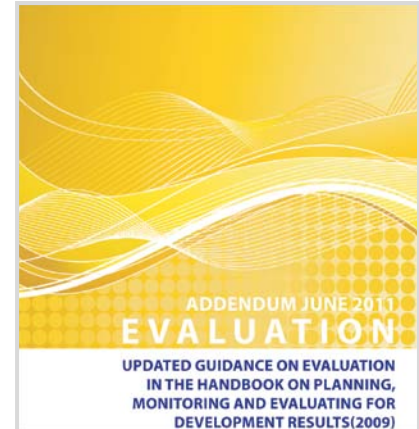
More specifically, there will be a mid-term evaluation and a final review of the project. The project will be audited at the end of the project cycle in compliance with UNDP requirements and regulations. Both mid-term and final evaluation will use quantitative and qualitative indicators to measure results. The evaluation will take into account whether the project has achieved its stated objectives by delivering the proposed outputs. The evaluation will look at whether the project outputs have contributed to improving service delivery, citizens and communities' participation in monitoring services, infrastructure and budget, and making available tools and methodologies to monitor and report corruption at the national level.

For the specific priorities agreed to with DFAT (formerly AusAID) under the cost-sharing agreement signed in 2012, an annual report on the activities implemented in the previous year will be submitted before the end of January to allow DFAT to release funds in February for implementation of activities for that year. In addition, one certified accounts (expenditure report) will be submitted to DFAT every June. Australia and other donors will also receive a consolidated annual report and updates on the project through UNDP's anti-corruption newsletters. The updates on the programme implementation will also be provided through various avenues, such as COSP to UNCAC, OECD DAC Anti-corruption Task Team meeting, UNCAC Intergovernmental Working Group meetings, International Anti-Corruption Conference and presentation in New York, etc.

GAIN will be monitored by the Executive Board according to UNDP rules and regulations. PACDE Project Board will be replaced by the **Project Board of GAIN**, which will comprise of various stakeholders including donors and senior UNDP staff from UNDP regional bureaux and centres.<sup>37</sup> The Project board will be responsible for providing guidance and overall oversight to the global programme. **The Project Board of GAIN**, at its annual meetings, will review and approve the annual work-plan of GAIN for the current year and financial and activity reports from previous year.<sup>38</sup>

To ensure effective coordination and partnership, GAIN will have an **Advisory Group** with the acknowledgement that strategic inputs from donors, programming countries and partners are important to make sure that the global programme is effective in addressing the real challenges on the ground. To ensure maximum participation by partners, the **Advisory Group** will include: UNODC, GTZ, Norad/Norway, DFAT/Australia, U.S. State Department, U4, Tiri, TI, GIZ, OHCHR, UNDP Regional Bureau for Latin America, Arab states and Asia and the Pacific, and Institute of Governance of Studies, BRAC University (Bangladesh), UNECA, GOPAC, and the Prevention and Combating of Corruption Bureau (PCCB).

**The operational modality of GAIN (2014-2017)** will utilize the existing modality of PACDE (2008-2013). UNDP has a vibrant anti-corruption community of practice of more than 200 staff from Country Offices, regional centres/programmes and the headquarters. It has a global anti-corruption team composed of anti-corruption advisor(s)



<sup>37</sup> The project Board will be reviewed as part of the ongoing restructuring process in UNDP.

<sup>38</sup> The Project Board will also receive inputs from the "Project Steering Committee", which is composed of representatives of UNODC, UNDP and DFAT and a part of the four year cost-sharing agreement signed with Australia in 2012. As agreed with Australia, this steering committee discusses progress and provides overall policy and strategic guidance to those activities of GAIN that are implemented under funding received from Australia.



based in New York and regional advisors/specialists based in each regional centres/programmes of UNDP. GAIN will work with and through UNDP's regional centres and programmes to strengthen anti-corruption advisory services as a vehicle to provide effective services at the country level. GAIN will also work closely to implement joint activities with various external partners.

The planning of GAIN will be based on the analysis of demand as well as tracking the emerging needs and also synchronizing with the regional

and country level priorities identified by the regional and global community of practices. To improve reporting, GAIN will synchronize global regional and country level anti-corruption workplans of UNDP, build synergies with partners' initiatives and projects wherever possible and collect information on the interventions at the country level to document lessons learned. More importantly, GAIN's monitoring and evaluation framework includes results/impact indicators build in both results framework of the project as well as in its annual work plan.



*Photo: UNDP. Building synergies between gender equality, women empowerment and anti-corruption*

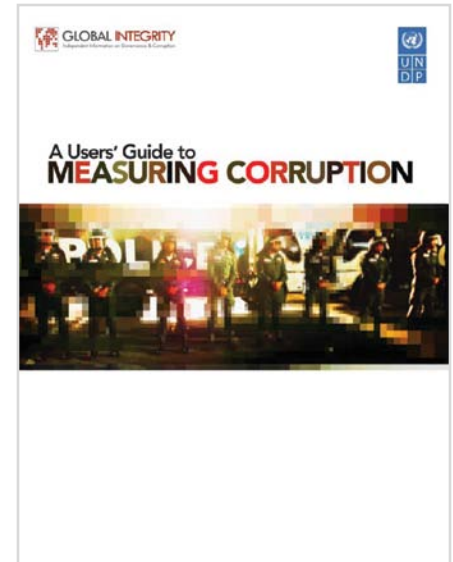


The success of GAIN will depend on the extent to which UNDP will make the relevant policy commitments needed to give direction to UNDP COs and national counterparts on how anti-corruption international standards help to reduce poverty and promote development. Anti-corruption is one of the fastest growing governance practices in the world, with an increasing number of actors. UNDP should thus clearly define its role and clarify its approach and structure so that the organization risks are minimized.

This initiative acknowledges that political will of the government to implement anti-corruption interventions will be a key risk factor for the implementation of this project. As reflected in the objectives above, this project has the following risk mitigation strategies to deal with the issue of political will:

1. First and foremost, the activities of this project will be implemented on the basis of the request received from the government. For example, UNDP's MDG Acceleration Framework (MAF) is implemented on the basis of a formal expression of interest from the Government (a clear sign of strong demand and political commitment) and a feasibility assessment of the value added of the MAF approach in a given country context.
2. UNDP will also utilize its existing tools and methodologies to assess the political economy of a country and tailor its activities accordingly as a way of minimizing this risk. UNDP's [Practitioners Guide to Assessing the Capacities of ACAs](#) provides a methodology for assessing the enabling environment for anti-corruption interventions.

3. UNDP's approach of linking corruption and development (such as impact of corruption to achieve MDGs, etc.) will help to demystify corruption and secure necessary political will and buy-in from wider stakeholders. For example, UNDP's efforts to promote sectoral approach to fighting corruption have gained real traction. As mentioned earlier, in early 2012, through its Country Offices, UNDP has received Expression of Interests (EOIs) from more than 40 countries to implement anti-corruption initiatives in water, education and health sectors.



4. For those countries which have ratified or acceded to UNCAC, this project will utilize UNCAC as an entry point for a multi-stakeholder consultation at the national level to secure political commitment to implement UNCAC. The government will be encouraged to make the UNCAC self-assessment and review process more participatory. Working together with UNODC, UNDP will engage with the governments to provide technical assistance for gap analysis and to follow up on the UNCAC review process and integrate its technical assistance under UNDP's governance programmes.

For details on risk explanation and risk mitigation measures, please see Risk Log in Annex 2.

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**Anti-corruption is one of the fastest growing governance practices in the world, with an increasing number of actors. UNDP should thus clearly define its role and clarify its approach and structure.**

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## X. PROPOSED BUDGET AND WORKPLAN

The activities under GAIN will be carried out over the four year time period (2014 - 2017). The proposed total budget for four years is USD 16,000,000 with an annual budget of USD 4,000,000. The programme contains the activities to be carried out at global, regional and country levels. The Results

Resource Framework (see the annex) provides the details on work plan and estimated budget breakdown by the objectives and outputs. Based on this result framework, a detailed work plan is developed every year and implemented upon the approval of the Executive Board.



*Photo: UNDP. Anti-corruption strategies are as important in reconstruction & recovery scenarios as they are in ordinary development situations.*

# ANNEX 1: GAIN'S RESULTS AND RESOURCE FRAMEWORK FOR 2014-2017



*Intended Outcome: Countries have systems, institutions and civil engagement mechanisms to better manage and deliver public resources and services.*

## Objective #1: Integrate anti-corruption solutions in service delivery to contribute to MDG acceleration and post-2015 development goals.

Intended Outputs #1	Baseline and targets	Key Activities	Timeframe				Partners	Estimated budget
			2014	2015	2016	2017		
<p>Output #1.1: MDG acceleration strategies take into account corruption bottlenecks in targeted countries.</p> <p>Output indicator: Number of countries that have incorporated anti-corruption solutions into their MDG acceleration strategies.</p>	<p>Baseline 2013: The countries are off track to achieve specific MDGs by 2015.</p> <p>Target for 2017: At least 10 countries supported to implement MDG acceleration strategies.</p>	1.1.1. Identify, engage and reach agreement with potential countries that express interest and commitment to tackle off-track MDGs at national and/or sub-national levels by addressing governance/anti-corruption bottlenecks.	X	X			BDP Poverty Group, UN Millennium Campaign, Transparency International, Integrity Action, UNDP Regional and Country offices	\$500,000  (10 countries X \$50,000)
		1.1.2. Develop and integrate tools and methodologies within MDG acceleration strategies to promote transparency and access to information, and support public tracking of resources.	X	X	X	X		\$300,000 (4 years X \$75,000)
		1.1.3. Provide advisory support and monitor the progress of countries implementing MDG acceleration strategies.	X	X	X	X		\$720,000 (4 years X \$180,000)
<p>Output #1.2: Anti-corruption solutions integrated in service delivery systems (e.g., recruitment, procurement, inventory management, etc.).</p> <p>Output indicator: Number of countries integrated anti-corruption solutions in service delivery systems.</p>	<p>Baseline 2013: 16 countries</p> <p>Target for 2017: Up to 30 countries</p>	1.2.1. Provide policy and programme support to countries to design and implement initiatives to map out corruption risks in education, health and water sectors and develop risk mitigation plans.	X	X	X	X	Transparency International, U4, Tiri, UNDP Regional and Country offices	\$280,000 (4 years X \$70,000)
		1.2.2. Provide both technical support and financial grants to implement corruption risk mitigation plans in health, education and water sectors and help governments to up-scale successful initiatives, including applying similar methodology in other sectors such as access to justice and agriculture sector.	X	X	X	X		\$1,000,000 (25 countries X \$40,000)
		1.2.3. Provide support for South-South cooperation and knowledge exchange on integrating anti-corruption in sectors.	X	X	X	X		\$200,000 (4 years X \$50,000)





**Objective #1: Integrate anti-corruption solutions in service delivery to contribute to MDG acceleration and post-2015 development goals.**

Intended Outputs #1	Baseline and targets	Key Activities	Timeframe				Partners	Estimated budget
			2014	2015	2016	2017		
<p>Output #1.3: Anti-corruption solutions and experiences incorporated in global advocacy and policy processes.</p> <p>Output indicator: Number knowledge products, country pilots and advocacy events contributed to global development agenda (post-2015, development financing, aid effectiveness, etc.)</p>	<p>Baseline 2013: No detailed documentation of anti-corruption solutions and experiences incorporated in global development processes.</p>	<p>1.3.1. Produce corporate policy guidance and tools related to global debates and trends on anti-corruption and the development agenda, including: development financing, aid effectiveness, post 2015 agenda, among others.</p>	X		X		<p>Post 2015 team, Transparency International, UNDP Regional and Country offices U4 resource centre</p>	<p>\$100,000</p> <p>(2 years X \$50,000)</p>
	<p>Target for 2017: At least 2 knowledge products on anti-corruption solutions for global advocacy produced.</p> <p>At least 3 country pilots on anti-corruption supported to contribute to the post-2015 debate.</p>	<p>1.3.2. Engage and coordinate global advocacy on “UN Norms and International Standards” on anti-corruption vis-à-vis discussions on development financing, aid effectiveness, Open Government Partnership, access to information and post-2015 development agenda.</p>	X	X	X	X	UNODC	<p>\$800,000</p> <p>(4 years X \$200,000)</p>
	<p>At least 2 global advocacy events on governance and anti-corruption organized.</p>	<p>1.3.3. Participate in pilots and demonstration projects aimed at contributing to the post-2015 development debate and the effectiveness of post-2015 development agenda.</p>	X	X				<p>\$300,000</p> <p>(3 countries X 2 years X \$50,000)</p>
		<p>1.3.4. Together with UNODC coordinate the global campaign on the occasion of the ‘International Anti-corruption Day’ ensuring increased engagement and impact at the country level of supported activities.</p>	X	X	X	X		<p>\$400,000</p> <p>(4 years X \$100,000)</p>
Total for objective # 1								\$4,600,000
M&E (5%)								\$230,000
<b>Grand total for Objective 1</b>								<b>\$4,830,000</b>



**Objective #2: Strengthen state/institutional capacity to implement UNCAC and prevent corruption.**

Intended Outputs #2	Baseline and Targets	Key Activities	Timeframe				Partners	Estimated budget
			2014	2015	2016	2017		
<p>Output #2.1: UNCAC and anti-corruption mainstreamed in national development strategies and programmes.</p> <p>Output indicator: Numbers of countries that mainstreamed UNCAC and anti-corruption in national development strategies and programmes</p>	<p>Baseline 2013: 3 countries trained to mainstream anti-corruption in national development programmes (UNDAF)</p> <p>Targets for 2017: 15 countries</p>	<p>2.1.1. Conduct 15 in-country UNDAF workshops with UNCTs and National Counterparts to integrate anti-corruption. Build synergies with the Human Rights Based Approach, particularly providing training to mainstream anti-corruption in UNDAFs.</p>	X	X	X		<p>UNODC, DOCO, UNSSC, Regional and Country Offices</p>	<p>\$450,000</p> <p>(15 countries X \$30,000)</p>
		<p>2.1.2. Provide advisory services to the regions and countries to develop CPDs and national anti-corruption programmes and projects.</p>	X	X	X	X		<p>\$640,000</p> <p>(4 years X \$160,000)</p>
		<p>2.1.3. Provide policy support to integrate anti-corruption in peace-building, post-conflict reconstruction and transition processes.</p>						<p>\$720,000</p> <p>(4 years X \$180,000)</p>
		<p>2.1.4 Strengthen the capacity of newly established institutions as well as civil society and media to prevent and expose corruption in post-conflict and transition contexts.</p>	X	X	X	X		<p>\$100,000</p> <p>(4 years X 25,000)</p>
<p>Output #2.2: Civil society and other actors engaged in national dialogue and consultations on anti-corruption and UNCAC implementation.</p> <p>Output indicators: Number of countries that engaged civil society actors in national dialogue and consultation on anti-corruption and UNCAC implementation</p>	<p>Baseline 2013: 5 countries</p> <p>Target for 2017: At least 12 countries</p>	<p>2.2.1. In collaboration with UNODC, support training for reviewers and the countries scheduled to be reviewed using the "Going Beyond the Minimum" Methodology by engaging with civil society, media, parliamentarians, private sector, etc.).</p>	X	X	X	X	<p>Global Compact UNODC, Regional and Country Offices U4 Resource Centre</p>	<p>\$240,000</p> <p>(12 countries X \$20,000)</p>
		<p>2.2.2. Provide technical support for gap analysis and link the findings with the on-going governance reforms (e.g., national anti-corruption strategy, public administrative reform, parliamentary strengthening, etc.).</p>	X	X	X	X		<p>\$200,000</p> <p>(4 years X \$50,000)</p>
		<p>2.2.3. Produce and disseminate policy and programming guidance regarding inclusive and participatory UNCAC review processes, based on UNDP's experiences and lessons learned.</p>	X	X	X	X		<p>\$100,000</p> <p>(4 years X \$25,000)</p>



**Objective #2: Strengthen state/institutional capacity to implement UNCAC and prevent corruption.**

Intended Outputs #2	Baseline and Targets	Key Activities	Timeframe				Partners	Estimated budget
			2014	2015	2016	2017		
<p>Output # 2.3: Measures to prevent and combat corruption are put in place by anti-corruption institutions.</p> <p>Output indicators: Number of anti-corruption institutions with measures in place to prevent corruption.</p>	<p>Baseline 2013: 16 anti-corruption institutions</p> <p>Target for 2017: At least 20 additional anti-corruption institutions</p>	2.3.1. Conduct capacity assessment of ACAs as a part of capacity strengthening programme. Provide capacity development support to anti-corruption institutions to put in place measures that contribute to strengthen their effectiveness.	X	X	X	X	Country and regional offices.  Commonwealth Secretariat	\$500,000  (20 countries X \$25,000)
		2.3.2. Provide training to ACAs on investigation, prosecution, prevention and awareness-raising. Training packages and knowledge products will also be rolled out in the area of corruption measurement/assessment and monitoring and evaluation of anti-corruption initiatives.	X	X	X	X		UNODC
		2.3.3. Provide technical support to conduct system audits or integrity assessment in sectors (e.g., health, education and water) and help to implement the risk reduction plan contributing to the change management system.	X	X	X	X	OHCHR	\$400,000  (4 years X \$100,000)
			X	X	X	X		\$720,000 (4 years X \$180,000)
Total Budget							\$4,270,000	
M&E (5%)							\$213,500	
<b>Grand Total for Objective # 2</b>							<b>\$4,483,500</b>	



Objective # 3: Mitigate corruption risks in climate finance and natural resource management.								
Intended Outputs #3	Baseline and targets	Key Activities	Time frame				Partners	Estimated Budget
			2014	2015	2016	2017		
Output 3.1 Corruption risks mitigation measures are integrated in REDD+ strategies or programme.  Output indicators: Number of countries that integrated corruption risk mitigation measures in national REDD+ strategies or programmes	Baseline 2013: 4 UN-REDD programme countries completed corruption risk assessments for REDD+  Target for 2017: At least 6 additional UN-REDD programme countries integrate corruption risk mitigation measures in their respective national REDD+ strategies or programmes.	3.1.1. Provide targeted technical support to conduct REDD+ corruption risk assessments.	X	X	X	X	UNREDD programme, Transparency International U4.	\$300,000 (6 countries X \$50,000)
		3.1.2. Strengthen capacities to manage REDD+ corruption risks, based on the findings of the risk assessment.	X	X	X	X		\$180,000 (6 countries X \$30,000)
		3.1.3. Support establishment of platforms for citizen (including women and indigenous people) and media monitoring of REDD+ implementation.	X	X	X	X		\$200,000 (4 years X \$50,000)
		3.1.4. Provide advisory and policy support and document lessons learnt and ensure lessons learnt inform climate change fund management strategies.			X	X		\$100,000 (2 years X \$50,000)
Output 3.2 Countries have transparent and accountable mechanisms and systems to manage revenues from their extractive industries. Output Indicators: # of action plans for transparent and accountable management of revenues from extractive industries  Existence of corruption risk mitigation systems in national extractive sectors	Baseline 2013: No country is being supported to develop action plans  Target for 2017: At least 8 countries	3.2.1. Establish and/or develop corruption risk mitigation systems (against capital flights and misappropriation of funds), for both government and private companies.	X	X	X	X	UNDP's Global Programme on Extractive Industries.	\$100,000
		3.2.2. Support national capacity to make information publicly available related to all aspects of the extraction.	X	X	X	X		\$200,000 (4 years X \$50,000)
		3.2.3. Strengthen national capacity to monitor compliance of companies to established rules and regulations in the extractive sector.	X	X	X	X		\$160,000 (4 years X \$40,000)
		3.2.4. Support local officials, civil society organizations and media to monitor and verify information related to concessions, including through social accountability initiatives involving Indigenous people.	X	X	X	X		\$200,000
		3.2.5. Provide advisory and policy support and document lessons learnt and facilitate south-south exchange.			X	X		\$100,000
Total for Objective 3							\$1,540,000	
M & E (5%)							\$77,000	
<b>Grand Total for Objective 3</b>							<b>\$1,617,000</b>	



**Objective #4: Enhance civic engagement, youth and women's empowerment for increased transparency and accountability at national and local levels.**

Intended Outputs #4	Baseline and Indicators	Key Activities	Timeframe				Partners	Estimated budget
			2014	2015	2016	2017		
<p>Output #4.1: Multi-stakeholder networks, including youth and women networks, engaged in social accountability initiatives at the local and national level.</p> <p>Output indicators: Number of countries that engaged multi-stakeholder networks, including youth, women and civil society networks, in social accountability initiatives at the local and national level.</p>	<p>Baseline 2013: 4 pilot countries</p> <p>Target for 2017: At least 10 countries</p>	4.1.1. Produce policy and programming guidance on civic engagement and social accountability to prevent and combat corruption.	x	x			<p>Transparency International, Integrity Action, UNDP Regional and Country Offices</p>	\$100,000 (4 years X \$25,000)
		4.1.2. Support country level pilot projects to encourage multi-stakeholder engagement in social accountability processes, including the use of innovative technologies/ social media.	x	x	x			\$500,000 (10 countries X \$50,000)
		4.1.3. Engage on research, advocacy and awareness to empower and strengthen the voice of youth and women on anti-corruption, including the analysis of the impact of anti-corruption on gender empowerment and vice-versa.	x	x	x			\$100,000
		4.1.4. Support pilot projects aimed at enhancing social monitoring and accountability through the utilization of ICTs by women and youth networks.	x	x				\$200,000 (2 years X \$100,000)
		4.1.5. Strengthen the capacity and engagement of media and civil society to monitor and report corruption.	x	x	x	x		\$200,000 (4 countries X \$50,000)
<p>Output #4.2 Transparency, accountability and integrity measures are integrated in local/urban governance to improve service delivery.</p> <p>Output indicators: Number of local governments integrate transparency and accountability measures in service delivery</p>	<p>Baseline 2013: 5 countries</p> <p>Target for 2017: At least 10 countries</p>	4.2.1. Engage on research, advocacy and awareness to empower and strengthen the capacity of local governments on anti-corruption.		x	x		<p>Transparency International, U4, Tiri, UNDP Regional and Country Offices</p>	\$150,000 (3 years X \$50,000)
		4.2.2. Provide policy and programme support to local and urban governments to integrate Anti-corruption to improve service delivery.	x	x	x			\$200,000 (4 years X \$50,000)
		4.2.3. Support initiatives to strengthen anti-corruption such as internal oversight and monitoring and horizontal and vertical accountability mechanisms including multi-stakeholders consultations.	x	x	x			\$200,000 (5 local institutions X \$ 40,000)
		4.2.4. Support up scaling local anti-corruption solutions to national levels and linking national level anti-corruption reforms to the local level actions.			x			\$400,000 (2 years X \$200,000)
		4.2.5. Facilitate south-South exchange and document experiences and lessons learned to up-scale similar interventions within the countries, and to serve as reference in other countries.		x	x			\$150,000 (3 years X \$50,000)
Total Budget for objective 4							\$2,200,000	





**Objective # 5: Improve results-based management and institutional effectiveness on anti-corruption.**

Intended Outputs	Baseline and Indicators	Key Activities	Timeframe				Partners	Estimated Budget
			2014	2015	2016	2017		
Output 5.1. Result-based management practice is reinforced in anti-corruption programming. Output Indicators: Number of countries with improved results-based management on anti-corruption.	Baseline 2013: 3 countries supported  Target for 2017: At least 8 additional countries	5.1.1 Develop and implement tools and methodologies to reinforce RBM in anti-corruption programming at the country level.	x	x			BOM, BPPS, Ethics office IATI Secretariat	\$200,000
		5.1.2 Provide training on RBM in anti-corruption including on formulating results and indicators, reports and writing reports with stories on impact.	x	x	x	x	Office of Audit and Investigations, UNDP/EEG	\$240,000 (8 countries X \$30,000)
		5.1.3 Support the country level pilots to integrate anti-corruption in various areas of governance and other development issues including ethics and integrity standards.			x	x		\$100,000 (2 years X \$50,000)
Output 5.2. Knowledge and experience on anti-corruption is shared with countries globally.  Output Indicators: Number of practitioners that uses the anti-corruption knowledge management platforms and tools.	Baseline 2013: 1200 subscribed to the anti-corruption portal  Target for 2017: At least 75% increase in subscription	5.2.1 Lead and manage the UN anti-corruption web portal and other knowledge management tools specialized on corruption prevention interventions at global, regional and national level.	x	x	x	x	Regional and country offices  OHCHR UNODC	\$600,000  (4 years X \$150,000)
		5.2.2. Coordinate the global and regional anti-corruption community of practices to facilitate knowledge sharing and capture lessons learned to enhance UNDP's anti-corruption programming.	x		x		UNESCO UN Women Global Compact UNREDD	\$200,000 (2 years X \$100,000)
		5.2.3. Disseminate key anti-corruption knowledge products produced by PACDE such as guidelines, methodologies and toolkits on integrating anti-corruption in key development areas through training, seminars and conferences.	x	x	x	x		\$120,000 (4 years X \$30,000)
		5.2.4. Develop and roll out knowledge management strategy for UNDP's anti-corruption projects.		x				\$100,000
Total Budget for Objective 5							\$1,660,000	
M&E (5%)							\$83,000	
<b>Grand Total for Objective 5</b>							<b>\$1,743,000</b>	

<b>Total For All 5 Objectives</b>		<b>\$14,983,500</b>
<b>Gms (7%)</b>		<b>\$1,048,845</b>
<b>Grand Total For All 5 Objectives</b>		<b>\$16,031,845</b>



# ANNEX 2: RISK LOG

	Description	Type	Impact and Probability (1 = least; 5 = most)	Mitigation Strategies/Management Response	Owner
1	Lack of investment at the country level to track the progress and measure/assess results	Operational	I= 5 P= 3	<p>UNDP Country Offices will also develop “mid-range theories of change” that will build on this theory of change and adapt it to suit the specific country context.</p> <p>UNDP will develop better indicators and monitoring tools and invest more substantially in country level M&amp;E. UNDP will place greater emphasis on results based management, focusing on those results where UNDP can show a causal link to its own efforts and interventions.</p>	UNDP
2	Shift from MDGs to SDGs may create competing priorities and lead to national partners disinterest in working on MDGs. Similarly, UNDP change management may affect practice architecture at global and regional level.	Operational	I= 5 P= 3	<p>UNDP will continue to advocate for sustained focus on transparency and accountability in all development interventions – whether MDGs or SDGs. Anti-corruption has been identified as a priority in the new strategic plan. This will only reinforce anti-corruption practice architecture to deliver on UNDP’s priority.</p> <p>Moreover, one of the objectives of restructuring is to improve the multi-disciplinary approach (combining sustainable development, democratic governance and resilient-building pathways) to tackle various development challenges.</p>	Programming countries
3	Insufficient resources	Organizational	I= 5 P= 4	UNDP will focus on reshaping its resource mobilization strategy to support the implementation of its strategic plan. Moreover, GAIN has existing and potential commitments by various donors.	UNDP/GAIN
4	Lack of country office and/or regional centre/bureau buy-in; Lack of capacity within UNDP country office	Organizational	I= 5 P= 2	Given that anti-corruption is a key priority in the new UNDP strategic plan, all country offices and bureaus will support anti-corruption initiatives. UNDP new strategic plan places emphasis on results based management and focuses on investing in both internal and external capacities to deliver on UNDP priority areas.	Programming countries, UNDP COs
5	Insufficient coordination or competition with partners, including other UN agencies such as UNODC	Organizational	I= 4 P= 2	The MoU with UNODC, the Australia-UNDP-UNODC Steering Committee, PACDE Advisory Board and other various partnership mechanisms will contribute to increased coordination.	GAIN
6	UNDAF and UN’s other development frameworks are prepared by the people, who may not necessarily have the knowledge of anti-corruption. This is one of the main reasons why anti-corruption end up not being a high priority in many development processes.	Organizational	I = 3 P = 3	UNDP together with UNODC and UN System Staff College to train field staff on integrating anti-corruption in UNDAFs	UNDP



	Description	Type	Impact and Probability (1 = least; 5 = most)	Mitigation Strategies/Management Response	Owner
7	Lack of support/cooperation from national partners to anti-corruption mainstreaming in national development programmes/ climate change fund management/ the management of natural resources.	Political	I= 5 P= 3	UNDP will advocate with all major stakeholders at the national and local levels on the value of mainstreaming anti-corruption, and use UNCAC as an entry point to work in different sectors.  Promoting country-led process will help to address this challenge.	Programming countries, UNDP COs
8	Programme interventions creating expectations that cannot be met by ACAs and thus, it may undermine the role of ACAs	Political	I= 5 P= 2	UNDP will engage all the key stakeholders at the national level while strengthening the capacity of ACAs at all three levels of capacity (political environment, organizational and individual capacities). This would help in setting manageable expectations.	UNDP
9	Politicization of corruption; Force majeure (political unrest, disasters); Lack of political will and resistance by the local authorities in integrating transparency, accountability in local/urban governance. Similarly, political instability in post-conflict and transition countries may affect the programme delivery.	Security Environmental Political	I= 5 P= 3	Efforts will be made by UNDP to support multi-stakeholder processes and develop anti-corruption initiatives through consensus. This will help to shift the focus from politicization of corruption to more on the sustainable development.  UNDP will ensure programming flexibility in responding to the crisis response needs. In its response, UNDP will ensure mainstreaming of anti-corruption and promote transparency and accountability in recovery and reconstruction processes.  Focus on removing bottlenecks to services delivery will help to engage at the local level.	Programming countries, UNDP COs

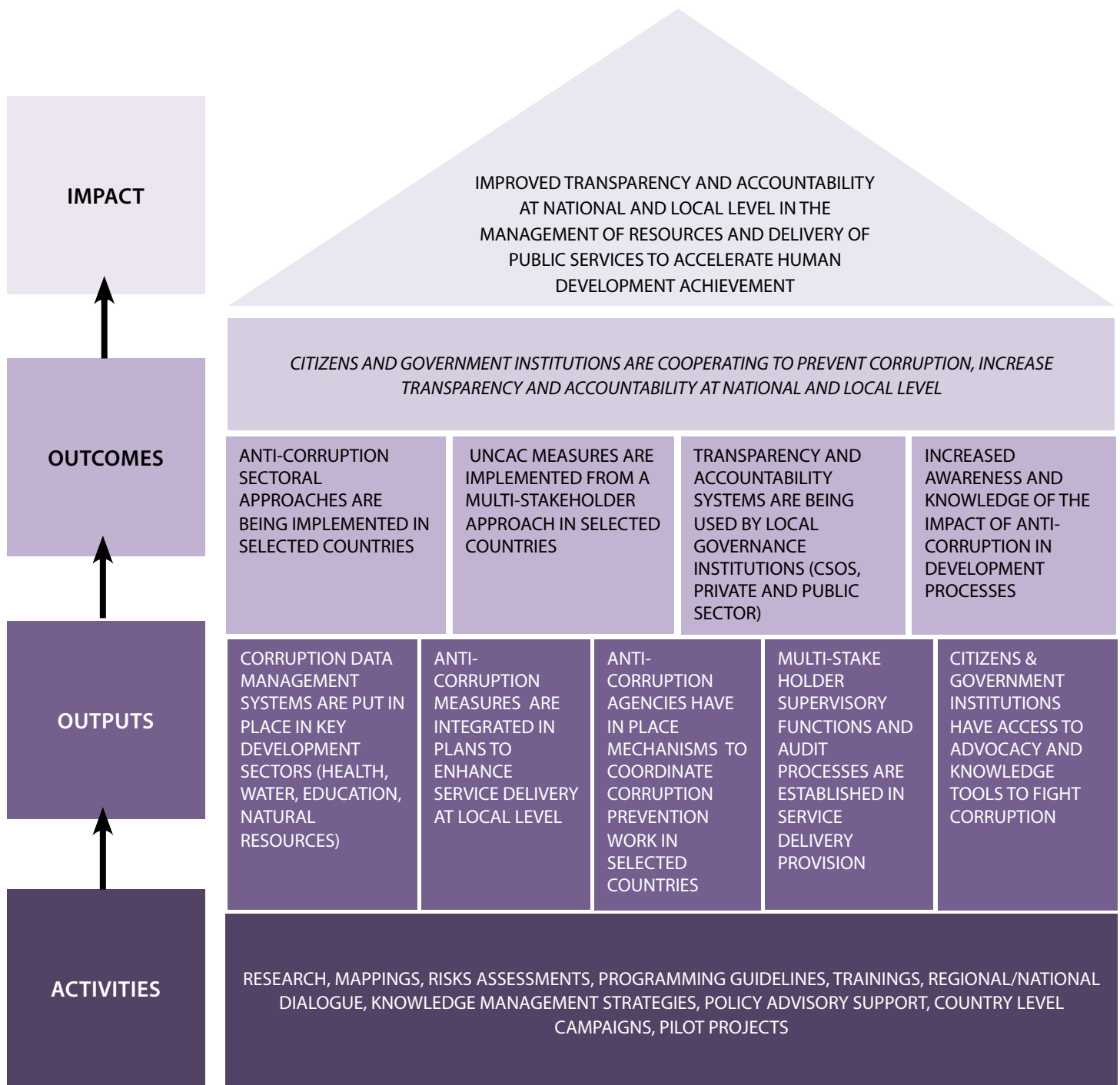


## ANNEX 3: ASSUMPTIONS OF UNDP GLOBAL ANTI-CORRUPTION INITIATIVE (GAIN) (2014- 2017)

Category of assumption	Assumptions
Organizational	<p>Continued support to anti-corruption work within UNDP (included in the strategic plan as an output)</p> <p>Strong regional architecture to provide necessary support to country offices</p> <p>The post-2015 development goals will fundamentally retain the focus on improving service delivery in water, health and education sectors</p>
Operational	<p>Funding support from donors</p> <p>Increase partnership with other UN agencies and global anti-corruption organizations</p> <p>Capacity/cooperation of national institutions and implementing partners</p> <p>Capacity of UNDP Country Offices</p> <p>Uptake of pilot projects by national and local governments</p>
Political	<p>National and local governments cooperation to implement anti-corruption efforts within sectors</p> <p>Political stability in programming countries</p> <p>Continuation of key actors in offices (particularly in national anti-corruption agencies) and cooperation of new actors in power</p>



# ANNEX 4: THEORY OF CHANGE – AN ILLUSTRATION OF HOW GAIN AIMS TO ACHIEVE RESULTS THROUGH ITS OVERALL ENGAGEMENT



Source: Based on GAIN organized Results-Based Management (RBM) workshop held in April 2013 in UNDP HQ, NY.



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[www.undp.org/governance](http://www.undp.org/governance)

[www.anti-corruption.org](http://www.anti-corruption.org)