## CONTENTS

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>2013 Summed up</td>
<td>4</td>
</tr>
<tr>
<td>Themes</td>
<td>6</td>
</tr>
<tr>
<td>Publications</td>
<td>17</td>
</tr>
<tr>
<td>Helpdesk</td>
<td>18</td>
</tr>
<tr>
<td>Training and workshops</td>
<td>20</td>
</tr>
<tr>
<td>Performance monitoring</td>
<td>26</td>
</tr>
<tr>
<td>Presentations</td>
<td>28</td>
</tr>
<tr>
<td>Staff</td>
<td>30</td>
</tr>
<tr>
<td>Accounts</td>
<td>31</td>
</tr>
<tr>
<td>List of annexes</td>
<td>32</td>
</tr>
</tbody>
</table>
U4 is pleased to report that we have managed to achieve most of our 2013 targets, though not entirely meeting those set for in-country workshops. Different hold-ups forced us to delay four workshops to early 2014. U4 advisors are now fully engaged in the work for the delayed workshops, and we are confident that the events will be of the highest quality possible within each given setting. The details of the workshops are available in the training and workshops section of this report.

U4 WORKED ON RECRUITMENT

2013 presented us with some significant challenges. The contract with the new U4 Director was discontinued in September, and time and effort was channelled into a new recruitment process which we anticipate will result in a new director being recruited by mid-2014.

In December, we interviewed three strong candidates for the vacant advisor position for natural resource management issues, one of whom will join us in Bergen in late March, 2014. Her name is Kendra Dupuy, and a short introduction of her is included on page 30.

WE ESTABLISHED TWO NEW THEMES

People’s engagement and anti-corruption approaches in sector work were new themes in 2013. The first analyses the role that citizens can play in promoting transparency, enhancing accountability and safeguarding public resources. The second looks at tools and strategies that integrate anti-corruption in various sectors. Details about the activities around themes are given in the themes section.

DANIDA JOINED THE U4 PARTNERSHIP

In October, U4 and CMI celebrated the signature of a three-year partner contract with Danida – the Danish agency for development cooperation. We had been in dialogue with the Danes for many years, with the aim that they would come on board and further strengthen the U4 Partnership. The team is looking forward to organising a joint event with Danida in Copenhagen in April 2014.

DIALOGUES HELD WITH PRACTITIONERS

The strategic objective of sustaining dialogues and collaboration with our partners has led us to facilitate sessions, give presentations, and join in policy debates at various events. Sida organised two regional anti-corruption events with active participation from U4: Bangkok in May, and Maputo in June. U4 was present at an event organised by GIZ in London on voluntary partnership agreements for forest sector governance, in July. What works and why in anti-corruption was the subject at a well-received, full-day event in Oslo in November.

Throughout the year, U4 staff either held presentations, or were expressly invited to give inputs at 33 non-U4 events. When adding the online courses and in-country workshops, the opportunities for development practitioners and others to get insights into our work have been plentiful. One highlight was the U4-hosted roundtable on Supreme Audit Institutions and their engagement with citizens, held at the Open Government Partnership Annual Summit in London in October.

THE NUMBER OF PUBLICATIONS INCREASED

U4’s approach to analysing and promoting new insights on anti-corruption issues is primarily through U4 Issues, Briefs, and Practice Insights. U4 advisors are authors and co-authors of many papers, and have worked closely with outside experts to ensure high quality and relevance for the donors. The prognosis in late 2013 showed a doubling in the number of publications from 2012. However, with the end-of-year publication rush, some of the fruits of our 2013-efforts only made it to the website at the start of 2014. The year produced 23 publications, compared to 17 in 2012.

Our online archive of over 170 publications (over 400 including Expert Answers) is an important resource for many who work on anti-corruption. These resources were downloaded over 56,000 times in 2013. We have also started using alternative presentation methods such as Prezis to draw attention to our work. A Prezi introduction to risks and responses for corruption and REDD+ was viewed over 1600 times.
U4 CONDUCTED WORKSHOPS ON HEALTH, NATURAL RESOURCES, AND MONITORING AND EVALUATION

Over 70 participants attended the workshop on promoting transparency in the health sector in Ecuador in April. The workshop brought together multiple government and health sector institutions for the first time to generate a shared understanding of corruption risks, and to prepare the ground for more institutional cooperation.

Forest, land and oil were topics covered in U4 workshops in Tanzania and Uganda. The workshop on monitoring and evaluation of anti-corruption efforts, in Cameroon, gathered over 100 participants, primarily from the government’s Anti-Corruption Unit. More information is given in the training section and in the workshop reports in the annex.

WE MOVED CLOSER TO HIGHLY SATISFIED

Those who attend our online courses and workshops and return the feedback forms are almost always either satisfied or highly satisfied with the event (as reported by 98% of participants in 2013, up 1% from 2012). Our goal of shifting the balance further in favour of highly satisfied has been achieved. The indicator improved from 55% in 2012 to 57% in 2013. Ensuring high satisfaction with online training required course experts to be engaging and relevant in every single one of the over fifty weeks of online courses held in the year. Facilitators of online courses have been on constant alert in this respect. For workshops, preparations repeatedly start months ahead to get local hosts, expert speakers, and U4 staff on the same page regarding the objectives of an event. This has been essential for the success of the four in-country workshops in 2013.

DONORS REQUESTED COUNTRY PROFILES

The U4 Helpdesk had a very busy start to the year. The team in Berlin completed ten country-profiles, which donors are requesting more frequently than before. Feedback from enquirers indicates that the Expert Answers are useful for informing ongoing processes in the U4 partner agencies. Institutions that show interest in joining U4 are attracted by the valuable service that the Helpdesk provides. More details about the work of the helpdesk is included in this report.

THE PROXY COMPETITION PUSHED AT THE FRONTIERS OF EVALUATION

The Proxy Challenge Competition was established in an effort to encourage greater use of bespoke proxy indicators as a way to better track progress of a given governance and anti-corruption reform initiative. The entries were analysed and shortlisted at the end of 2013, and preparations stared for the February 2014 Proxy Workshop which would gather contenders, experts and those with a keen interest in improving how we monitor and evaluate programmes.

INDICATORS IMPROVED FOR SOCIAL, ONLINE, AND OVERALL PERFORMANCE

We are on the right track in regaining our online presence after the 2011 web-redesign that caused a drop in visits for technical reasons. Our website received 164,000 visits in 2013, which is 13% more than in 2012. On average, 9500 people visit our website each month.

Our group of followers on LinkedIn have exceeded 520, and we are increasingly making use of this networking tool to keep in touch with our audience. Twitter is an instant channel for sharing news from U4, and we have 520 followers.

The 2013 user-survey was conducted in early 2014, and the results are presented in the performance monitoring section of this report and the user survey report in the annex.

WORK BEYOND U4 INTRODUCED TO ADVANCE CAPACITY

In 2013, U4 advisors had the opportunity to take on anti-corruption related assignments for up to 20% of their time in addition to working on core U4 activities. With this new flexibility arrangement we were able to act on several emerging requests from donors, which allowed U4 staff to get more deeply engaged in e.g. training and evaluations, thus advancing U4’s in-house expertise.
With the arrival of three new advisors our in-house capacity expanded significantly. We delivered on our commitments under the existing themes while also launching two new themes: anti-corruption approaches in sector work and people’s engagement. In addition, the dormant justice sector theme was revitalised.

The themes’ main vehicles for disseminating knowledge to partners and the broader practitioner audience continue to be the WEB pages and publications. In line with the 2012-2016 strategy, however, we have also started using other communication tools and channels to broaden our outreach. This includes using Facebook, LinkedIn, Prezi and Twitter to promote new resources and activities, and encourage engagement around current issues. We also register that other organisations increasingly pick up on U4 work and present it through their own channels.

Our advisors are regularly called on as speakers and presenters at high profile anti-corruption and development related events. This recognition of U4’s expertise and policy relevance allows us to share our research and publications at these events – increasing both ours and our partners’ visibility as actors committed to the anti-corruption agenda.

Emphasis was placed on deepening partnerships where this was of benefit to the work under the themes. U4 joined the Transparency and Accountability Initiative’s Impact and Learning Community of Practice (TALEARN), developed a joint project with the Developmental Leadership Programme and Birmingham University, and continued THE collaboration with OECD.

In addition to the core work under the 2013 annual work plan, U4 was also involved in a number of projects with funding beyond partner contributions. This included projects with the Developmental Leadership Programme, DFID, The European Commission, GIZ, Sida, the Transparency and Accountability Initiative, UNDP and OECD. The additional resources made available through these projects have allowed U4 to generate more knowledge products and broaden its outreach. This contributes directly to U4’s core mandate of assisting donor practitioners to more effectively addressing corruption challenges through their development support.

The following pages provide an overview of the results achieved under the respective themes in 2013.
INTERNATIONAL DRIVERS OF CORRUPTION

www.u4.no/themes/international-drivers-of-corruption

The link between corruption and money laundering in developing countries – and financial intermediaries’ role in facilitating this – was under scrutiny in the 2013 work on international drivers of corruption. We have also expanded the theme to tax-related aspects of illicit financial flows.

In 2013, we built on the stream of earlier publications on the link between corruption and money laundering in developing countries, and started exploring the role of financial intermediaries – particularly corporate services providers – in facilitating money laundering. Ongoing work pushes this issue further by looking at the role of intermediaries in cash-based economies. In response to donors’ demand, we also expanded the theme to analyse tax-related aspects of illicit financial flows. The first publication on this topic pointed to the need for transparency in tax incentives and exemptions. It stated that this is an area that would benefit from further research, and U4 will follow up with further analyses in 2014.

The publications under this theme in 2013 stress the importance of policy coherence in donor countries. In 2014, we intend to look at the donors’ roles in relation to asset recovery, the impact of OECD countries’ anti-bribery laws applied to interactions with developing countries, and donor agencies’ cooperation with other agencies in their home countries.

PRESENTATIONS AND WORKSHOPS

We presented on tax-related aspects of illicit financial flows in developing countries (see below) at the 31st International Symposium on Economic Crime (Cambridge, 1-8 September, 2013). We also developed a module on tax avoidance, which was presented at the U4 workshop in Uganda in May. The participants gave positive feedback about the content, which has prompted us to offer modules on illicit financial flows that deal with tax avoidance and money laundering in a way that is relevant for development. The new modules will be held for the first time at a 2014 workshop in Nepal.

Preventing the misuse of shell companies by regulating corporate service providers

Corporate service providers supply the shell companies that are commonly used to launder illicit funds, including the proceeds of corruption. Effectively regulating these service providers is an important way to limit money laundering and therefore make corruption less profitable. Governments and international organisations must look beyond their current preoccupation with formal laws and regulations to concentrate on practical effectiveness and implementation. The case of the Seychelles provides useful insights and lessons learned for both developing countries and development practitioners.

Tax-motivated illicit financial flows: A guide for development practitioners

Tax revenue can help governments finance development and decrease reliance on foreign aid. But tax-motivated illicit financial flows (IFFs)—tax evasion, tax avoidance and aggressive tax planning—undermine these efforts. Non-specialists may find that the complex discussion on taxation and IFFs is further complicated by the lack of clear definitions of relevant concepts, and by the often polarised nature of policy debates. This issue paper explains the terms and helps development practitioners and policy makers navigate the tax and IFF debates. It also gives an overview of donors’ interventions in this area. There is a growing recognition that tax-motivated IFFs are facilitated in part by the policies of donor countries, hence policy coherence emerges as an important goal for the future.

FORTHCOMING PUBLICATIONS:

Money laundering and anti-money laundering in cash-based societies and communities: The role of financial intermediaries

Foreign bribery provisions in OECD countries: Effects on developing countries

The role of donors in asset recovery
Fenner Zinkernagel G., Gomes Pereira, P.
(U4 Issue, forthcoming 2014)

The Creation of International Financial Centres in Africa: What model for Kenya?
Waris, A. (U4 Brief, forthcoming 2014)
The question of how to improve natural resource management through anti-corruption efforts continued to receive strong interest from U4’s audience. Our work in this area in 2013 includes two in-country workshops, the completion of three publications for which work began in 2012, and various advisory activities.

Our natural resource management publications covered mining, water, and the concept of private sector corruption. We presented new evidence from the natural resource sectors in South Africa showing that transparency initiatives appear to be largely ineffective in contexts where political connection is a particularly critical gatekeeper for economic opportunity. A case study shed light on political corruption in Ghana’s mining sector; often considered a model of best practice based on its policy of distributing mining rents to local authorities. And we captured anti-corruption lessons from two separate approaches to local water sector governance in the Central Asian context of Kyrgyzstan.

**NATURAL RESOURCE TRAINING IN DEMAND**

Half of the in-country workshops in 2013 covered natural resource sectors: land and forests in Tanzania, and oil in Uganda. We also ran the online course on corruption in natural resource management with resource persons from U4, the Revenue Watch Institute, and the South African Institute of International Affairs. More details are given in the training and workshops chapter of this report. The Food and Agriculture Organization (FAO) approached U4 to review their new e-learning module “Addressing Corruption in the Tenure of Land, Fisheries and Forests.” This course explicitly draws on U4 publications.

Interpol’s Environmental Crime Unit also invited U4 to events in Nairobi on environmental law enforcement issues in November.

**CORRUPTION IN NATURAL RESOURCE MANAGEMENT**

www.u4.no/themes/natural-resource-management

Certified integrity? Forest certification and anti-corruption


While forest certification schemes are not primarily geared towards detecting and preventing corruption, they may have some anti-corruption effects in countries where corruption is sporadic but not systemic.

Leaking projects: Corruption and local water management in Kyrgyzstan


This U4 Practice Insight contrasts two project approaches to local water management in Kyrgyzstan from an anti-corruption perspective. It examines the extent to which project goals were affected by issues of corruption and fraud, and identifies lessons for future donor engagement in the country’s local water sector.

Distributing mining wealth to communities in Ghana: Addressing problems of elite capture and political corruption


In this paper the authors review the Ghanaian policy of distributing a proportion of mining rents to local authorities and, contrary to the positive view of some experts, explain that forms of corruption and mismanagement undermine it. Policy implications are also outlined.

A qualitative reframing of private sector corruption: Considerations from the natural resource sectors in South Africa


The currently used concept of private sector corruption does not cover new types of corruption that have emerged in response to the increasing complexity of the public-private boundary and the effects of more liberalized markets. Transparency initiatives are largely ineffective in cases such as South Africa, where the market and state are entwined and political connection is a critical gatekeeper for economic opportunity. The paper advocates both redefinition of the concept of corruption and reform of the process of policy design in anti-corruption work.

**FORTHCOMING PUBLICATIONS:**

- Taking stock of the evidence base for transparency initiatives in high value extractive industries
  
  Acosta, A. (working title, Publication, forthcoming 2014)
We began work on forest law enforcement initiatives and their value for addressing corruption risks in REDD+ last year. This has resulted in two 2013 publications; one on how a new Interpol/UNEP project seeks to improve forest governance, and one with lessons from strong law enforcement approaches in Cameroon and Indonesia. Case studies on corruption risks and anti-corruption approaches for REDD+ implementation in various countries are in the pipeline.

CASE STUDIES ON REDD+ IMPLEMENTATION
We have initiated a series of new case studies looking at REDD+ implementation from an anti-corruption perspective in Kenya, Guyana, Uganda, Indonesia, the Philippines and Vietnam. These case studies will be published in 2014. Further case studies and a synthesis report are also planned for 2014.

PLANNING NEW REDD INTEGRITY COURSE
Given the range of trainings already offered by U4 and other providers in the field of natural resource governance, we undertook a user survey in mid-2013 to evaluate demand for a new U4 online course on REDD+ and anti-corruption. The survey, circulated via our newsletter and website, showed solid demand: 145 respondents said they were likely to take such a course, and 76 thought their colleagues would.

ENGAGING WITH THE POLICY/RESEARCH COMMUNITY
Our work has generated interest among the forest- and climate-governance policy and research community. We have actively used this interest to disseminate our publications and core messages: We participated in two conferences with international participation in Norway focused on REDD+ implementation in May and October.

U4 staff took part in a seminar hosted by GIZ at Carleton House, London, on “FLEGT-VPAs: An Opportunity to Address Corruption in the Forest Sector” where REDD Integrity publications were disseminated and findings discussed. Additionally, the Centre for International Forestry Research (CIFOR) has approached us about deepening our joint collaboration. We have continued to engage with UN-REDD and Interpol during 2013: these organisations have both further disseminated U4 REDD Integrity materials within their respective networks.

FORTHCOMING PUBLICATIONS:
- Land grabs, gold mining and indigenous empowerment: A critical assessment of Guyana’s Low Carbon Development Strategy
  Hilson, G. (U4 Issue, forthcoming 2014)
- Project Leaf and addressing corruption in REDD+
  Standing, A., interviews Stewart, D.
  (U4 Brief 2013:3) 4 p
- Effective forest law enforcement in countries that implement REDD+ schemes is crucial to the success of REDD+. By involving actors aiming to prevent forest crime and corruption, Project Leaf hopes to generate an improved governance platform to aid country implementation of REDD+. Project Leaf counts on development donors for financial and operational support.
- Rule of law and environmental justice in the forests: The challenge of ‘strong law enforcement’ in corrupt conditions
  Downs, F. (U4 Issue 2013:6) 32 p
- Efforts to strengthen law enforcement in the forests need to consider how corruption may interfere with successful detection and suppression of illegal activities. If they are to be successful, programmes promoting forest law enforcement in corrupt contexts also need to be sensitive to how they are implemented, with particular focus on the rights of forest dependent communities.

SPEAKING VISUALLY ABOUT REDD INTEGRITY
In an effort to make our work better known and understood, we have made an online presentation that has been viewed 1,000 times since September. It explains the main challenges and responses to corruption in the forest sector.

2014 WORK THAT STARTED IN 2013:
- Using Corruption Risk Assessments for REDD+: An introduction for practitioners
- The political economy of REDD+ in Kenya: Identifying and responding to corruption challenges
Justice sector institutions are crucial in ensuring that individuals and institutions – including the executive and legislature – remain accountable towards the law. But justice sector institutions are also often part of the corruption problem, and therefore in need of reform.

U4 reinvigorated this theme in 2013 with a primary focus on the judiciary. Recognising the interdependence of different justice and law enforcement agencies, other institutions will be included in future research and activities. Such institutions may include the police, public prosecution- and prison services, bar associations, state- and civil society legal aid providers, and institutions for informal dispute resolution.

**Mapping the Evidence of Success**

In a previous publication, U4 found that while anti-corruption measures in the judiciary are reportedly high in impact, systematic evidence for this is lacking. Hence, an important part of this theme is to continuously map interventions and evidence of their success. The theme also explores alternative actors and mechanisms to conventional formal justice institutions, such as special anti-corruption tribunals and informal justice systems.

The U4 Brief on the Indonesian court for corruption crimes – on the sense and nonsense of popular performance indicators – was presented by U4 staff at the Euroseas (European Association for South East Asian Studies) conference in Lisbon on 6 July 2013.

**E-Discussion on Judicial Integrity**

In November and December 2013, U4 in collaboration with UNDP, the Asia Pacific Integrity in Action Network and UNODC facilitated an e-discussion: Judicial Integrity – Assessing Challenges and Results of Capacity Development Interventions cross-posted on various sites: UN teamworks, the World We Want 2015, and UNDP knowledge networks. All U4 partners were invited to participate, and a consolidated report will be available on the U4 justice sector theme page shortly.

---

**The Indonesian court for corruption crimes: Circumventing judicial impropriety?**

Schütte, S. and Butt, S. (U4 Brief 2013: 5) 4p

The anti-corruption world has witnessed increasing institutional specialisation, including the emergence of anti-corruption courts. Indonesia's Special Court for Corruption Crimes in Jakarta gained prominence for a nearly 100 per cent conviction rate from 2004 to 2011. However, after corruption courts were established in all provincial capitals in 2011, scandals and acquittals have raised questions and criticism about the courts' integrity. While conviction and acquittal rates are popular proxies for court performance in Indonesia, they should not be used as stand-alone indicators. This case illustrates that institutional specialisation when rolled out to a larger scale must go in hand with broader judicial reform.

---

**2014 Work That Started in 2013:**

- **Mitigating corruption in informal justice systems: NGO experiences in Bangladesh and Sierra Leone**
  
  Golub, S. (U4 Brief 2014:1) 4p

  Informal justice systems are the principal mechanism for dispute resolution in many societies, but they suffer from two drawbacks. First, in individual cases, well-off and/or well-connected individuals may engage in transactional corruption, distorting justice processes and outcomes. Second, over time, elites may use their control over these systems to perpetuate their power, status, and financial advantage, resulting in systematic unfairness that is closely linked to transactional corruption.

- **Community court watch in Afghanistan (working title)**
  
  Wardak, A., Taxell, N., and Schuette, S.
  
  (U4 Practice Insight, in collaboration with the People’s Engagement theme, forthcoming 2014)

  This paper looks at Integrity Watch Afghanistan’s experience with court monitoring projects. It describes the methodology of court monitoring, the rationale behind it and the challenges faced during implementation in three Afghan provinces. It does so with particular consideration of the fragile political context.

- **The fish’s head: Appointment and removal procedures for anti-corruption agencies (working title)**
  

  Appointment and removal processes affect the actual and perceived impartiality of institutions such as anti-corruption agencies. The paper examines which stakeholders are involved in appointment and removal processes of agency heads and it what manner. It reviews the eligibility criteria for candidates.
The purpose of this theme is to find out more about what works – and why – for controlling corruption. Two publications were completed in 2013. The first provided guidance on evaluation methods for anti-corruption programmes, and the second discussed the use of proxy indicators for measuring success of reforms. A competition was launched to advance the thinking around proxy indicators, which constituted an entirely new way for U4 to add value to our theme work.

In the first half of 2013, activities took place to communicate the findings in earlier U4 publications on theories of change in anti-corruption work, and how to monitor and evaluate anti-corruption agencies. Practitioner audiences in Botswana, Bangkok and Vilnius, attended presentations on these topics, and the publications contributed to innovations through the World Bank Workshop on Innovations in Governance Measurement (Washington D.C., April 2013). We also gave presentations to Foreign Ministry staff in Helsinki in January, and conducted a full-day event in Oslo in November for staff from Norad and the Ministry of Foreign Affairs, on new U4 insights on evaluation methods and risk management. The combined lecture and follow-up discussions with staff was very well received, and could be replicated for other donor headquarters.

**PROXY CHALLENGE**

The Proxy Challenge Competition – launched in autumn – was an effort by U4 and DFID to explore ways of using bespoke proxy indicators to track progress of a given governance and anti-corruption reform initiative. The entries were analysed and shortlisted at the end of 2013 and preparations started for the February 2014 Proxy Workshop that would gather contenders, experts and those with a keen interest in improving how we monitor and evaluate programmes.

**RISK MANAGEMENT AND PRACTICAL EVALUATION WORK**

An online course on corruption risk assessment was developed during 2013, and the first run was scheduled for January 2014. This has so far been a side-project funded by DFID, but will result in future outputs benefitting all partners. U4 staff was also part of a team that conducted an evaluation of the National Audit Office in Malawi, indirectly informing Norad and DFID’s work, and contributing to future U4 work on evaluation methodologies.

---

**FORTHCOMING PUBLICATION:**

- Cost-effectiveness/benefit analysis framework for anti-corruption activities
  
  Johnsen, J. (working title, Publication, forthcoming 2014)
U4 published a new website for this theme with resources about citizens’ role in promoting transparency, enhancing accountability and safeguarding public resources. We published three U4 Issues and one Practice Insight on people’s engagement in 2013, and more are forthcoming. The publications will serve as a basis for consultations with partners and stakeholders on how to proceed with this theme.

In October, U4 organised a roundtable at the Open Government Partnership Annual Summit, on how Supreme Audit Institutions can increase their performance through engagement with citizens.

TALEARN COMMUNITY OF PRACTICE

As part of our networking efforts, U4 has joined the TALEARN Community of Practice which brings together actors in the field of transparency and accountability. Within the community, U4 is taking the lead on the Transparency, Accountability and Participation Nexus practice group. This collaborative effort will seek to uncover the linkages between these three concepts. In collaboration with TALEARN, U4 will be developing an online knowledge repository aimed at deepening the knowledge base and the interaction between transparency, accountability and participation.

SUPREME AUDIT INSTITUTIONS

Outside the core U4 activity plan and budget – but with important synergies to our theme work – we are collaborating with OECD in a project on citizen engagement and supreme audit institutions (SAIs). This entails the development of a stocktaking report of current work undertaken by development agencies and SAIs on their engagement with citizens, and the development of a draft analytical framework to examine how SAIs engage external stakeholders to enhance good governance.

When Supreme Audit Institutions engage with civil society: Exploring lessons from the Latin American Transparency Participation and Accountability Initiative

Guillán, A. and Lavin, R. and Cornejo, C.
(U4 Practice Insight 2013:5) 22p

The Transparency, Participation and Accountability Initiative illustrates emerging partnerships between audit institutions and citizens, and highlights the benefits and challenges of a cooperative approach for engaging with public officials. The Initiative has created a space for collaboration between civil society organisations and Supreme Audit Institutions in Latin America. It has become a valuable partner for audit institutions and has helped create regional consensus on the legitimacy of transparency and participation mechanisms in audit. However, enhancing the impact of this collaboration requires working with other actors, making the audit process relevant to citizens, and coordinating efforts with development partners.

Maximising the efficiency and impact of Supreme Audit Institutions through engagement with other stakeholders

Reed, Q. (U4 Issue 2013:9) 37p

The effectiveness of Supreme Audit Institutions (SAIs) is not determined solely by resources and capacity levels. A range of other factors is of equal importance, including the accessibility and communication of audit reports and findings and interaction with other stakeholders including NGOs and the media. The state audit cycle is a complex, interconnected system, and good practices in one area may not yield expected impact if other components of the audit cycle do not function well. A review of SAIs in Croatia, Macedonia, Montenegro and Slovenia – with a particular focus on their role in overseeing the financing of political parties and political campaigns – shows that engagement with NGOs, parliaments and other stakeholders is essential to a well-functioning audit cycle. Recommendations are provided to ensure optimal engagement with such stakeholders at all stages of the audit cycle – ranging from the need for an open procedure for audit selection to engagement with external counterparts. The paper concludes with suggested actions for donors, including assistance to NGOs to monitor the implementation of SAI recommendations.
Civil society plays a crucial role in the fight against corruption. The inclusion of civil society in the United Nations Convention against Corruption Implementation Review Mechanism (IRM), however, is only optional. This paper analyses the role civil society has played to date in the IRM in Bangladesh, Brazil, Croatia, and Zambia. The process was broadly perceived as a one-off technical exercise without clear connection to the fight against corruption. This is in large part due to the process being perceived by civil society respondents as lacking transparency and meaningful venues for participation. The report identifies several opportunities to strengthen the role of civil society, including: 1) promoting awareness of the IRM; 2) ensuring sufficient time for meaningful public participation; and 3) developing specific policy advice and practical guidance aimed at ensuring broad public participation.

When Supreme Audit Institutions Engage with Citizens

Open Government Partnership Annual Summit, London, October 2013: High level representatives and experts from civil society and Supreme Audit Institutions (SAI) from different regions and countries came together for a roundtable discussion on SAI engagement with citizens. The panel included:

- Fezeka Baliso (South Africa Auditor General Office)
- Brenda Killen (OECD)
- Renzo Lavin (TPA Initiative- Latin America)
- Heidi Mendoza (Philippines Commission on Audit)
- Vinod Rai (former Comptroller General of India)
- Quentin Reed (independent consultant)
- Paulo R. Simao (Brazil Tribunal de Contas da Uniao)
- Marko Sosic (Montenegro Institut Alternativa)

First row contributors included Sowmya Kudambi (MKSS, an Indian social movement and grassroots organisation best known for its successful struggle and demand for the Right to Information Act) and Paolo de Renzio (International Budget Partnership). The roundtable discussion was coordinated by U4 and hosted in partnership with ACIJ, UNDP, and the World Bank Institute, in collaboration with IDI and OECD. The event attracted an audience of around 50 persons, and links to the video is available on the People’s Engagement Theme.

FORTHCOMING 2014:

- Lessons learned of support to social accountability mechanism in DRC, Liberia and Nepal
  (working title, field work completed)

- How citizens curb corruption and gain accountability: Policy implications and recommendations for international actors

- Community court watch in Afghanistan (working title)
  Taxell, N., Schuette, S. and Wardak, A. (U4 Practice Insight forthcoming in 2014, in collaboration with the Justice Sector theme)

  This paper will look at Integrity Watch Afghanistan’s experience with court monitoring projects. It describes the methodology of court monitoring, the rationale behind it and the challenges faced during implementation in three Afghan provinces. It will do so with particular consideration of the fragile political context.
ANTI-CORRUPTION APPROACHES IN SECTOR WORK


U4 launched a new theme and website to continue working on the social sectors (health, education, etc.), while conducting further research on the principles, practice, instruments, and results of integrating anti-corruption into sector work. Thematic interests include innovative approaches to anti-corruption in sectors, the interplay between governance and sector contexts, and the customisation of anti-corruption tools at the sector level.

The sectors theme is closely linked to the People’s Engagement theme with overlaps in several publications on decentralisation, Supreme Audit Institutions, and the use of information and communication technology for service delivery.

Extensive updates were made in 2013 to our Health theme with several new recommended readings and videos selected by our partners at Boston University, School of Public Health.

Training is an important component of our work under this theme, and the online courses on Corruption in the Education and Health Sectors were held in May and September, respectively – all with updated course readers. A health sector workshop was held in Ecuador in April. The U4 online course on Introducing anti-corruption into sector work – piloted in 2012 – was held in autumn, and received excellent feedback. For more details, please see the chapter on training in this report.

2014 WORK THAT STARTED IN 2013:

Mainstreaming anti-corruption into sectors: Practices in u4 partner agencies
Boehm, F. (U4 Brief 2014:3)

Integrating anti-corruption measures into sector work – known as mainstreaming – receives increased attention from the development community. The benefits of mainstreaming are to consider sector characteristics, produce concrete results, and overcoming political resistance. The challenges include sustainability, staff time and capacities, and the risk of losing sight of broader governance problems. Interviews and an exploratory survey show that U4 partner agencies are integrating anti-corruption perspectives into sector work through different instruments. While they are investing in building internal capacities, further efforts are required to support complementary approaches and strengthen evidence of results.

FORTHCOMING PUBLICATIONS:

Mixed incentives: The adoption and use of ICT innovation

Mainstreaming anti-corruption. What can be learned from integrating anti-corruption into sectors?

Addressing corruption through sector approaches: Exploring lessons from the Moroccan anti-corruption strategy for the health sector
Hussmann, K., Fink, H. (U4 Practice Insight 2013:2) 13 p

Sector-specific anti-corruption efforts are widely recommended but rarely implemented at the country level. The Moroccan Central Authority for Corruption Prevention opted for a sector approach, identifying the health sector as a priority. This analysis of the process and challenges offers valuable lessons for anyone considering similar approaches in any sector. Sector-specific approaches require the involvement of key stakeholders already at the design stage, and an awareness of potential resistance from affected actors. Roles and responsibilities must be clearly defined, including for overseeing the implementation throughout the process.

Good governance for medicines initiatives: Exploring lessons learned
Kohler, J., Ovtcharenko, N. (U4 Issue 2013:3) 36 p

Select global initiatives in the area of good governance and medicines have been particularly useful in generating a political and policy dialogue around the issue of pharmaceutical system good governance. The initiatives examined in this paper have been taken by the World Bank, the WHO and the Global Fund, as well as the Medicines Transparency Alliance. The main findings include that these initiatives identify weaknesses in the pharmaceutical system and can provide important baseline data. Recommendations include the need for political analysis, monitoring and evaluation, and the streamlining and uniformity of assessment tools across institutions.

Complaint mechanisms in the health sector
Vian, T. (U4 Brief 2013:6) 4 p

This brief discusses how complaints mechanisms have been used in two specific contexts. These two cases suggest that complaints mechanisms should be reinforced by political and judicial systems which support investigation and prosecution, and balance their focus on individual level grievances with institutional reforms.

Does it really matter? Making sense of access to information for improving health outcomes

Project selection and preparation: The critical missing link in construction project delivery
Donors’ internal integrity systems, collective donor responses and corruption, and collective action were the main topics of the aid theme this year. These and other issues were covered in six 2013 publications.

U4 published a report on lessons learned on collective donor responses to corruption, and an advanced draft was presented at the OECD DAC GOVNET meeting in Paris in April. The final report was presented during the joint OECD DAC Anti-Corruption Task Team (ACTT) – U4 ACRC seminar in Paris in November.

Another important development is a joint project established together with the Developmental Leadership Program and University of Birmingham to look at the implications adopting a collective action perspective to anti-corruption efforts. This joint project is expected to continue in the coming years.

Last year’s publication on “Mapping evidence gaps in anti-corruption” continued to receive interest from partners in 2013, with a presentation for staff at Sida headquarters in January.

---

**Collective donor responses: Examining donor responses to corruption cases in Afghanistan, Tanzania and Zambia**

Bofin, P., de Vibe, M., Taxell, N., and Beggan, P. (U4 Report 2013:3.1) 98p

In 2006, the OECD Development Assistance Committee (DAC) Ministers of Development expressed a desire to move towards more effective collective responses to corruption. A policy and follow up reports were developed, and Uganda was the first country where the new ideas were put into practice. This report, which includes a study of cases from Afghanistan, Tanzania and Zambia, contributes to expanding the understanding of development partner responses to concrete corruption incidents. The reports seeks to explore the factors that influence the extent to which donors are able to act collectively as a joint, credible enforcer of anti-corruption policies in response to concrete cases. As a backdrop to the case studies, a literature review was conducted, with a focus on what drives change with regards to corruption – and whether there is a role for development partners in effectuating or supporting such change. It also looks at what the literature says about the key factors that influence the response of development partners to corruption cases.

---

**Donor anti-corruption strategies: Learning from implementation**

Taxell, N. and Hart, L. (U4 Brief 2013:10) 6p

A comparison of U4 partner agencies’ anti-corruption strategies shows that while they take different shapes, their purpose, content and approach is similar. Emphasis is placed on safeguarding donor funds and guiding support for anti-corruption interventions. They also signal a commitment to anti-corruption within the agency, to their domestic audience and partner countries.

---

**Implementing a transparency and accountability policy to reduce corruption: The GAVI Alliance in Cameroon**

Vian, T. (U4 Brief 2013:9) 4p

The GAVI Alliance – an alliance of the world’s major players in global immunisation – uncovered massive misuse of its grants in Cameroon in 2011. Analysing how misuse was detected and how GAVI and the government responded, provides lessons on how similar abuses can be prevented in the future. In order to avoid grant mismanagement, programmes should have integrated transparency and accountability systems. This is also applicable to programmes in other sectors.

---

**Lessons from Nicaragua’s experience with the Joint Donor Anti-Corruption Fund**

Millard, A. S. (U4 Practice Insight 2013:1) 10p

Since 2002, the Joint Donor Anti-Corruption Fund (FAC) in Nicaragua worked with the national government to respond to corruption. The FAC brought together a group of nine donors to jointly support the strengthening of public institutions. This effort provides interesting lessons in terms of multi-donor funds, which can establish a common donor voice, place anti-corruption on the agenda, and foster coordination between government bodies. These lessons can help inform joint efforts elsewhere.

---

**2014 WORK THAT STARTED IN 2013:**

> **Collective donor responses: Barking or biting?**
>
> de Vibe, M. and Taxell, N. (U4 Brief 2014:4) 4p
>
> Donors cannot afford to continue to respond in a haphazard, inconsistent, and poorly planned fashion. Attention should be invested into how to respond to corruption cases in a manner that has a strategic focus beyond getting the money back. This means preparing a coordinated response; acting consistently and predictably; and maintaining a dialogue with multiple partners including non-state actors.

> **Donors and “zero tolerance for corruption”: From principle to practice**
>
> Taxell, N. and De Simone, F. (U4 Brief 2014:2) 4p
>
> Bilateral donors often use “zero tolerance for corruption policies” to signal a tough stance against corruption, but staff often experience a lack of clarity on how to apply these policies in practice. Some multilateral development banks have had long experience in applying zero tolerance to corruption policies. Their experience indicates that the strict application of these policies is usually not feasible.
FRAGILE STATES

www.u4.no/themes/fragile-states

We published one Brief in 2013, which aims to ground research and policy guidance in a nuanced understanding of fragile and post-conflict environments. The author looks at different political economies of such contexts, and outlines the key implications for anti-corruption programming. Building on Michael Johnston’s corruption syndromes, the Brief analyses how two different political economies of corruption in fragile states – distinguished by the character of elite politics – affect the way corruption manifests itself. The differences have important implications for anti-corruption programming and the author shows why gradualism, changing elite incentives, and creating political space for reforms are approaches to emphasise for anti-corruption work in fragile contexts.

U4 staff gave presentations on corruption and stabilisation (the University of Birmingham, January 2013) and on checking the state (University of Bergen, March 2013).

UN CONVENTION AGAINST CORRUPTION

www.u4.no/themes/un-convention-against-corruption

The publication of the U4 Issue on the role of civil society in the UNCAC review process garnered much interest at the briefing for civil society following the May meeting of the UNCAC Implementation Review Group in Vienna. U4 participated in the Conference of State Parties to UNCAC (CoSP) in Panama in November, 2013. As in previous years, U4 use the opportunity at CoSP to showcase recent publications, and to reach out to a broad range of actors. During the conference, U4 presented at a special event on illicit financial flows. Two previous publications that provide an orientation to donor staff on UNCAC were updated and also translated into Spanish for the event:

UNCAC in a nutshell. A quick guide to UNCAC for embassy and donor agency staff
(U4 Brief 2010:6) 8p

An ambassador’s guide to UNCAC
(U4 Brief July 2010). 2p

U4 also ran the Understanding UNCAC online course in spring.

Political economies of corruption in fragile and conflict-affected states: Nuancing the picture
Zaum, D. (U4 Brief 2013:4) 43 p

Addressing corruption in fragile and conflict-affected environments is constrained by the risk that reforms can spark violent resistance. Two different political economies of corruption in fragile states – distinguished by the character of elite politics – affect the way corruption manifests itself. The differences have important implications for anti-corruption programming. Gradualism, changing elite incentives, and creating political space for reforms are approaches to emphasise. Anti-corruption institutions can be access points for reforms when underlying conditions are conducive.

FORTHCOMING PUBLICATION:

> “Do no harm” and the New Deal Agenda
(Working title, U4 publication, forthcoming 2014)
<table>
<thead>
<tr>
<th>PUBLICATIONS</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>BRIEF (9)</th>
<th>ISSUE PAPER/REPORTS (9)</th>
<th>PRACTICE INSIGHT (5)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>AID</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>UNCAC</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>REDD</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>NRM</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>E&amp;M</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>PEOPLE’S ENGAGEMENT</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>SECTORS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>FRAGILE STATES</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>JUSTICE</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>INT’L DRIVERS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Jason Sherman (2013)</td>
<td><em>Preventing the misuse of shell companies by regulating corporate service providers</em> (U4 Brief 2013:7) 4 p.</td>
<td></td>
</tr>
</tbody>
</table>
Demand for helpdesk services has remained stable at a high level, with 35 questions posted in 2013 (compared to 34 in 2012). This confirms the value and relevance of the service to donors and anti-corruption practitioners. The flow of queries has been irregular, with periods of intense activity creating capacity and workload management challenges. These were solved by agreeing to space out some queries that were posted in bulk, and through a temporary queuing system. The helpdesk received very positive feedback through the online user survey carried out within the framework of an evaluation exercise. 92% of respondents rated the relevance of the response received for their work as good or very good, and 31% rated it as excellent. 63% of respondents felt that the answer they had received had increased awareness and/or understanding of the issue within their own organisation, and 46% felt it had positively influenced the design of a new project or initiative.

**Expert Answers as Guides**

Some of the answers we have developed provide guidance to field offices on specific issues such as the use of governance indicators, criteria for selecting partner NGOs or tools to prevent corruption in public finance management or procurement. Helpdesk answers have also helped design specific anti-corruption initiatives such as scoping a training module on private sector corruption, or research on corruption in ports and borders. A few questions have focused on anti-corruption approaches and best practices such as asset declarations, the use of ICTs to fight corruption, and youth engagement in anti-corruption. Three queries from different partner agencies have focused on fragile or post-conflict countries and the linkages between poverty, fragility and corruption.

**The Country-Profile Trend Continues**

The nature of the questions confirms some of the trends observed in 2012. Many agencies continue to request country specific information to inform the development of their country strategy: Close to one third of the questions posted relates to requests for country profiles or country specific information. Corruption profiles have been developed for countries as diverse as Colombia, Guatemala, Iraq, Kyrgyzstan, Papua New Guinea, South Sudan, Tajikistan, Uganda and Zimbabwe. The Helpdesk has also been used to inform the development of donors’ anti-corruption policies and approaches to safeguard aid from corruption risks.

**A New Expert Network**

The helpdesk has recently set up an expert network to support our knowledge service operations. More than 250 experts and practitioners have been systematically approached and mobilised within the TI movement and beyond. More than half of them have accepted to volunteer their input and expertise on a regular basis through the network’s mailing list. The helpdesk receives an average of three to five contributions from members for each query posted through the expert networks.

---

**Feedback Quotes:**

“Excellent news! I didn’t realise that these country profiles could be made in such a short period. But with this schedule they will become very useful, also for the upcoming strategy work later this spring!”
– Sida

“Many thanks for the response, which is very helpful for us!”
– GIZ

The Tajikistan and Kyrgyzstan responses were really helpful - being incorporated in DFID’s thinking now.”
– DFID
EXPERT ANSWERS
2013

COUNTRY SPECIFIC
Liberia: overview of public procurement
Panama: overview of corruption risks in the judiciary and prosecution service

SECTOR SPECIFIC
Corruption, fisheries and illicit flows
Corruption in cross-border transactions: literature review
Key features of NGO accountability systems
Asset declarations: Asian experiences
Risks for development cooperation in fragile/transitional states
Corruption in the media in developing countries
Wildlife crime and corruption in Southern Africa
Corruption in ports and borders in Southern Africa
Corruption in fragile states: literature review
Risks for development cooperation in fragile/transitional states
Small and medium companies: reducing bureaucracy and corruption
The role of chambers of commerce and business associations in fighting corruption
Reducing bureaucracy and corruption affecting small and medium enterprises
Public financial management reforms in developing and post-conflict countries

OVERVIEW OF CORRUPTION AND ANTI-CORRUPTION IN:
Iraq
Colombia
Uganda
Guatemala*
South Sudan
Papua New Guinea
Zimbabwe*
Kyrgyzstan

GLOBAL ISSUES AND ANTI-CORRUPTION APPROACHES
Youth engagement in anti-corruption
How-to guide for corruption assessment tools
Costs of corruption to the poor: literature review
Review of donor disclosure policies for corruption cases
Technological innovations to identify and reduce corruption
The role of chambers of commerce and business associations in fighting corruption
Literature review on the linkages between illicit economy and corruption
Salary top-ups and their impact on corruption
Examples of donor agencies’ online reporting mechanisms
Literature review on social norms and corruption
Overview of anti-corruption courses from various providers

“Many thanks for this answer. It is incredibly useful, particularly the often-overlooked need to ensure that both direct partners and their sub-contractors have adequate internal governance systems”
– AusAID

“Super! It has been sent to those doing the write-up for the whole assignment. This will come to good use I know.”
– Norad

“Many thanks for your responses they are very helpful. Even knowing what is not there can be useful as part of the dialogue I am having.”
– DFID

USE OF HELPDESK BY AGENCY 2013

<table>
<thead>
<tr>
<th>Agency</th>
<th>Use</th>
</tr>
</thead>
<tbody>
<tr>
<td>DFID</td>
<td>14</td>
</tr>
<tr>
<td>SIDA</td>
<td>8</td>
</tr>
<tr>
<td>GIZ</td>
<td>5</td>
</tr>
<tr>
<td>DFAT</td>
<td>3</td>
</tr>
<tr>
<td>NORAD</td>
<td>2</td>
</tr>
<tr>
<td>DGD/BTC</td>
<td>0</td>
</tr>
<tr>
<td>MFA FINLAND</td>
<td>2</td>
</tr>
<tr>
<td>TOTAL</td>
<td>34</td>
</tr>
</tbody>
</table>

*U4 and TI jointly decided not to publish two of the Expert Answer completed in 2014.

U4 ANNUAL REPORT 2013 | PAGE 19
With a training portfolio that provides the essentials of anti-corruption as well as the opportunity gain more in-depth knowledge in anti-corruption in a range of sectors and areas, all U4 Partner Agency staff can find a course that is relevant to them. A near 100% satisfaction rate shows that the over 320 practitioners and local partners who completed online courses or participated in workshops in 2013 got an appreciated return on their investment.

**Online Courses**

The training portfolio has grown steadily since U4 offered its first online training course in 2003. That year, 20 participants took the “Essentials of Anti-corruption” course. Ten years later, this course is complemented by six specialised courses. In 2013, 296 donor staff and invited counterparts enrolled in our online courses. U4 develops new courses and revises the current portfolio on an ongoing basis. We also provide some courses in French, at the demand from partners.

**Solid, Positive Feedback**

The 13 courses held in 2013 are listed in the table below. Participants’ satisfaction with this year’s courses match their feedback in 2012. 98% report that they are either satisfied (37%) or highly satisfied (62%) with the training. The scores for whether the training is found to be relevant for their work and if they would recommend it to a colleague also remain high at 4,3 and 4,6 respectively (out of a maximum of 5).

Reports and participant lists for each course are found in Annex 1.

### Feedback and Statistics for Online Courses in 2013

<table>
<thead>
<tr>
<th>Course</th>
<th>“The course was relevant to my work”</th>
<th>“I would recommend this course to a colleague”</th>
<th>satisfied/highly satisfied with the course</th>
<th>no. of courses</th>
<th>participants enrolled</th>
<th>drop-outs</th>
<th>passed</th>
<th>pass-rate*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Essentials</td>
<td>4,3</td>
<td>4,7</td>
<td>99%</td>
<td>6</td>
<td>145</td>
<td>35</td>
<td>103</td>
<td>94%</td>
</tr>
<tr>
<td>Essentials FR</td>
<td>4,4</td>
<td>4,7</td>
<td>100%</td>
<td>1</td>
<td>22</td>
<td>4</td>
<td>14</td>
<td>78%</td>
</tr>
<tr>
<td>NRM</td>
<td>4,2</td>
<td>4,1</td>
<td>81%</td>
<td>1</td>
<td>25</td>
<td>2</td>
<td>19</td>
<td>83%</td>
</tr>
<tr>
<td>UNCAC</td>
<td>4,7</td>
<td>4,6</td>
<td>100%</td>
<td>1</td>
<td>15</td>
<td>6</td>
<td>9</td>
<td>100%</td>
</tr>
<tr>
<td>Health</td>
<td>4,5</td>
<td>4,8</td>
<td>100%</td>
<td>1</td>
<td>19</td>
<td>7</td>
<td>12</td>
<td>100%</td>
</tr>
<tr>
<td>Education</td>
<td>4,3</td>
<td>4,5</td>
<td>100%</td>
<td>1</td>
<td>36</td>
<td>16</td>
<td>20</td>
<td>100%</td>
</tr>
<tr>
<td>Sector work</td>
<td>4,4</td>
<td>4,8</td>
<td>99%</td>
<td>1</td>
<td>21</td>
<td>10</td>
<td>11</td>
<td>100%</td>
</tr>
<tr>
<td>Money-politics</td>
<td>4,5</td>
<td>4,6</td>
<td>100%</td>
<td>1</td>
<td>14</td>
<td>3</td>
<td>11</td>
<td>100%</td>
</tr>
<tr>
<td><strong>Total/Average:</strong></td>
<td><strong>4,3</strong></td>
<td><strong>4,6</strong></td>
<td><strong>98%</strong></td>
<td><strong>13</strong></td>
<td><strong>296</strong></td>
<td><strong>82</strong></td>
<td><strong>199</strong></td>
<td><strong>93%</strong></td>
</tr>
</tbody>
</table>

* Calculation of pass-rates in online courses: Participation in U4 online courses is free of charge for all U4 Partner Agency staff (except GIZ participants on the Essentials course). This lowers the threshold for signing up to courses. The disadvantage is that all courses have a few drop-outs, normally because the participant is too busy with other work tasks to complete the course. U4 therefore calculates pass-rates out of the total number who stayed for the full course, and not the number of participants who enrolled.
U4 staff conducted four successful in-country workshops in 2013, attended by 259 U4 partners and local stakeholders. The first workshop, in Ecuador, covered the health sector, and was carried over from the 2012 work plan. Two workshops, in Tanzania and Uganda, covered different areas of natural resource management – another topic which is generally in high demand. The workshop in Cambodia in October dealt with evaluating and monitoring anti-corruption efforts. Annex 2 contains in-depth reports about the content and outcomes of the workshops.

Four of the workshops planned for 2013 were postponed to early 2014 due to various factors such as delays caused by major local events (e.g. elections). Our approach is always to remain as flexible as possible, and we collaborate closely with the local hosts to agree on a suitable timing. The table on the next page shows all currently completed and planned workshops.

**EXPERIENCING WITH SCOPLING MISSIONS**

A new practice of going on scoping missions in advance of workshops started in late 2012. The Palestine workshop in November 2012 benefitted greatly from the advance visit by U4 staff to better understand the country dynamics and sharpen the aims of the workshop. The second scoping mission took place in Benin in September 2013. U4 was able to inform and engage in a dialogue with the Ministry of Decentralisation, development partners and civil society organisations on integrity and social accountability at the local level, and make concrete plans for the workshop. Concrete outputs of the scoping mission included a revised ToR and agenda, a list of participants, a list of local resource experts, a joint work-plan, a draft template for documentation of good practices, and a draft ToR for a background study.

The third scoping mission was carried out in Malawi in December 2013, where U4 conducted interviews to understand the corruption challenges affecting the health sector. The mission was essential to design a tailored workshop focusing on procurement, public financial management, and management of human resources as the main areas of concern. The workshop took place in February 2014, and a report will follow in the next interim report. The practice of going on scoping missions will be evaluated.

**TABLE 1: PARTICIPATION BY GENDER – ONLINE COURSES**

<table>
<thead>
<tr>
<th>Gender</th>
<th>Enrolled</th>
<th>Dropout/rate</th>
<th>Failed</th>
<th>Passed/rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Female</td>
<td>176 (59%)</td>
<td>55 (31%)</td>
<td>7</td>
<td>114 (94%)</td>
</tr>
<tr>
<td>Male</td>
<td>120 (41%)</td>
<td>27 (23%)</td>
<td>8</td>
<td>85 (91%)</td>
</tr>
</tbody>
</table>

**IN-COUNTRY WORKSHOPS**

U4 has developed a new online course in 2013, with special funding from DFID: *Corruption Risk Management in Programmes*, piloted in January 2014. The possibility of transforming this training into a regular U4 course will be assessed.

**PLANNING NEW REDD INTEGRITY COURSE**

Given the range of trainings already offered by U4 and other providers in the field of natural resource governance, we undertook a user survey in mid-2013 to evaluate demand for a new U4 online course on REDD+ and anti-corruption. The survey, circulated via our newsletter and website, showed solid demand: 145 respondents said they were likely to take such a course, and 76 thought their colleagues would.
FEEDBACK AND STATISTICS FOR WORKSHOPS IN 2013

<table>
<thead>
<tr>
<th>COURSE</th>
<th>“The course was relevant to my work” max 5</th>
<th>“I would recommend this course to a colleague” max 5</th>
<th>“I am satisfied with the workshop”</th>
<th>“I am highly satisfied with the workshop”</th>
<th>No. of participants</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ecuador</td>
<td>4.3</td>
<td>4.3</td>
<td>73%</td>
<td>23%</td>
<td>77</td>
</tr>
<tr>
<td>Tanzania</td>
<td>4.7</td>
<td>4.6</td>
<td>31%</td>
<td>69%</td>
<td>30</td>
</tr>
<tr>
<td>Uganda</td>
<td>4.6</td>
<td>4.9</td>
<td>50%</td>
<td>50%</td>
<td>23</td>
</tr>
<tr>
<td>Cambodia</td>
<td>Only three participants completed the online survey after the workshop</td>
<td>4.5</td>
<td>55%</td>
<td>43%</td>
<td>129</td>
</tr>
</tbody>
</table>

TOTAL/AVERAGE: 4.5  4.6  55%  43%  130

PARTICIPATION BY GENDER IN-COUNTRY WORKSHOPS

<table>
<thead>
<tr>
<th>Gender</th>
<th>Number/rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Female</td>
<td>82 (33%)</td>
</tr>
<tr>
<td>Male</td>
<td>169 (67%)</td>
</tr>
</tbody>
</table>

HIGH-QUALITY INPUTS TO LOCAL DIALOGUES

In 2013, 97% of respondents to workshop feedback surveys reported being satisfied or highly satisfied with the event. This percentage increased from 90% in 2012, and we aim to continue delivering events where partners and local counterparts meet to receive relevant inputs and discuss anti-corruption approaches. On the question of whether participants expect to use the knowledge gained in their work, 95% respond positively. Here are more details on feedback:

FEEDBACK QUOTES:

The methodology was expository, participative and reflective – with interaction between civil society and government representatives. Excellent facilitation by U4. – Participant at Ecuador workshop

A highlight was to learn about the Ministry of Health’s practices and plans for inter-institutional dialogues, and to hear about civil society experiences and opinions. – Participant at Ecuador workshop

WORKSHOPS COMPLETED IN 2013 / POSTPONED UNTIL 2014

<table>
<thead>
<tr>
<th>COUNTRY</th>
<th>HOST</th>
<th>TITLE</th>
<th>DATES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ecuador*</td>
<td>BTC</td>
<td>Promoting transparency in the health sector</td>
<td>3-4 April</td>
</tr>
<tr>
<td>Tanzania</td>
<td>Sida</td>
<td>Natural resource management (forests and land)</td>
<td>24-25 April</td>
</tr>
<tr>
<td>Uganda</td>
<td>Sida</td>
<td>Anti-corruption approaches for oil sector</td>
<td>13-14 May</td>
</tr>
<tr>
<td>Cambodia</td>
<td>Sida</td>
<td>Evaluating and monitoring anti-corruption efforts</td>
<td>9-10 October</td>
</tr>
<tr>
<td>Malawi</td>
<td>Norad</td>
<td>Health sector</td>
<td>Feb 2014</td>
</tr>
<tr>
<td>Ethiopia</td>
<td>Norad</td>
<td>Natural resources</td>
<td>March 2014</td>
</tr>
<tr>
<td>Benin*</td>
<td>GIZ</td>
<td>Internal integrity, social accountability, people’s engagement</td>
<td>April 2014</td>
</tr>
<tr>
<td>Bangladesh</td>
<td>Sida</td>
<td>Health and education sectors</td>
<td>April 2014</td>
</tr>
</tbody>
</table>

* The workshops in Ecuador and Benin were postponed from 2012.
ESSENTIALS OF ANTI-CORRUPTION
A five-week course aimed at practitioners who would like to get a general understanding of the implications of corruption for development outcomes. This course is also offered in French.

WEEKLY TOPICS
1. Definitions, examples and concepts of corruption
2. Explanatory and analytic tools
3. Responses to corruption at the domestic level
4. International drivers of corruption and global responses
5. Anti-corruption and the donor agendas

“I would say that every staff involved in the fight against corruption should attend a course like this. The course exposes you to the bigger picture when it comes to corruption and the fight against it. As an Investigator in the EFCC, you are tied down to your small circle and you miss out on the whole war against corruption. It is an eye opener.”
– Participant feedback

UNDERSTANDING UNCAC
A four-week course to raise awareness about what UNCAC entails and how it can be used to promote good governance in partner countries.

WEEKLY TOPICS
Understanding the basics of the Convention and how it deals with prevention
1. How UNCAC lays the foundation for criminalising corruption and combats it through international cooperation
2. Using UNCAC to strengthen anti-corruption reform

“I am now more comfortable to talk about UNCAC and use it in my work.”
– Participant feedback

CORRUPTION IN NATURAL RESOURCE MANAGEMENT
A four-week programme with information and key lessons for anti-corruption engagement around natural resources. In preparation for offering this course in French in the near future, the readers have been translated to French and are available online.

WEEKLY TOPICS
1. Corruption in the oil sector
2. Corruption in the forest sector
3. Anti-corruption approaches for natural resource sectors

“The course was very appropriate to understanding the dynamics in the natural resource sector and how these affect the development work that we do.”
– Participant feedback

CORRUPTION IN THE EDUCATION SECTOR
A four-week course on methodologies to address problems of corruption in education. Offered in collaboration with the International Institute on Educational Planning-IIEP, UNESCO, and aimed at practitioners in the education sector.

WEEKLY TOPICS
Including corruption in education sector dialogue, SWAPs, programmes and projects
1. Promoting the use of methodological tools to monitor corruption in education
2. Introducing successful country strategies to reduce corruption in education

“It is very interactive and engages students in the learning process. It also has a wide coverage and lets students learn from across geographical divides.”
– Participant feedback
ONLINE COURSES AND IN-COUNTRY WORKSHOP, AUTUMN 2013

MONEY IN POLITICS
A three-week course on the challenges arising from the need for financial resources in electoral processes. For practitioners dealing with democracy building and those interested in understanding how electoral processes interfere with development programmes.

**WEEKLY TOPICS**
1. Political finance – between democracy funding and the risk of corruption
2. Regulating political finance, control by state agencies and oversight by media and non-profit organisations
3. Global standards

“One strength is to gather people working on the subject coming from different back-grounds and with different experience. The biggest strength is certainly the solid expertise and professionalism of the experts.”
— Participant feedback

INTRODUCING ANTI-CORRUPTION INTO SECTOR WORK
This course looks at tools and strategies that identify corruption risks, and explains the entry points for integrating anti-corruption approaches into sector work to improve governance and achieve goals.

**WEEKLY TOPICS**
1. Why? Background and rationale
2. How to? The building blocks
3. Applying what you have learned

WORKSHOPS 2013
CAMBODIA
Evaluating and monitoring anti-corruption efforts
PHNOM PENH 9-10 OCTOBER, 2013

The first day of this workshop U4 informed an audience of 115 (mostly government officials, but also some academics, civil society and private sector representatives) on international experiences with national anti-corruption strategies. Two prominent examples were given from Indonesia and Thailand, including the basics of their monitoring and evaluation. The second workshop day provided a group of 30, mostly ACU officials, with training in the principles of monitoring and evaluation, tailored to the specific needs and challenges of anti-corruption agencies.

The ACU did not train any dedicated monitoring and evaluation professionals, so the course provided much needed inputs. Participants were very eager to learn, and the use of real programmes for the group work prompted interest, activity, and reflections on potential programme changes. The ACU will be in a good position to take forward their monitoring and evaluation work following this workshop.

CORRUPTION IN THE HEALTH SECTOR
A three-week course on causes and consequences of corruption in the health sector, vulnerabilities in drug supply systems, informal payments, and strategies to minimise the problems. Offered in collaboration with Boston University, School of Public Health, and aimed at practitioners in the health sector. Weekly readings supplemented with video lectures.

**WEEKLY TOPICS**
Overview of problems, consequences and reform
1. Informal payments
2. Pharmaceutical systems corruption

“One focussed, sharp introduction to key issues. Good facilitation and interesting assignments and feedbacks.”
— Participant feedback
WORKSHOPS 2013

ECUADOR

Promoting transparency in the health sector
QUITO, 3-4 APRIL, 2012

This workshop was the first of its kind in Ecuador to bring together governance and health sector institutions and has prepared the ground for future institutional cooperation in the health sector and drug supply transparency strategy. It was delivered in Spanish, and the Council for Civil Society Participation (a state institution) was the main counterpart, while the Ministry of Health shared valuable knowledge through presentations.

The specific objectives of this two-day workshop were:
- To generate a shared understanding of corruption and to identify the specific corruption risks in the Ecuadorean health sector;
- To identify the challenges for a transparent and participatory administration of the Ecuadorean health sector;
- To identify measures to address corruption risks in key areas of the health sector, with special emphasis on prevention, transparency and civil society participation;
- To facilitate discussions on recommendations for future actions of participating institutions to promote transparency in the Ecuadorean health sector.

TANZANIA

Anti-corruption approaches for natural resource management, with special reference to land and forest issues
DAR ES SALAAM, 24-25 APRIL 2013

The workshop brought together U4 Partners, the World Bank, the Tanzanian Ministries of Natural Resources and Tourism, of Land and of Finance, the Tanzanian Revenue Authority and the Forest Service, plus a range of national civil society groups: WWF Tanzania, Tanzania Natural Resources Forum, Agenda for Participation 2000, Hakiardhi, and the Tanzanian Extractive Industries Transparency Initiative (TEITI).

The main focus was placed on corrupt practices in the forest, land and charcoal sectors and effective measures to address them. The Tanzanian authorities have limited information about the revenues generated from the forest and charcoal sectors, and EITI could be a useful initiative to facilitate data gathering and formalisation. Participants, however, noted that Independent Forest Monitoring could be better suited to country and sector conditions, particularly given important issues still to be overcome with the original EITI process in Tanzania. Work on a forest inventory was agreed to be crucial in the short to medium term as part of broader efforts to raise general levels of transparency in the forest and land sectors.

UGANDA

Anti-corruption approaches for oil sector corruption
KAMPALA, 13-14 MAY 2013

The workshop provided donor staff with an opportunity to engage with international experts, learn more about the main forms of corruption associated with the oil sector, and share ideas among themselves in a frank and open manner. The primary objective was to help donor agencies develop a better understanding of corruption risks and improve their responses to corruption in the oil sector.

Transparency was one of the key issues discussed in the workshop. There was agreement that while some information has been made available by the government during the design of the institutional framework for oil management, the real issue remained how this information is disseminated. It needs to be presented to the general public in a user-friendly format and leveraged to keep government officials accountable.

One of the most interesting, ongoing initiatives analysed during the workshop is the Uganda Oil Wiki, a project jointly developed by Open Oil and the Uganda Radio Network which provides constantly updated information on the Ugandan oil sector, including on such sensitive issues as the institutional framework and role of state owned enterprises. If appropriately used and widely shared by donors and civil society, tools such as the Oil Wiki can have a significant impact on improving the level of accountability in the oil administration.
INCREASED RECOGNITION AS A LEADING RESOURCE CENTRE

The latest annual user survey revealed that the percentage of U4 partners who view the centre as a leading source of ideas and expertise on anti-corruption has increased from 56% to 63%. The examples U4 has received of how our audience uses our resources show that we are an important contributor to deepening the knowledge in the field, which in turn is used to inform anti-corruption efforts. It is not only through U4 training and workshops that U4 contributes to learning. Our open access resources are also used actively by academics and practitioners as references in many other training activities. The full user survey report is available in annex 3.

Over 80% of respondents to the survey say they find the U4 website highly informative, relevant and useful, and the total number of downloads of U4 publications in 2013 was over 56,000. Both of these statistics have remained stable in the past two years, and to achieve further improvement and growth it will be necessary to invest more efforts into website development and resource promotion.

The annual user survey also presents other positive statistics on e.g. how readers perceive the quality and relevance of U4 publications, and how positively they compare this to material from other sources. Further performance statistics are available in the statistics for U4 activities (annex 4) and the performance monitoring logframe (annex 6). U4’s results chain is attached in annex 5.

EVIDENCE OF UPTAKE, IMPACT, AND DEMAND FOR FURTHER ADVICE

We gather anecdotal evidence of the various ways in which U4 publications and activities are used by others, and we receive many follow-up requests from organisations who wish to involve U4 staff in relevant activities.

Here are some examples from 2013:

- **Norad’s Department for Quality Assurance/Aid Management Section** used the U4 Issue Per diem policy analysis toolkit (December 2012) in a staff course that covered anti-corruption and fraud prevention among other topics.

- **U4’s Proxy Challenge Competition** prompted calls for collaboration from the Integrity Vice Presidency at the World Bank, as well as interest from DFID’s Governance Open Societies and Anti-Corruption Department. The initiative also received spontaneous positive feedback from many others such as UNDP, TI, and academics.

- **The U4 Brief** on the Indonesian Court of Corruption Crimes (September 2013) was praised by the US Department of Justice/US Embassy in Jakarta.


- **Devex** interviewed U4 staff in connection with a story about procurement reforms at the World Bank.

General media interview requests have come from places like Denmark, Nigeria, and Jamaica, and quite often, U4 has had to turn down such request and invitations to present at various events due to capacity constraints. In 2013, we turned down requests from UNODC, UNDP, the World Bank Institute, TI, the Austrian Development Agency, and the International Association of Anti-Corruption Authorities.

U4 RESOURCES ARE WIDELY USED BY OTHERS

160 survey respondents answered the question of how U4 resources had helped their work in the past year. About half of the examples relate to how the respondents have achieved a deeper understanding of issues through the use of U4 resources, and to how the resources are being used to teach and inform others. About 40% of the examples given relate to how information in U4 resources has been used for specific purposes.
OTHER CHANNELS PROMOTING U4 RESOURCES

As a small actor with limited capacity for promotion and dissemination, being visible through more channels than our own is a great way to reach a larger audience.

Below are some examples of other relevant actors and media referring to U4 resources and activities in their own blogs, websites, and publications.

A sector expert facing corruption in education (in French)

BMZ’s anti-corruption strategy paper
U4 is mentioned several times in the paper; U4 training is used as an example of efforts that have real impact. http://bit.ly/1bX7Yk5

The European Research Centre for Anti-Corruption and State Building
The website featured the U4 publications on theories of change and mapping evidence gaps. http://bit.ly/1pvQXwe

The International Budget Partnership
IBP posted a blog about the roundtable organised by U4 at the OGP Summit 2013. http://bit.ly/1m3sNNZ

UNDP PAGE (Partners for Anti-Corruption and Good Governance in Eastern Europe & Central Asia)
The website promoted a U4 issue on Supreme Audit Institutions. http://bit.ly/1m3LoR

Thompson Reuters Foundation news
An article covered corruption risks to REDD+ and cited U4 staff as a result of the REDD workshop at the IACC in late 2012. http://bit.ly/1iwHaJL

Here is a small selection of answers (Annex 3 includes many more):

- U4 has a number of very useful publications on REDD+ Integrity; these have provided excellent background information for the work we do.
  - Non-partner respondent

- U4 resources helped in carrying out a corruption risk assessment while appraising grant applications.
  - U4 partner

- A report on corruption in the education sector in Honduras helped with planning a bilateral programme in education.
  - U4 partner

- A U4 Expert Answer helped us develop an anti-corruption strategy at the Embassy.
  - U4 partner

- U4 resources have helped me advise the justice sector on how to fight corruption.
  - U4 partner
## PRESENTATIONS

<table>
<thead>
<tr>
<th>WHO</th>
<th>WHAT</th>
<th>TOPIC AND / OR EVENT</th>
<th>ORGANISER</th>
<th>DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ARÁNZAZU GUILLÁN</strong></td>
<td>Presenter</td>
<td>From principles to change in practices: Do transparency and participation in Supreme Audit Institutions (SAIs) work for improving accountability? / 3rd Global Conference on Transparency Research</td>
<td>HEC, Paris, France</td>
<td>23-26 October</td>
</tr>
<tr>
<td></td>
<td>Presenter</td>
<td>Searching for the middle ground. Framing patterns for TPA research and programming / Escaping universal blueprints and tiny context islands</td>
<td>ODI, T/A I, London, UK</td>
<td>11 November</td>
</tr>
<tr>
<td></td>
<td>Organiser / Facilitator</td>
<td>When Audit Institutions Engage with Citizens, Organizer/Facilitator / Open Government Partnership Annual Summit</td>
<td>OGP, London, UK</td>
<td>1 November</td>
</tr>
<tr>
<td><strong>NILS TAXELL</strong></td>
<td>Presenter</td>
<td>Presentation of findings of “Mapping evidence gaps in anti-corruption” U4 Issue.</td>
<td>SIDA, Stockholm</td>
<td>21 January</td>
</tr>
<tr>
<td></td>
<td>Participant</td>
<td>Community of practice on impact and learning in transparency and accountability.</td>
<td>Transparency and Accountability Initiative, Cape Town</td>
<td>17-20 February</td>
</tr>
<tr>
<td></td>
<td>Presenter</td>
<td>The 17th DAC Network on Governance Plenary Meeting</td>
<td>OECD DAC, Paris</td>
<td>25 April</td>
</tr>
<tr>
<td></td>
<td>Presenter</td>
<td>NGO Briefing on margins of the 4th Session of the Implementation Review Group</td>
<td>UNCAC Secretariat, UNODC, Vienna.</td>
<td>30 May</td>
</tr>
<tr>
<td></td>
<td>Facilitator</td>
<td>Regional Anti-Corruption Workshop for Sida staff</td>
<td>SIDA, Maputo, Mozambique</td>
<td>2-5 June</td>
</tr>
<tr>
<td></td>
<td>Panelist</td>
<td>Special Event on Illicit Financial Flows, Fifth session of the Conference of the States Parties to the United Nations Convention against Corruption</td>
<td>UNCAC Secretariat, Panama City, Panama</td>
<td>27 November</td>
</tr>
<tr>
<td><strong>SOFIE A. SCHÜTTE</strong></td>
<td>Presenter</td>
<td>Evaluating and monitoring anti-corruption agencies / Transparency International’s annual Europe and Central Asia regional meeting</td>
<td>Transparency International, Lisbon, Portugal</td>
<td>6 June</td>
</tr>
<tr>
<td></td>
<td>Presenter</td>
<td>Presentation of U4 Brief: “The Indonesian Court for Corruption Crimes: Circumventing judicial impropriety?” / EuroSEAS Conference</td>
<td>European Association for South East Asian Studies, Technical University of Lisbon, Portugal</td>
<td>4 July</td>
</tr>
<tr>
<td></td>
<td>Facilitator</td>
<td>Judicial Integrity – Assessing Challenges and Results of Capacity Development Interventions / E-discussion posted various sites: UN teamworks, the World We Want 2015, and UNDP knowledge networks</td>
<td>U4 in collaboration with UNDP, the Asia Pacific Integrity in Action Network and UNODC</td>
<td>4 Nov-3 Dec</td>
</tr>
<tr>
<td><strong>ANDRÉ STANDING</strong></td>
<td>Panelist</td>
<td>Online debate: Transparency: more than a tick-box exercise?</td>
<td>Global Development Professionals Network</td>
<td>15 June</td>
</tr>
<tr>
<td></td>
<td>Facilitator</td>
<td>REDD+ and corruption in Kenya</td>
<td>Ministry of Environment, Water and Natural Resources, Kenya</td>
<td>15 July</td>
</tr>
<tr>
<td></td>
<td>Participant</td>
<td>UNEP/INTERPOL Conference workshops on fisheries timber</td>
<td>Nairobi, Kenya</td>
<td>5-8 November</td>
</tr>
<tr>
<td>WHO</td>
<td>WHAT</td>
<td>TOPIC AND/ OR EVENT</td>
<td>ORGANISER</td>
<td>DATE</td>
</tr>
<tr>
<td>--------------</td>
<td>--------------</td>
<td>-------------------------------------------------------------------------------------</td>
<td>------------------------------------------------</td>
<td>----------------</td>
</tr>
<tr>
<td>ALED WILLIAMS</td>
<td>Presenter</td>
<td>Causes and consequences of corruption in Natural Resource Management/Regional Workshop on Anti-Corruption in Southeast Asia</td>
<td>SIDA, Bangkok, Thailand</td>
<td>22-23 May</td>
</tr>
<tr>
<td>Presenter</td>
<td>Presenter</td>
<td>Corruption in natural resource management: Forms, causes, consequences/ Regional Workshop on Anti-Corruption in South East Asia</td>
<td>SIDA, Bangkok, Thailand</td>
<td>22-23 May</td>
</tr>
<tr>
<td>Participant</td>
<td>Participant</td>
<td>Options for REDD+ National Architecture</td>
<td>University of Ås, Norway</td>
<td>29-31 May</td>
</tr>
<tr>
<td>Participant</td>
<td>Participant</td>
<td>Illegal Logging Stakeholder Consultation and Update Meeting No. 22</td>
<td>Chatham House, London, UK</td>
<td>8-9 July</td>
</tr>
<tr>
<td>Participant</td>
<td>Participant</td>
<td>VPA’s – An opportunity to address corruption in the forest sector</td>
<td>GIZ (event held at Carleton House, London, UK)</td>
<td>10 July</td>
</tr>
<tr>
<td>Presenter</td>
<td>Presenter</td>
<td>The political economy of corruption and REDD+ in Kenya: Initial findings</td>
<td>Norad, Oslo, Norway</td>
<td>12 December</td>
</tr>
<tr>
<td>Participant</td>
<td>Participant</td>
<td>VPA’s – An opportunity to address corruption in the forest sector</td>
<td>GIZ (event at Carleton House, London, UK)</td>
<td>10 July</td>
</tr>
<tr>
<td>Presenter</td>
<td>Presenter</td>
<td>Anti-corruption in development programmes: mainstreaming and the project cycle</td>
<td>Ministry of Foreign Affairs, Finland</td>
<td>15 January</td>
</tr>
<tr>
<td>Presenter</td>
<td>Presenter</td>
<td>Corruption and stabilisation</td>
<td>University of Birmingham, International Development Department</td>
<td>31 January</td>
</tr>
<tr>
<td>Presenter</td>
<td>Presenter</td>
<td>Training module for anti-corruption agencies in Sub-Saharan Africa: Methods, tools, and practices on corruption and anti-corruption measurement and assessment</td>
<td>UNDP, the Directorate of Corruption and Economic Crime (DCEC) in Botswana and the Commonwealth Office, Gaborone</td>
<td>28 February</td>
</tr>
<tr>
<td>Presenter</td>
<td>Presenter</td>
<td>Checking the State - Anti-Corruption Institutions</td>
<td>University of Bergen, Department of Comparative Politics</td>
<td>7 March</td>
</tr>
<tr>
<td>Presenter</td>
<td>Presenter</td>
<td>Governance systems and corruption – fragile states</td>
<td>World Bank. Workshop on Innovations in Governance Measurement</td>
<td>26 April</td>
</tr>
<tr>
<td>Presenter</td>
<td>Presenter</td>
<td>Global perspectives on costs of corruption and anti-corruption approaches/ Regional Workshop on Anti-Corruption in South East Asia</td>
<td>SIDA, Bangkok, Thailand</td>
<td>22-23 May</td>
</tr>
<tr>
<td>Presenter</td>
<td>Presenter</td>
<td>How to measure the success of anti-corruption agencies?</td>
<td>Transparency International Summer School, Vilnius</td>
<td>9 July</td>
</tr>
<tr>
<td>Presenter</td>
<td>Presenter</td>
<td>Practical issues in fighting corruption in developing countries/ Cambridge International Symposium on Economic Crime</td>
<td>University of Cambridge, UK</td>
<td>6 Sept</td>
</tr>
<tr>
<td>Presenter</td>
<td>Presenter</td>
<td>Evaluation of anti-corruption strategies</td>
<td>Norad, Oslo, Norway</td>
<td>7 November</td>
</tr>
<tr>
<td>Presenter</td>
<td>Presenter</td>
<td>Partners in Audit: Evaluation of collaboration between OAGN and NAO in Malawi</td>
<td>Office of Auditor General, Oslo, Norway</td>
<td>6 November</td>
</tr>
<tr>
<td>Participant</td>
<td>Presenter</td>
<td>FRAUDNET conference on Fraud and Asset Recovery</td>
<td>ICC FRAUDNET, Oslo, Norway</td>
<td>26 Apr</td>
</tr>
<tr>
<td>Presenter</td>
<td>Presenter</td>
<td>Practical Issues in Fighting Corruption in Developing Countries/ Cambridge International Symposium on Economic Crime</td>
<td>University of Cambridge, UK</td>
<td>6 Sept</td>
</tr>
<tr>
<td>Participant</td>
<td>Participant</td>
<td>Promoting Transparency in Latin America and the Caribbean: Innovation and Lessons from the Transparency Trust Fund</td>
<td>MFA, Oslo</td>
<td>29 Oct</td>
</tr>
</tbody>
</table>
OTHER CMI STAFF SUPPORTING U4

ARNE STRAND   Acting Director
Deputy Director and Senior Researcher at CMI. Political scientist focusing on peace, conflict and aid, with a particular emphasis on Afghanistan.

ALED WILLIAMS   Senior Advisor
Political scientist and researcher with 11 years of experience working on anti-corruption issues.
Themes: Natural Resource Management / REDD Integrity

ARANZAZU GUILLAN MONTERO   Advisor
Development practitioner and researcher with over ten years of experience working on the political economy of governance and anti-corruption, and transparency and accountability.
Themes: Anti-corruption Approaches in Sector Work / People’s Engagement

SOFIE ARJON SCHÜTTE   Advisor
Researcher and development practitioner with 10 years of experience working on anti-corruption reform in Indonesia and Asia.
Themes: Justice Sector / Anti-Corruption Agencies

KIRSTY CUNNINGHAM   Communications Advisor
Research communications specialist with nine years of experience working on U4’s information and communication tasks.

NILS TAXELL   Senior Advisor
Development practitioner and researcher with more than 10 years of experience focusing on governance, anti-corruption, fragile states and aid effectiveness issues.
Themes: Aid / People’s Engagement / UNCAC

JESPER JOHNSØN   Advisor
Political scientist and development researcher specialised in corruption and development, particularly evaluation and fragile states issues.
Themes: Evaluation and Measurement / Fragile States

FRANCESCO DE SIMONE   Advisor
Political scientist and anti-corruption expert with six years of experience working with Transparency International (USA), and the Inter-American Development Bank, and U4.
Themes: International Drivers / Aid / Procurement

SARA ÖGMUNDSDÓTTIR   Finance and Operations Manager
Experienced corporate financial advisor responsible for contract management, financial management, training support and partner relations.

LISA ARNESTAD   Online and Publications Coordinator
Experienced information designer with responsibility for designing and publishing U4 and CMI’s publications and other materials.

RECRUITED IN 2013

KENDRA DUPUY   Advisor (Joining U4 in March 2014)
Political economist focusing on company-community relations, corporate social responsibility, beneficiation schemes, and transparency in the extractive industries, as well as on institutional governance solutions to overcoming the resource curse.
Themes: Natural Resource Management / REDD Integrity.

AFFILIATED STAFF

KAREN HUSSMANN   Senior Resource Person / Independent Consultant
VERA DEVINE   Resource Person / Independent Consultant
ANDRÉ STANDING   Research Affiliate
LIZ HART   Independant Consultant

DEPARTURES IN 2013

LIZ HART   Director
PAUL WADE   Director

HELPDESK - OPERATED BY TRANSPARENCY INTERNATIONAL

MARIE CHÉNE   Knowledge and Policy Manager
MAIRA MARTINI   Knowledge and Policy Officer
ROBIN HODESS   Policy and Research Director
SOFIA WICKBERG   Knowledge and Policy Officer

OTHER CMI STAFF SUPPORTING U4

ROBERT SJURSEN   IT Programmer
INGVILD HESTAD   Head of Communications
# 2013 INCOME STATEMENT

<table>
<thead>
<tr>
<th>2013 U4 INCOME STATEMENT</th>
<th>IN ORIGINAL CURRENCY*</th>
<th>RECEIVED NOK</th>
<th>TOTAL INCOME (NOK)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>2012</td>
<td>2013</td>
</tr>
<tr>
<td>AUSTRALIA (DFAT)</td>
<td>EUR 205 000</td>
<td></td>
<td>1 526 922</td>
</tr>
<tr>
<td>BELGIUM (BTC)</td>
<td>EUR 102 500</td>
<td></td>
<td>777 637</td>
</tr>
<tr>
<td>BELGIUM (DG)</td>
<td>EUR 102 500</td>
<td></td>
<td>627 376</td>
</tr>
<tr>
<td>UK (DFID)</td>
<td>GBP 220 000</td>
<td></td>
<td>1 549 400</td>
</tr>
<tr>
<td>GERMANY (GIZ)</td>
<td>EUR 205 160</td>
<td>391 972</td>
<td></td>
</tr>
<tr>
<td>FINLAND (MFA)</td>
<td>EUR 205 000</td>
<td></td>
<td>1 519 706</td>
</tr>
<tr>
<td>NORWAY (NORAD)</td>
<td>NOK 2 300 000</td>
<td></td>
<td>2 300 000</td>
</tr>
<tr>
<td>SWEDEN (SIDA)</td>
<td>SEK 1 797 710</td>
<td></td>
<td>1 529 132</td>
</tr>
<tr>
<td>U4 transferred balance from 2012</td>
<td></td>
<td>577 551</td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td></td>
<td>391 972</td>
<td>11 682 709</td>
</tr>
</tbody>
</table>

# 2012/2013 FINANCIAL STATEMENT

<table>
<thead>
<tr>
<th></th>
<th>NOK</th>
<th>EUR</th>
<th>GBP</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2012</td>
<td>2013</td>
<td>2013</td>
</tr>
<tr>
<td>Balance transferred from previous year</td>
<td>1 003 143</td>
<td>577 551</td>
<td>71 419</td>
</tr>
<tr>
<td>U4 Expenditure</td>
<td>14 001 875</td>
<td>12 447 679</td>
<td>1 539 257</td>
</tr>
<tr>
<td>Total Expenditure</td>
<td>14 001 875</td>
<td>12 447 679</td>
<td>1 539 257</td>
</tr>
<tr>
<td>Funds claimed and received</td>
<td>13 576 283</td>
<td>11 497 131</td>
<td>1 421 714</td>
</tr>
<tr>
<td>Funds not received (Claim for funds sent 2014)</td>
<td>707 451</td>
<td>87 482</td>
<td>74 166</td>
</tr>
<tr>
<td>Total funding</td>
<td>13 576 283</td>
<td>12 204 582</td>
<td>1 509 196</td>
</tr>
<tr>
<td>Balance year end</td>
<td>577 551</td>
<td>334 454</td>
<td>41 358</td>
</tr>
<tr>
<td>Project balance committed for next year’s activities</td>
<td>334 454</td>
<td>41 358</td>
<td>35 063</td>
</tr>
</tbody>
</table>
LIST OF ANNEXES

Annex 1  Online course reports
Annex 2  Workshop reports
Annex 3  Annual user survey report
Annex 4  Statistics for U4 activities
Annex 4  Results chain
Annex 6  Performance monitoring logframe
NOTES
Anti-corruption resources, training, and helpdesk for development practitioners

The U4 Anti-corruption Resource Centre (U4) brings together the best research and practical experience to equip development practitioners and policymakers with resources and tools to minimise the impact of corruption.

The centre was established at the Chr. Michelsen Institute in 2002. CMI is one of Scandinavia's leading independent development research institutes, located in Bergen, Norway. U4 is funded jointly by several bilateral aid agencies. These agencies are the U4 partners who also form the Steering Committee for U4.

U4 produces papers on various anti-corruption topics available for free at www.u4.no. We also conduct training (in-country workshops and online courses) for U4 partner agencies and their local partners. The U4 helpdesk provides tailored answers to questions faced by individuals in the partner agencies.

U4 PARTNER AGENCIES

BMZ
BMZ
BMZ
BMZ
BMZ
BMZ
BMZ