Final Evaluation Report

UNCAC Coalition project "Civil Society Participation in the UNCAC – Building Momentum for Change"

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Abbreviations

COSP	Conference of the States Parties
COVID-19	Coronavirus disease 2019
CSO	Civil Society Organisation
DAC	Development Assistance Committee
Danida	Danish International Development Agency
ECOSOC	United Nations Economic and Social Council
FACTI Panel	The High-Level Panel on International Financial Accountability, Transparency and Integrity for Achieving the 2030 Agenda
GIZ	The Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH
GRECO	Group of States against Corruption, the Council of Europe
HR	Human Resources
IRG	Implementation Review Group
IRM	Implementation Review Mechanism
MEL	Monitoring, Evaluation and Learning
NGO	Non-Governmental Organisation
Norad	Norwegian Agency for Development Cooperation
ODA	Official Development Assistance
OECD	Organisation for Economic Cooperation and Development
OGP	Open Government Partnership
SDGs	Sustainable Development Goals
TI	Transparency International
UN	United Nations
UNCAC	The UN Convention against Corruption
UNDP	The UN Development Programme
UNGASS	The United Nations General Assembly
UNODC	United Nations Office on Drugs and Crime
USAID	United States Agency for International Development

Executive Summary

Overview

This report contains the full findings from an independent review of the progress made by the UNCAC Coalition in the implementation of its Programme "Civil Society Participation in the UNCAC – Building Momentum for Change", funded by the Norwegian Agency for Development Cooperation (Norad).

The Programme sought to increase the involvement of civil society organisations (CSOs) in UN Convention against Corruption (UNCAC) processes and fora, including by supporting civil society participation in the Second Review Cycle of the Convention which began in 2015 and is still underway. Activities undertaken by the Coalition during the programme implementation period of November 2018 and December 2020 sought to bring about change at the national, international and intergovernmental levels.

The evaluation assessed the Programme according to its relevance, effectiveness, efficiency, impact and sustainability, as well as reviewing the 'programme design and management' and the 'added value' of the Programme on CSO participation in the UNCAC and on the development of the UNCAC Coalition as an organisation. The findings are intended to facilitate accountability and learning, and to inform future programme work undertaken by the Coalition.

Evaluation Objectives and Scope

The purpose of the evaluation was to assess the UNCAC Coalition's programme "Civil Society Participation in the UNCAC – Building Momentum for Change" (hereinafter "the Programme") which was implemented from November 2018 to December 2020 and was funded by Norad. The evaluation, however, also had a broader scope by reviewing the entire work of the Coalition during the time period, due to the complementarity of this programme with commitments to its other two main donors - the Danish International Development Agency (Danida) and the Sigrid Rausing Trust. By assessing all streams of work by the Coalition, this evaluation gives a holistic assessment of the Organisation's achievements over the previous two years.

There were 5 main objectives of the evaluation:

- **Objective 1:** Provide an objective assessment of the achievements and impact the project has had so far against indicators (both those agreed with the donor, as well as other relevant indicators), and the strengths and weaknesses of the project.

- **Objective 2:** Assess the organisational development of the UNCAC Coalition during the project's implementation period.

- **Objective 3:** Conduct an in-depth analysis of the challenges associated with the project and how they can be addressed moving forward, generating lessons learned and recommendations for the future project implementation and for the UNCAC Coalition's

organisational development to help maximise the relevance and effectiveness of the Coalition's work.

- **Objective 4:** Evaluate the nature of the cooperation between the UNCAC Coalition and UNODC and assess how the Coalition could have a greater direct impact both in Vienna and at the country level.

- **Objective 5:** Generate insights based on input from Coalition CSO members on how the Coalition could better support the work and help maximize the impact of its members.

The evaluation findings aim to facilitate accountability and learning, and to be both backwards looking by assessing activities undertaken to date, while also providing forward-looking insights to inform future UNCAC Coalition programming. It aims to serve as an evaluation of the UNCAC Coalition's achievements, approaches and activities, as well as to provide recommendations for course-correction and improvements in programming. The findings of the review are also intended to inform the Coalition's Strategy development process which is ongoing in early 2021.

Methodology of the Evaluation

The evaluators used a multi-stage, mixed-method research approach using quantitative and qualitative research tools. An online survey collected insights from across the Coalition's membership, while in-depth interviews and focus groups with internal and external stakeholders increased the depth of understanding by drilling down on key areas of work. This combination of methods ensured the breadth and depth of the evaluation and allowed the evaluators to gather useful insights on what worked and what can be improved upon in future iterations of the project. The evaluation used a 'Most Significant Change' analysis approach in order to identify and gain insights on the key programme impacts from different beneficiary and stakeholder perspectives. The evaluation was participatory and inclusive, engaging with the UNCAC Coalition throughout the process, from design decisions through to implementation and analysis, in order to ensure the highest relevance and usefulness of the evaluation for the organisation.

Key Findings

- *Relevance*: The work of the Coalition is perceived by internal and external stakeholders as relevant and responding to clear needs. The Coalition has displayed an appropriate level of flexibility to changing circumstances and exhibits a high level of awareness of both the UNODC 'universe', its parameters and limitations, as well as the diverse national environments in which the member organisations are working. Over the course of its lifetime, the Programme adapted well to both opportunities (for example, the forthcoming United Nations General Assembly (UNGASS) 2021) and challenges (e.g. COVID-19 pandemic), and showed an appropriate level of flexibility and adaptive management.
- *Effectiveness*: Despite challenging circumstances, the evaluation found many signs of effective implementation for this Programme. Most planned activities and outputs were achieved and in general activities were implemented to a very high standard, which was

appreciated by beneficiaries and stakeholders. Where the Programme had more limited success was in achieving substantial gains towards the higher order outcomes and impacts, but some developments towards achievement were observed.

- *Efficiency*: Despite a short overall project timeframe and modest staffing throughout most of the support period, the Programme was efficiently delivered. Both internal and external factors posed significant challenges to the achievement of planned results, but the Coalition team operating from Vienna ("the Vienna Hub") demonstrated responsiveness and flexibility, which led to significant progress, particularly in the latter half of the Programme.
- *Impact*: The review found several promising stories of impact, despite the short Programme timeline, which represent successes or potential successes for the Coalition. The four most significant impacts identified were:
  - providing support to CSOs engaging with their national governments on the Second Cycle UNCAC Review via the Transparency Pledge,
  - enabling a more transparent and inclusive UNCAC Review processes via CSO Parallel Reports,
  - strong international advocacy via engagement with government delegates in Vienna and
  - the organisational evolution and professionalisation of the Coalition.
- *Sustainability*: Many aspects of the Programme show a high likelihood of enduring beyond its lifetime, including the capacity-building efforts, the professionalisation of the Vienna Hub in this foundational period, the research and knowledge products produced, and the networking relationships built up at national and international level.
- *Programme Design and Management:* The Programme enabled the professionalisation of the Coalition's Hub in Vienna, with a larger, committed and well-qualified team now in place and operating smoothly.
- *Added value:* The Coalition added considerable value to the participation of CSOs around the UNCAC. The interventions, at both national and international level, benefited substantially from being implemented by the UNCAC Coalition, given the organisation's combined unique organisational set up and mission to improve transparency and inclusiveness in the UNCAC processes.

Topline Lessons Learned

At the heart of this evaluation was a drive to identify lessons on what worked, what did not work and what changes the Coalition could make to ensure future projects are more successful. The following are the topline lessons learned which should be closely considered for future programming:

- A key success of the Coalition's work has been its work in **partnerships**. At the international level, the Coalition works well in coordinating positions with other international Non-Governmental Organisations (NGOs), e.g., Article 19, Transparency International (TI) and with UNODC, donors and delegations. There is potential for further

and deeper partnerships, for example with the OAS Inter-American Convention against Corruption, Open Government Partnership (OGP), Organisation for Economic Cooperation and Development (OECD), the UN Development Programme (UNDP), the Council of Europe's Group of States against Corruption (GRECO), and other regional anti-corruption bodies.

- The Coalition has started to make inroads into tracking progress and monitoring implementation and impact, and has the beginnings of a Monitoring, Evaluation and Learning (**MEL) system** in place, including tracking databases for several activity areas. However, this tracking remains ad hoc and not part of a broader system. In addition, the results framework lacks clear connections between activities, outputs and outcomes, making it difficult for the Coalition to show their contribution to higher order impacts. For future programming, it is important that the team reflect further on the Theory of Change, rework the results framework and develop a MEL system to ensure they can keep an ongoing log of progress towards expected results and impacts. Impact and stories of success should also be more frequently and widely communicated, both internally (among the membership) and externally.

- Many of the **advocacy tactics** of the Coalition have been very successful - particularly the excellent engagement with national delegates in Vienna. The advocacy vis-a-vis UNODC, particularly regarding improvements to the UNCAC processes and policies, is met with resistance from UNODC which considers itself in a purely administrative function. A review of the advocacy strategy to ensure the most effective tactics are used would be beneficial for the Coalition. The 6th principle of the Transparency Pledge also faced resistance in some countries and in these locations national CSOs would benefit from additional advocacy support.

- **Internal communications** are crucial to the operation of a loose network such as the Coalition. There has been improvement over the course of the Programme on this aspect, however the Coalition should continue to prioritise consistent, engaging, informal and regular communication with the membership to increase engagement and help prevent an awareness gap among members on the Coalition's activities. The Coalition can also support its membership better by sharing knowledge about effective approaches/success stories of CSOs in countries which have had important impacts.

- **External stakeholder** communication and engagement: The Coalition has built an excellent reputation externally, and is considered a relevant and knowledgeable source of information on the UNCAC. Timely follow-up on points discussed after meetings or events, and increasing communication with external stakeholders on the work of the Coalition, would help to maintain momentum and avoid missed opportunities for partnerships.

- **Fundraising**: The Coalition has done well to secure three excellent donors, but would be on a more secure and sustainable footing if further donors who prioritise civil society engagement were pursued. Possible donors and or relationships to pursue include The Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), the UNDP and the United

States Agency for International Development (USAID). The Coalition should also explore fully potential synergies with the U4 Anti-corruption Resource Centre and maximise potential networking opportunities that the U4 may provide.

- The following lessons learned emerged on **organisational aspects,** which are especially important for sustainability: need for review of data and information storage processes, Human Resources (HR) policies and processes, as well as strategic discussions (involving also Board and Membership) in several areas, including advocacy and communications strategies and working to attain United Nations Economic and Social Council (ECOSOC) status approval.

Topline Recommendations

Strategic recommendations based on the findings from the evaluation are:

- ❖ Aim to **strengthen the Convention text** as a long-term goal for the Coalition.
- ❖ Review the Programme **Theory of Change** and communicate it clearly for internal and external stakeholders.
- ❖ Review the **Advocacy Strategy** particularly the participation of CSOs in the subsidiary bodies and on the 6th principle of the Transparency Pledge.
- ❖ Develop an internal and external **Stakeholder Engagement Strategy**.
- ❖ Develop a **Fundraising Strategy** to diversify the funding base and provide seed funding for activities by Coalition members.
- ❖ Review **Organisational Branding** in light of the ongoing strategy review and ESOSOC issue.

Operational recommendations based on the findings from the evaluation are:

- ❖ Update **Internal Policies and Processes** including a MEL system, log frame, risk register, data and information storage and human resources.
- ❖ **Extend Partnerships** to other parts of the UN system and other regional bodies.
- ❖ Review and extend **engagement tactics** with delegations.
- ❖ Intensify outreach beyond the 'friendly' delegations.
- ❖ Continue **External Communications** including on social media platforms and visibility at events/on panel discussions.

Introduction

The United Nations Convention against Corruption (UNCAC)

The UNCAC is an international treaty on anti-corruption which was adopted by the UN General Assembly in 2003 and it has since been ratified by 187 States Parties. The Convention has extensive provisions covering preventive measures, criminalisation and law enforcement, international cooperation, asset recovery, technical assistance and information exchange. While it does not define corruption as such, it covers different corruption offenses ranging from bribery, trading in influence, abuse of functions, and corruption in the private sector. The Secretariat for the Convention is the United Nations Office on Drugs and Crime (UNODC) based in Vienna.

Compliance with, and implementation of, the Convention is assessed via the Implementation Review Mechanism (IRM), which is a peer review process where each States Party is assessed by two other States Parties. The review process includes the completion of a self-assessment checklist and country visits are undertaken if requested by the reviewed States Party. While the reviewed country can include consultations with civil society, they are not obliged to do so. The Implementation Review Group (IRG) is the UN body responsible for overseeing the IRM, and is composed of States Parties but excludes civil society organisations (CSOs). Following the review, countries must only publish the executive summary of their report, but do not need to publish the self-assessment checklist or the full report.

The reviews are undertaken in cycles, and the current Second Cycle Review covers the UNCAC chapters II on preventive measures and V on asset recovery. It began in 2015 and was originally planned to end in 2020, but it has since been extended to 2024.

History and overview of the Programme

The UNCAC Coalition is a global network of more than 350 civil society organisations and individual members in over 100 countries, committed to promoting the implementation and monitoring of the UNCAC. Established in 2006, it mobilises civil society action for the UNCAC at international, regional and national levels. After more than a decade as an informal civil society network, in 2015, the Coalition registered as an association in Austria and in early 2019, the Coalition opened its first permanent office in Vienna (the "Vienna Hub"). The Vienna Hub is now staffed with a team of five including one part-time office manager and one intern, which has been made possible by the support provided by, amongst other donors, Norad. The Coalition's work is overseen by its Board, the Coalition Coordination Committee or "CCC", composed of representatives of international and national member organisations from the different regions, as well as an individual member.

The Coalition currently works on, amongst others, the following topics:

- Strengthening the UNCAC Review Mechanism to make it more transparent and inclusive and to promote greater follow-up on recommendations,

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- Increasing asset recovery and accountability in the return of stolen assets,

- Promoting the right to access information about anti-corruption efforts and promoting transparency in areas crucial to preventing corruption, such as public procurement, company registries and asset declarations of public officials,

- Advancing beneficial ownership transparency and countering money laundering to stem illicit financial flows,

- Improving policies and mechanisms to protect those who uncover and report on corruption, including activists and reporters,

- Advancing recognition of victims' rights and compensation for the harm caused by corruption,

- Gaining recognition of grand corruption as an international crime and of the need for special measures to address it, and

- Securing civil society participation in UNCAC fora, particularly in UNCAC country reviews, and observer status for CSOs in UNCAC Conference of the States Parties (COSP) subsidiary bodies.

Much of the work of the UNCAC Coalition is funded by Norad, via the project "Civil Society Participation in the UNCAC – Building Momentum for Change". The Programme's overall high-level objective was to 'build momentum for effective anti-corruption reforms to be adopted and implemented on the national level following a transparent and inclusive UNCAC review process, reflecting the input and recommendations of CSOs in Official Development Assistance (ODA) countries.' Norad agreed to support the Coalition with NOK 2,500000 (approximately 236.977 Euro) via a Grant Agreement in 2018. The project was expected to be implemented during the period from 1 November 2018 to 31 December 2020, but a no-cost extension was agreed until the end of March 2021.

Programme objectives

Four specific objectives (outcomes) were planned under the Programme:

- Outcome 1: CSOs contribute to the national UNCAC Second Cycle review process with the support of the Coalition.

- Outcome 2: ODA country governments enable a transparent and inclusive UNCAC review process on the national level.

- Outcome 3: Civil society groups use the UNCAC to advocate for change in anti-corruption practices in ODA countries.

- Outcome 4: Civil society successfully advocates for improvements related to the UNCAC process and UNCAC policy issues.

The Programme aimed to support the involvement of civil society in, and contributions to, UNCAC fora by: strengthening networking efforts among CSOs, supporting CSOs' contributions to the UNCAC review process by creating parallel reports on national UNCAC implementation, engaging governments to commit to higher standards of transparency and civil society participation in the UNCAC review process, and engaging governments to advance good practices in UNCAC implementation.

As part of the grant agreement, a mid-term evaluation was due to be completed by March 2020. In consultation with the donor, it was agreed that the evaluation would be moved to become a final evaluation, as it was deemed that the findings would be more insightful when giving more time for the implementation of the Programme. The consultancy team of Coralie Pring and Suzanne Mulcahy was selected to conduct the evaluation over the course of November 2020-February 2021.

Evaluation Approach

Purpose and Approach

The purpose of the evaluation was to assess the Programme of work implemented from November 2018 to December 2020 funded by Norad. Due to the complementarity of the programme with commitments to the Organisation's other two main donors - the Danish International Development Agency (Danida) and the Sigrid Rausing Trust - the evaluation took a broad scope by reviewing the entire work of the Coalition during the time period. By assessing all streams of work by the Coalition, this evaluation gives a holistic assessment of the Organisation's achievements over the previous two years.

The evaluation was designed in order to adhere to rigorous standards in evaluation research design. It conforms to the Organisation for Economic Co-operation and Development (OECD)'s Development Assistance Committee (DAC) evaluation criteria and quality standards for development evaluation planning and implementation. The evaluation assessed and reviewed the relevance, effectiveness, efficiency, impact and sustainability of the Programme, as well as 'programme design and management' and the 'added value'. Across all areas, the evaluators sought to gather operational, strategy and impact-orientated lessons learned to inform future programming. While the evaluation sought lessons learned across all of the above criteria, deeper insights from priority criteria of relevance, effectiveness and impact were chosen due to their strategic importance for forward-looking planning.

The analysis of the findings was rooted in situation analysis, which provides an assessment of the systems in which the Programme beneficiaries are operating (financial, economic, social, political and institutional capacities), in order to better understand how the activities of the UNCAC Coalition contributed to higher-level change as well as what hindered the Programme achieving its desired goals.

Methodology

The evaluators used a multi-stage, mixed-method research approach allowing for both a breadth of understanding from across the full range of Programme beneficiaries and stakeholders, as well as for depth of understanding by focusing and drilling down on key areas of work to gather useful insights on what worked and what can be improved upon in future iterations of the Programme. The evaluation was participatory and inclusive, engaging with the UNCAC Coalition throughout the process, from design decisions through implementation and analysis in order to ensure the highest relevance and usefulness of the evaluation for the organisation.

A full list of documents reviewed during the literature review during the evaluation's inception phase is included in Annex 1.

The primary research involved the following data collection modes:

- Online quantitative survey of 45 UNCAC Coalition Members[1] (See Annex 3: Survey Questionnaire) administered in 3 languages (English, French and Spanish);
- In-depth interviews with 5 key programme personnel, 4 UNCAC Coalition board members, 5 External Stakeholders, 3 representatives from Donor Organisations and one follow-up interview with an UNCAC Coalition member;
- 2 Focus Groups involving 9 UNCAC Coalition programme personnel, internal stakeholders and members.

Due to the large number of Programme beneficiaries and stakeholders, the evaluation employed a 'Most Significant Change' technique to gather insights with regard to assessing the impact of the Programme. These insights were then filtered up, verified and systematically selected in an inclusive and participatory way together with UNCAC Coalition staff and partners. This approach allowed qualitative insights on 'what success looks like' to be gathered for the range of members and stakeholders of the Coalition and resulted in a series of stories of high-level impacts which best represent the objectives of the Programme, and can be used to assess and communicate its performance as a whole.

Limitations

While the research approach was designed to provide both breadth and depth in its assessment of the Programme, as with all evaluations, some limitations exist which should be duly noted when considering the findings:

- Limited budget available for the review, which given the global coverage of the Coalition and the broad scope of the Terms of Reference for this review, placed limitations on the possible depth of the review;
- Limitations regarding MEL system in place: while the Vienna Hub collects monitoring data for donor reporting and carries out some ongoing activity and outreach tracking, this does not cover all activities and there is no overall MEL system in place. This resulted in only limited programme monitoring data being available to the reviewers;
- The timing of the evaluation coincided in part with the end of year and New Years' holiday season, which may have impacted on response rates, particularly with regard to the survey. This was particularly notable in the regions of the Americas and Asia;
- Relatively low survey response rate means the results are indicative but not necessarily representative of all member's views.

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[1] The survey was distributed by email to 361 valid email addresses of Member Organisations and Individual Members, which represents a response rate of 12%. The survey fieldwork was undertaken from 24 Dec 2020 - 13 Jan 2021. 73% of the respondents were male and 27% were female. The regional distribution was: 22 Sub-Saharan Africa, 8 Europe and Central Asia, 8 Asia Pacific, 4 Middle East and North Africa, and 3 Americas.

Situational Analysis

In order to ensure the evaluation, its findings and recommendations are embedded in a clear understanding of the surrounding context, a situation analysis was conducted after the inception phase. This situation analysis brings to the fore internal strengths and weaknesses and external opportunities and threats that may have had an impact on the Programme's success. The Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis is summarised in Figure 1 below.

Figure 1: Summary of SWOT analysis

Internal

Strengths
- **Team**: Committed, responsive and solution-oriented.
- **'Start-up' culture**: nimble, flexible organisational culture.
- **Location**: Vienna-based hub team keeps 'finger on the pulse' of UNODC.
- **Strong relationships** and **Good Reputation:** with UNODC, national delegates in Vienna.
- **Project design:** flexible to adjust to changing factors (e.g. UNGASS), COVID.
- **Broad membership:** voice of a huge constituency of CSOs.
- **Board Diversity**: represents the diversity of of the membership.
- **Regional coordinators**: have potential to connect CSOs within regions and filter national and regional issues to global level.

Weaknesses
- **Capacity**: Broad portfolio of priorities for a small team.
- **Sustainability**: Reliance on a limited set of donors (3) is a concern.
- **Loose membership structure**: many member organisations are completely passive in their 'membership' of the Coalition.
- **MEL:** monitoring and impact evaluation processes adhoc.

Opportunities
- **Supportive stakeholders:** Broad buy-in to strategic agenda from board members, several active member organisations and external stakeholders.
- **Alliance of like-minded governments:** Appetite and willingness to work together among progressive governments to strengthen UNCAC.
- **UNODC framing:** sees Coalition as the 'umbrella organisation on a/c' and voice of civil society.
- **UNGASS:** profiling opportunity and possible policy wins .

Threats
- **Shrinking space for civil society:** growing number of 'blocking govts' unlikely to be moved to support reform of UNCAC processes.
- **Vienna's Consensus-based system:** empowers small number of govts to block reform.
- **Weak UNCAC review mechanism**
- **UNODC position on procedures:** declared lack of competence to engage in reform of the procedures.
- **Agenda is largely set by external forces (UN, UNODC , States Parties etc):** unforeseeable course-changes inhibits Coalition's planning.
- **COVID environment:** not conducive to informal networking (a key advocacy tactic of the Coalition on margins of events).

External

Evaluation Findings

In this chapter, the evaluation findings are presented in detail, structured according to the evaluation criteria and questions (see Annex 2).

Relevance

The evaluation found that the Programme addresses a clear need by supporting national anti-corruption CSOs to strengthen their capacities and engagement capabilities in relation to the UNCAC, thus ensuring a more effective implementation of the UNCAC and ultimately its usefulness as an anti-corruption tool. It also seeks to address well-documented shortcomings in UNCAC-related policies and processes.

To what extent was the programme originally designed to respond to the conditions in which beneficiaries were operating?

The UNCAC Coalition's programme of work aims to increase and strengthen the use of the UNCAC by CSOs in their anti-corruption efforts and thereby enable more effective anti-corruption reforms at the national level. The four expected results, namely that:

1. More CSOs would contribute to the national UNCAC Second Cycle review process;
2. The review process at national level would become a more transparent and inclusive process;
3. Civil society groups would use the UNCAC to advocate for change in anti-corruption practice in ODA countries;
4. Civil society would successfully advocate for improvements related to UNCAC processes and policy issues

are perceived by internal and external stakeholders, almost unanimously, to have been relevant at the outset of the Programme and to continue to be relevant in the current context.
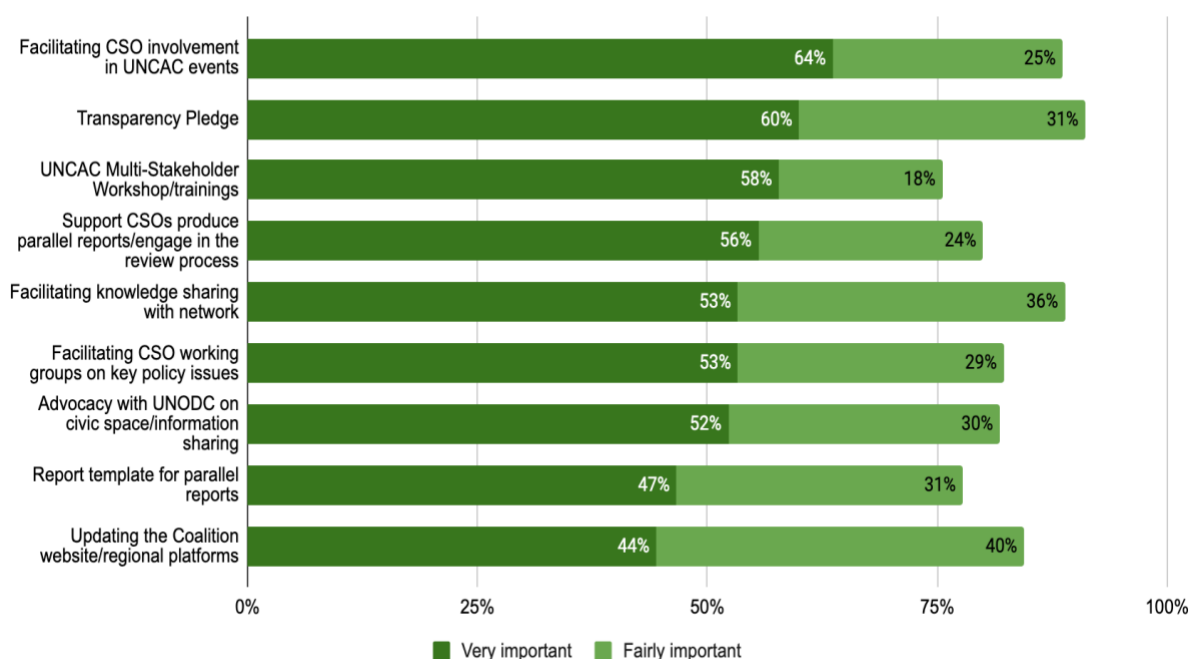
The Coalition's staff display an acute awareness of both the Vienna-based, and specifically the UNODC, environment and its parameters and limitations, as well as the diverse national environments in which the member organisations are working. Their view of the system is comprehensive and external stakeholders including UNODC representatives, donors and representatives from national delegations appreciate the role that the Coalition performs in filtering insights from the national contexts - that otherwise would be unlikely to make it onto the radar of delegations involved in negotiations at the intergovernmental level - upwards to the global level.

The Coalition brings together under its umbrella 120 member organisations, 25 individual members and more than 250 affiliated groups, all with different priorities and strategies but united in their anti-corruption focus. For the member organisations who answered the evaluation survey, the two most important of the Coalition's objectives are *Objective 3: 'CSOs use the UNCAC to advocate for change in anti-corruption practice' (87% stating that this was either very or fairly relevant to their organisation's strategy)* and *Objective 4: 'Civil Society successfully advocates for*

improvements to UNCAC process/policy issues' (86%)[2]. All of the activities undertaken by the Coalition are viewed by members as important, the top three being 1) The Transparency Pledge, 2) Facilitating knowledge sharing with the network, and 3) Facilitating CSO involvement in UNCAC events. The review found that the membership has less visibility of the important and relevant international advocacy activities undertaken by the Coalition Vienna Hub staff. Given this awareness gap, and the significance of those activities seen through this evaluation, it is advisable that the Vienna Hub ensures regular communication of processes, successes and impact at this international level to ensure the membership has a clear picture of how the activities at national and international levels interact and complement each other. Recent new initiatives such as the Coalition's newsletter and the series of briefings for CSOs on the status of UNGASS preparations are a good step in this direction.[3]

Figure 2. Perceived importance of Programme activities for Coalition Members

Activity	Very important	Fairly important
Facilitating CSO involvement in UNCAC events	64%	25%
Transparency Pledge	60%	31%
UNCAC Multi-Stakeholder Workshop/trainings	58%	18%
Support CSOs produce parallel reports/engage in the review process	56%	24%
Facilitating knowledge sharing with network	53%	36%
Facilitating CSO working groups on key policy issues	53%	29%
Advocacy with UNODC on civic space/information sharing	52%	30%
Report template for parallel reports	47%	31%
Updating the Coalition website/regional platforms	44%	40%

Q10. And how important or unimportant do you think each of the following activities were for the UNCAC Coalition to be undertaking during 2019 and 2020? Very important, Fairly important, Neither important or unimportant, Fairly unimportant, Very unimportant, Don't know. Base. 45 Respondents. Only responses 'Very Important' and 'Fairly important' shown.

The Coalition's staff display a high level of awareness of the UNODC environment and the constraints around the UNCAC procedures. The Vienna Hub staff also expressed the clear view that, from their perspective, the rules of procedure related to civil society involvement in UNCAC processes remain open to interpretation. This view explains certain advocacy tactics used by the

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[2] Source Membership Survey, *Q8. We would next like to ask you for your views and experiences with the UNCAC Coalition in 2019 and 2020. How relevant, if at all, would you say each of the following objectives of the programme are for your organisation's strategy? Base. 44 Respondents*

[3] See https://us10.campaign-archive.com/?u=9ce0d222951753f35b5042d0b&id=6aa1b65bd4

Coalition, for example advocating directly to UNODC on the need to sustain and increase the space of Civil Society in the UNCAC processes. These tactics, particularly the Coalition's advocacy vis-a-vis UNODC regarding civil society participation in the subsidiary bodies, were criticised by some external stakeholders as not being conscious enough of the constraints under which UNODC are operating, in particular the fact that amendments to the Terms of Reference can only be sanctioned by the States Parties. The evaluation therefore finds that while this advocacy strategy may be justifiable considering the agenda-setting capacity of the UNODC Secretariat, clearer communication with UNODC around this issue would seem to be important for the health of the future working relationship between the organisations. The evidence from this evaluation suggests that advocacy vis-a-vis States Parties, which is already a strong element of the Coalition's Programme of work, seems to be the more fruitful avenue to long-term change on these UNCAC policy and process issues.

Was the programme designed to appropriately adapt to the changing circumstances during the course of the programme's implementation, in order to remain relevant?

The Coalition's Strategy (2018-2020) explicitly recognises the need for flexibility and nimbleness to adapt to changing circumstances. For example, in the area of leading priority areas, while two leading topics were defined in 2017, an additional lead slot was left open 'providing flexibility for any tipping point opportunities and in-depth membership collaboration arising'. The Norad-funded Programme was not explicit in allowing adaptation to changing circumstances over its lifetime but in practice the Coalition and the Donors have exhibited appropriate flexibility to adjust to changing circumstances. Given the nature of the objectives and the reliance on external agenda-setters, in particular the UNODC and the UN, this flexibility is essential. A prime example is the UN General Assembly Special Session (UNGASS) against corruption, announced in 2019 after the start of the Programme to take place in June 2021. While this could not have been foreseen and was therefore not factored into the programme design, it was identified by the Coalition as a highly relevant area of work, strongly aligned with the Programme's objectives. The UNGASS preparations provided an advocacy opportunity which was rightly seized upon by the Coalition, with much time and resources redirected to ensure that the Coalition's positions were promoted and understood by delegations throughout the process.

Another unforeseen circumstance to which the Programme was forced to adapt was the global COVID-19 pandemic. In general, the programme and the Hub adapted well to the move to online and hybrid meetings as a result of COVID-19. In reaction to the pandemic, the Coalition shifted resources away from personal meetings and side events, with international travel impossible for most of 2020 and at least part of 2021. The focus was redirected to producing briefing papers and advocacy materials for delegations, holding bilateral advocacy meetings with delegations in Vienna (to the extent possible) to engage and inform them on priority issues for the UNGASS from the perspective of civil society groups.

With the network being already globally dispersed, the communication and engagement strategies across the membership did not need too much adaptation. Via the regional coordinators, the member CSOs were offered online support to increase their capacities to use the UNCAC to advance their mission and to become involved in the UNGASS.

The moving of the IRG Non-Governmental Organisation (NGO) Briefings, an opportunity that the Coalition uses to engage formally with the UNODC on behalf of its members, to a hybrid offline/online format allowed for broader participation of NGO members from around the globe. It was noted that the participation from governments in this online format was severely reduced, both in quantity and quality (no State Party commented during the session, which limited its usefulness as a platform for dialogue). The newly set up Vienna Hub team has been largely working remotely but has set up several internal communications and knowledge sharing tools to ensure a smooth workflow, including for example the use of Slack as an internal communications tool.

The most often-cited change in the anti-corruption environment is the 'shrinking space' for civil society in ODA countries. In the context of this evaluation, it was mentioned by internal and external stakeholders alike as a major challenge to the implementation of the Programme. The Programme explicitly acknowledges this as a strong force against inclusive UNCAC processes and many of the Coalition's interventions seek to indirectly counteract this trend. These interventions are not usually planned for (given the nature of the problem), but the Coalition has been nimble enough to react quickly where support is needed to push back against shrinking space. Some examples are a statement issued on behalf of its members on the threats to the independence of Indonesia's Corruption Eradication Commission in September 2019, a statement expressing grave concern following the arrest of Halim Feddal, Secretary-General of the Algerian National Association in the Fight Against Corruption in November 2019 and a press release at the COSP in Abu Dhabi regarding the detention of Serbian journalist Stevan Dojčinović, which received international media attention.[4]

To what extent was the programme designed to be compatible with other UNCAC-related interventions?

As an organisation whose work is framed by a UN Convention, the success of the work requires strong coordination with UNODC. The importance of this relationship is well understood internally and externally and the relationship has been well-managed over the lifetime of the programme. From the UNODC perspective, several important activities have been well implemented and are considered mutually beneficial to both the Coalition and the UNODC. These include the regional multi-stakeholder workshops bringing together CSOs and Governments; the information sessions for delegates in Vienna (providing a much-needed service to delegates and also used as an advocacy and networking opportunity); the co-organisation of the NGO briefing sessions at the COSP and the IRG; facilitating national CSOs to attend international meetings; and knowledge sharing with members about the UNCAC. These were all very well appreciated by the UNODC.

Member organisations, donors and Coalition board members stressed the importance of an independent but constructive relationship with UNODC, particularly in the context of providing

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[4] See https://uncaccoalition.org/serbian-investigative-reporter-prevented-from-speaking-at-un-anti-corruption-conference-in-abu-dhabi/

member organisations with support to produce parallel reports, due to the different mandates of the organisations.

In general, the evaluation found good coordination and harmonisation with other organisations working in the field. As expected, the coordination with Transparency International (TI) has been strong. This is evident in the coordinated positions on the UNGASS whereby both organisations have made statements related to beneficial ownership transparency and asset recovery and there has been an effort to coordinate advocacy on the issue. The Coalition also has an excellent working relationship with the prominent Freedom of Expression and Information-focussed organisation Article 19, organising joint side events at conferences amongst other co-operations. The Coalition is also contributing to the work of the Financial Accountability, Transparency & Integrity (FACTI) Panel, which is a High-Level Panel launched in March 2020 with aims to contribute to the implementation of the 2030 Agenda for Sustainable Development. Coalition representatives have spoken at several consultation calls with CSOs held by the Panel, and have helped spread information on consultation calls and the work of the Panel via social media and emails to their member organisations. In its first background paper, the FACTI Panel also referenced the UNCAC Coalition and its demand to improve the UNCAC review process. In its interim report, the FACTI panel also mentioned the Coalition as a "powerful advocate for comprehensive and robust international frameworks."[5]

Having established itself as the unofficial 'umbrella' organisation on the anti-corruption issue in UNODC's eyes, the Coalition also communicates regularly with the two other umbrella organisations in Vienna: The Alliance of NGOs on Crime Prevention and Criminal Justice, and the Vienna NGO Committee on Narcotic Drugs.

The Coalition has also recognised the connections between corruption and human rights and has been seeking to increase the exchange of information and build stronger ties between the anti-corruption community and civil society groups focused on UN human rights mechanisms, for example with the Center for Civil and Political Rights - or CCPR - a civil society umbrella group covering the UN human rights fora in Geneva, and with the Office of the United Nations High Commissioner for Human Rights (OHCHR). Given the synergies and potential learnings from the UN human rights system, which has been established for longer and which displays more robust mechanisms for civil society involvement, this engagement is likely to be positive for organisational development and advocacy purposes.

There is some scope for further coordination with anti-corruption and UNCAC-related organisations. External stakeholders mentioned the potential to reach out and cooperate further with other like-minded organisations such as the Open Government Partnership (OGP), OECD, UN Development Programme (UNDP), Group of States Against Corruption (GRECO) and other regional anti-corruption convention bodies, as well as more consciously framing the issues within the Sustainable Development Goals (SDGs). During the ongoing strategy process, a stakeholder mapping exercise should be carried out to identify potential allies on specific objectives.

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[5] See https://uploads-ssl.webflow.com/5e0bd9edab846816e263d633/5f7f44f76cf2f11732c2b5f0_FACTI_Interim_Report_final_rev.pdf

Was the programme design coherent and the pathways for impact (theory of change) well-articulated?

The evaluation found that the programme of work addresses national, international and intergovernmental elements in a joined-up way and responds to a clear need at three levels:

- at the *national* level, where CSOs need increased knowledge and capacity in order to engage more fully, concretely and effectively with the UNCAC review process and more broadly in order to use the UNCAC effectively to hold their governments to account;
- at the *international* level where the States Parties need to be reminded and urged to implement an inclusive UNCAC review instrument and to advocate for a stronger UNCAC in general;
- and at the *intergovernmental* level, where the UNODC secretariat needs access to views from civil society and encouragement to work towards facilitating a more inclusive process, albeit within the limits of their administrative role and competences.

The approach is rightly conscious to join up the local and national to the global and the objectives reflect this, and some members noted the important function the Coalition plays in sharing knowledge and building networks across these various levels:

> *"We provide a bridge from the national to the international in a network that is open, more open than other networks"* Internal Stakeholder, Member.

The Programme in particular, and the Coalition more broadly, would benefit greatly from deeper reflection on the Theory of Change underpinning its work as part of a broader exercise to develop a monitoring, evaluation and learning system for the organisation. Now that the organisation has established itself and has evolved into a standalone entity, the precise Theory of Change, underlying assumptions, risk and mitigation strategies need to be further developed and updated. Some thinking on these issues is found dispersed across internal documents, but ideally the theory of change and the logical pathways to impact should be clearly worked through and mapped out in a narrative, as well as visualised clearly for internal and external stakeholders. This would not only allow for a honing of activities to ensure that they contribute to expected results, but would also help with the hard work of prioritising issues and work areas, and ceasing activities deemed not closely enough connected to the desired impacts. Given the finite resources and staff available and the range of activities being covered by this small number of staff members, a prioritisation process is becoming increasingly necessary for the Coalition. Such a process would also serve to unite the membership around a clear vision for change. The ongoing Strategy Design process is a perfect opportunity to more fully think through and articulate this Theory of Change.

Effectiveness

Despite challenging circumstances, the evaluation found many signs of effective implementation for this Programme. Most planned activities and outputs were achieved and in general were implemented to a very high standard. Where the Programme had more limited success was in achieving substantial gains towards the higher order *outcomes* and *impacts.* Nonetheless some

developments towards achievement were observed. While theoretically and logically sound in terms of long-term goals, the evaluation finds the outcome targets were somewhat overambitious, given the resources and time available. The achievement of those outcome level targets (and even some output targets) was hard to measure accurately by the Vienna Hub team because of the choice of indicators.

To what extent did the programme meet the planned objectives?

Outcome 1: CSOs contribute to the national UNCAC Second Cycle review process with support of the Coalition.

The Programme was able to achieve most of its planned outputs for activities to support the achievement of Outcome 1, and where it has not yet achieved targets, progress has been made. The achievements under this area of work were delivered despite both internal and external constraints, as well as ambitious targets given the short-time frame available for the Programme. The higher order of change under this area of work was only partially achieved, although this is in part due to the choice of indicators which are hard to accurately measure.

The main key successes from this area of work during the support period, include:

- The production and publication of 6 documents and reports[6] released by the Coalition to facilitate participation in the national review process (Second cycle), and translations of the supporting documents on the second and fifth Chapters of the Convention, as well as the report template, into both French and Spanish.
- Supporting the production of 16 parallel reports. This includes providing financial and extensive technical support (including policy guidance, editing, formatting, graphics design and recommendations on advocacy strategy in English, French or Spanish at all stages of the research and writing process) to 14 CSOs[7] to produce parallel reports, some of which are to be published shortly. Additional support was given to a CSO in Bangladesh and a CSO in North Macedonia who produced and published a shadow report for the UNCAC review using UNCAC Coalition materials. A representative from the Coalition travelled to Skopje to speak at the North Macedonian CSO's launch event.
- Training 27 CSOs (from 14 ODA countries[8]) from Sub-Saharan Africa during a 4-day multi-stakeholder workshop in Addis Ababa in April 2019 on the UNCAC, in partnership with the UNODC.

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[6] These include 1) General instructions for producing a parallel report for CSO researchers, 2) CSO parallel report template, 3) questionnaire covering all articles of Chapter II, 4) questionnaire covering all articles of Chapter V, 5) "UNCAC in a Nutshell" report 6) updated and translated Guide to Transparency and Participation in the Review Process with best practice approaches (primarily aimed at governments)

[7] CSOs from 14 countries: Argentina, Armenia, Benin, Cambodia, Colombia, Costa Rica, Ecuador, Ghana, Honduras, Madagascar, Pakistan, Paraguay, Papua New Guinea, and Zimbabwe

[8] Angola, Chad, Ethiopia, the Gambia, Ghana, Lesotho, Malawi, Mozambique, Namibia, Rwanda, Seychelles, South Sudan, Uganda and Zambia

- Facilitation by the Coalition's chair of a discussion panel in May 2019 on fast-tracking UNCAC implementation in Latin America organized by UNODC held in Cartagena, Colombia. This was attended by 24 CSOs from 10 countries.
- Raising awareness among CSOs of the IRG NGO Briefing, the latest of which was attended by 40 CSOs[9].
- Organising a regional advocacy meeting, in partnership with TI and Article 19, at COSP8 in Abu Dhabi in December 2019, attended by 12 CSOs from the Middle East and North Africa.
- Supporting travel costs for 5 CSOs from the Middle East and North Africa[10] to attend the COSP8.
- CSOs from Côte D'Ivoire, Ghana and South Sudan became engaged in the review process following attendance at the multi-stakeholder workshop in Ethiopia in 2019.

The reports, documents and supporting materials which were produced by the Vienna Hub during the course of the programme were assessed by users as being of high quality. They were also noted as having helped support CSO engagement in the UNCAC processes as they translated the technical and legal language of the Convention and UNODC communications into easy instructions for CSOs to follow which is useful for CSOs who do not have legal expertise or capacities in-house. The Coalition was also able to help translate and communicate to CSOs about the reasons why they should want to get involved in the review process, which played an important role in mobilising interest given competing priorities and limited capacities of CSOs.

Four documents/supporting materials were developed specifically to help CSOs wishing to produce Parallel Reports for the Second Review Cycle, which includes *guides for researchers* and *questionnaires to assess chapters II (preventive measures) and V (asset recovery)*, which are the chapters being covered during this review cycle. In addition, the Coalition also provided a small amount of funding, as well as substantial technical support, for 14 CSOs in ODA countries to undertake their own research. A further five CSOs (from Tunisia, Ukraine, Brazil, Namibia and Rwanda) are currently in the application process for the Coalition's financial and technical support to produce a parallel report. According to members who received this funding, it was vital in allowing them to undertake a parallel report as they have previously found it difficult to source other donors who will support the initiative. The technical support provided by the Coalition, including the review and feedback on the draft reports, have helped improve the quality of the final outputs. The evaluation notes that while none of the reports have yet to be published, three will be released shortly.

The production of a Parallel Report has a number of benefits for the engaged CSOs including capacity building/increasing technical knowledge on the UNCAC and developing expertise and advocacy-asks on anti-corruption issues they may not have focused on previously.

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[9] Due to Covid-19 restrictions, the latest NGO briefing was held virtually and it was noted by an interviewee that due to technical limitations of the online platform the number of attendees was limited and only recognized observers could attend

[10] Tunisia, Lebanon, Iraq, Jordan and Morocco

> *"It also helps the organisation that is doing the parallel report to gain a little bit of perspective regarding the U.N. process, review process and the types of things that are actually a part of the convention, because I think in a lot of countries, because of ...how old the convention is... a lot of the organisations, they see it as kind of like a dead letter, that it can be used sometimes as an instrument, but not all the time. They don't see it as a framework to operate within."* Staff Member.

The Parallel Report research process also provides opportunities for CSOs to engage with their national government focal point on the Second Cycle Review and other government agencies on anti-corruption. Interviewees noted during the evaluation that it can be challenging for CSOs to get access to their government focal point, but by undertaking this research it gives a reason for them to communicate with one another. Relatedly, Coalition Members were very positive of the benefits of being part of the international coalition which is the UNCAC Coalition, which they felt improved their credibility and reputation with government agencies.

As previously noted, States Parties are not required to publish the replies to the self-assessment questionnaire and the full report, including the recommendations, and while some do engage civil society to input into the review process, they are not obliged to do so. The Parallel Report's which the Coalition has helped to support therefore are an effective way to improve transparency and accountability, and to support a more inclusive review process.

> *"[The Parallel Report] is something very, very important in the fight against corruption. I mean, giving voices to CSOs... aside from the official report from the government, is really something important because I do believe that we don't have the same lens...in measuring up the state of corruption in our country, especially on the implementation of the UNCAC. So, it is something that must continue in my view. And we are really grateful to the Coalition for granting us its support."* Affiliated Group.

During the support period, the Coalition collaborated with the UNODC to deliver a Multi-stakeholder Workshop. The 4-day workshop on the UNCAC was held in Addis Ababa in April 2019, and it brought together 27 CSOs from Sub-Saharan Africa and government focal points. The Coalition recommended CSOs to the UNODC who could be invited to the workshop, provided expert speakers and held a CSO-only day of training. In the survey of members, as part of this evaluation, 85% of those members who had attended the multi-stakeholder training said that they found them useful.[11] This is further corroborated via the post-workshop evaluation survey undertaken by the UNODC where 92%[12] said that their knowledge of UNCAC was increased by attending the workshop. In addition to the capacity-building aspect of the workshops which helps CSOs gain the knowledge to engage in the review process, the workshops also offer a key networking opportunity for CSOs to meet their national government focal point which is often difficult to do in their own country. The workshops included a role-playing exercise where CSOs

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[11] Q11. How useful did you find the Multi-Stakeholder Workshops / Trainings on the UNCAC which were organised by the UNODC with support from the UNCAC Coalition, or did your organisation not attend any such workshop/training? Base. 34 respondents who said they attended the trainings

[12] Post Workshop Survey - UNODC - 26 CSOs - Q8. How much new knowledge did you gain through this training?

and government focal points swap roles, which is seen as helping gain a better understanding of each other's position.

> *"The multi-stakeholder workshops… [brought together] not only activists also the government focal points or the government people that would coordinate the review process…These workshops encourage people to become involved in the review process, but also to improve the understanding and the trust between the national government focal points and civil society counterparts. [Via the role-playing exercise] they started developing the sense of how it is to be in the other's positions." Staff Member.*

The Coalition supports the engagement of CSOs in the review process additionally by assisting CSOs in attending international conferences such as the UNCAC Conference of States Parties (COSP) or the annual NGO Briefings on the side-lines of IRG meetings. Attending these events has a variety of positive impacts on CSO attendees, offering a networking opportunity for them to meet their government representative and increasing knowledge on the UNCAC process. In the case of the COSP, the Coalition co-organises side events where CSOs speak which raises their profile and visibility. The Coalition facilitated the inclusion of CSOs at these events by sharing information among its network on how to register for events, informing the network of deadlines for registration and also including CSOs in their delegation to increase CSO participation. Without the Coalition's involvement, many CSOs would be unaware of how to attend such events.

The Programme was found to have met or exceeded targets for four of the five output targets for this area of work:

- Output 1.1 target of 6 documents and reports released by the Coalition to facilitate participation in the national review process (Second cycle) was achieved;
- Output 1.3 target of 40 CSOs that received some form of support from the Coalition to engage in the review process, was exceeded with at least 143 organisations supported according to reported monitoring data;
- Output 1.4 target of 20 ODA countries where Coalition-supported CSOs have engaged with government focal points, provided input to documents linked to review process, or communicated with IRM reviewers, is highly likely to have been met or surpassed based on an assessment of Coalition monitoring data and the survey of members as part of this evaluation (see Figure 3);
- Output 1.5[13] target of 15 CSOs per year attending a regional advocacy coordination meeting organised by the UNCAC Coalition, was exceeded with 72 organisations attending in 2019 alone.

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[13] This indicator was not part of the Norad grant agreement, but is reported on as part of the Coalition's agreement with Danida.

Figure 3. Participation of Surveyed UNCAC Coalition Members in Second Cycle Review Processes - Number of Member CSOs who have engaged in aspects of the review
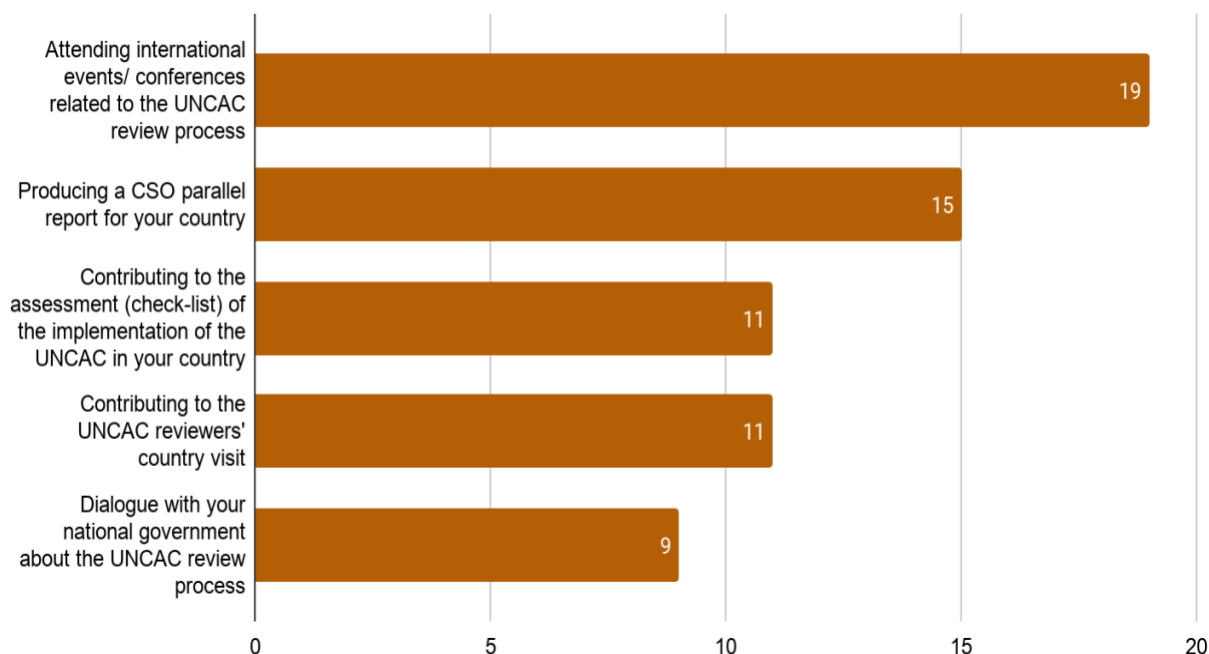

Q12. Thinking about the ongoing Second Cycle of the UNCAC Implementation Review process in your country, for each of the following please say whether your organisation has been involved in this, or not: Base. 45 respondents. Chart shows the number of respondents who answered that they had been involved in this.

The target for Output 1.2 of 24 CSO reports produced in ODA recipient countries (and non-ODA countries) has not yet been achieved. While progress has been made, more CSOs will need to be engaged in order to deliver fully on this result area.

At the outcome level, there has been some progress against the target of 40 ODA countries where CSOs contribute to and participate in the national review process based on Coalition data and findings from the survey of members as part of this evaluation. However, with regards to the target of CSOs from 10 ODA countries reporting that their findings and recommendations were reflected in the UNCAC IRM report, no evidence has been found yet of this occurring. While the lack of progress can in part be attributed to delays in the second cycle of the review mechanism, it is also due to the challenge with accurately collecting data on these two variables as they do not restrict achievement only to CSOs or countries supported by this Programme and terms are not well defined.

The mixed results for this area of work are also reflected in the survey of Coalition members, where just over half (52%) said the Coalition had been effective in supporting CSOs contribute to the Second Cycle review, while just under half (48%) said they had either been ineffective or they didn't know.

Figure 4. Perceived effectiveness of Programme by Coalition Members
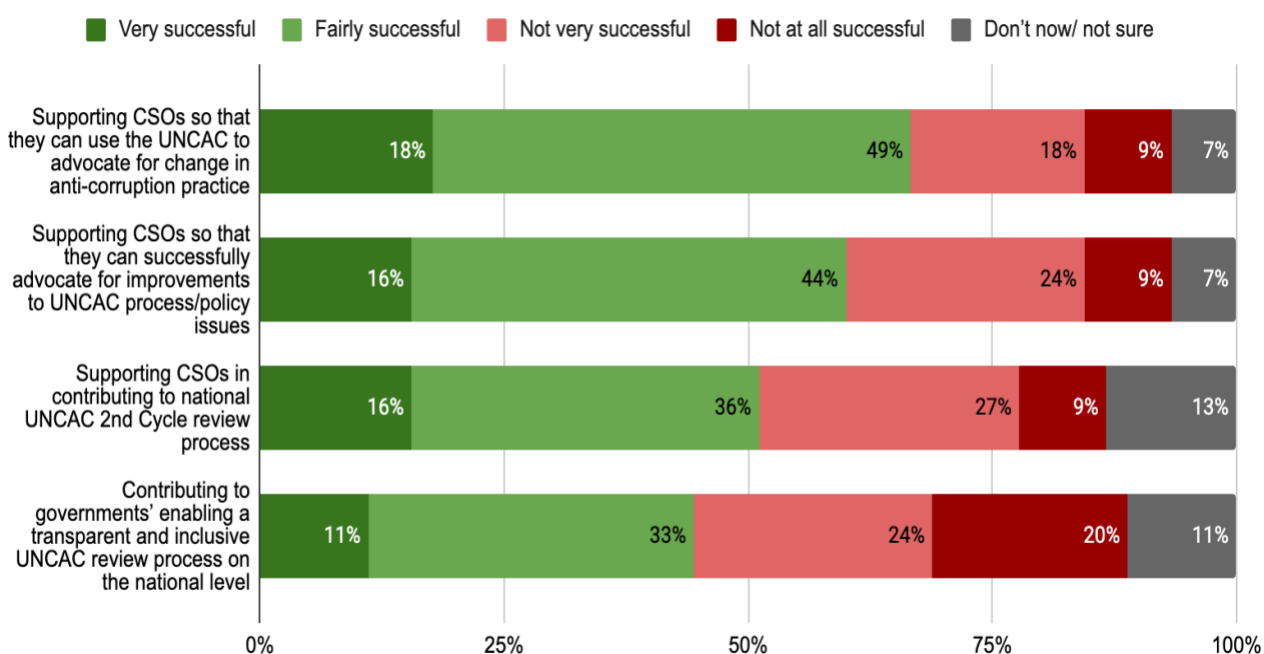
Q9. How successful, if at all, do you think the UNCAC Coalition has been during 2019 until 2020 in achieving each of the following objectives of the programme. Base. 45 respondents.

Outcome 2: ODA country governments enable a transparent and inclusive UNCAC review process on the national level.

For work undertaken under Outcome 2, targets were either achieved or there was evidence of substantial progress towards planned targets. The key tool the Coalition has developed to support achievement in this area of work is the Transparency Pledge, which is a list of 6 principles that governments are asked to sign up to, demonstrating their intention to undertake the review in a transparent and inclusive way.

Key achievements under this area of work include:

- Contacting and engaging around 168 governments, of which at least 121 are ODA eligible, regarding the Transparency Pledge.
- A further 9 countries[14] sign the Transparency Pledge bringing the total number of signatories to 27.
- The US and Austria declaring that they had signed the Pledge during the COSP8 in Abu Dhabi in December 2019.
- Members reporting that the Pledge provides a reason for them to speak to their government about the UNCAC review process, which they welcomed as a 'door opener.'

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[14] Argentina, Austria, Chile, Estonia, Honduras, North Macedonia, Switzerland, Slovakia and Mauritius

Members tend to be very supportive of the Coalition's work on the Transparency Pledge, with nine in ten (91%) of surveyed members for this evaluation saying that Coalition's support to the Transparency Pledge was either very or fairly important, which was the highest of any of the activities it undertook during the Programme period.

> *"The most apparent indicator of [the effectiveness of the Coalition's work] would be the Transparency Pledge, which is one of those initiatives that in some countries has had a very, very important effect. I can say, for example...in Chile, since last year say they've implemented the Transparency Pledge, they've been doing really well." Internal Stakeholder.*

Despite the support for this tool, the Coalition members see low levels of achievement in terms of supporting governments to enable an open and transparent review processes. Just 44% thought the Coalition had been successful in achieving its overall objective in this area which is lower than the other areas of work. Greater communication by the Coalition among its members of what successes it has had in getting governments to sign the Pledge would be useful to raise awareness. However, this may also indicate that CSOs are seeing little commitment by governments to a transparent review process which should be closely monitored by the Coalition as the review process continues. Some members noted the challenging country contexts in which they operate, with often substantial opposition from national governments for a fully open and transparent review process. Internal stakeholders also noted that during the support period, a great deal of effort was required to defend the status quo, rather than necessarily pushing for more transparency due to the shrinking space for civil society. This trend may also contribute to the overall assessment by the membership that substantial progress has not yet been achieved in this area.

Outreach on the Pledge far exceeded the planned target of 50 governments contacted and engaged (Output 2.1), with at least 121 ODA eligible countries being contacted by the Coalition during the support period. This involved extensive research by the Vienna Hub staff to source the relevant contact details for the Convention signatories, which were often very challenging to locate. This effort - which resulted in a detailed database of government contacts - was ultimately worthwhile to facilitate easier communication in future (and thus sustainability) and supported extensive outreach globally on the importance of a transparent and inclusive review process during the support period.

Despite the extensive outreach efforts, the target for the total numbers of countries signing the pledge is currently only 75% completed (Output 2.2 - target 35 countries). The lower-than-expected number of signatories was due to a combination of internal and external factors including lack of staffing at the start of the programme, long delays in response from national governments to initial email communication, an optimistic target number of signatories given the short timeframe as well as government resistance to signing the Pledge due to the 6th principle *"We will publicly support participation of civil society observers in the UNCAC subsidiary bodies."*[15] While some internal stakeholders noted that this principle is important to make the Pledge more ambitious, it did reportedly prevent some governments from signing:

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[15] Transparency Pledge

"[The 6th principle] is one of the points that they're most reticent about because they say that they're worried about who's going to participate, who's going to be at these meetings." Internal Stakeholder.

According to data provided by the Coalition based on information published on the UNODC website, the outcome indicator target of the percentage of governments voluntarily releasing key documents on the review process was partially met, with 34% of completed countries publishing the full country report (compared with the Y2 target of 50%) and 11% for the self-assessment checklist (compared with the Y2 target of 30%)[16]. The lower levels of achievement are due in part to the ambitious nature of this outcome variable but also because the indicator is not limited to countries the UNCAC Coalition has been advocating with around the Transparency Pledge, therefore also including unengaged countries. It was also noted by interviewees during the evaluation that there can be a delay in information published on the UNODC website being updated after a country has completed their review, which makes it challenging to report on this indicator in a timely way.

Outcome 3: Civil society groups use the UNCAC to advocate for change in anti-corruption practice in ODA countries.

Under Objective 3, the evaluation finds that, although some progress has been observed, the official outcome-level targets have not been reached. The target of three observed changes in law, practice or discourse was not achieved, partly due to the knock-on effects from the delays in publishing parallel reports which will include the recommendations upon which CSOs will advocate for needed changes in law and practice and partly due to over-ambition. It is to be expected that changes at the legislative level and changes in practice will take some time to be realised and that the timeframe for achieving the objective was over-ambitious.

Outputs which sought to contribute to this higher-level change were successfully implemented to a high standard:

- Facilitating a working group on victims of corruption to facilitate discussions, promote the exchange of information and develop joint advocacy on these specific issues across the Coalition's membership.
- Facilitating the civil society track of a regional conference in Cartagena, Colombia, on fast-tracking UNCAC implementation in Latin America, with 24 CSO representatives from 10 countries attending.
- Improved communications tools to allow better information-sharing across the network via mailing lists, social media and the Coalition's website. These activities aim to ensure that CSOs can more readily access information on how they can use the UNCAC to advance their organisation's mission and anti-corruption reforms in their country. Of particular note are the improvements to the Coalition's website: the usability has improved and the

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[16] According to the data published on the UNODC website as of February 2020, and provided by the Coalition, 47 countries have published their executive summaries. 16 of the 47 had published their full report and 5 had published the checklist.

content has been expanded and is kept up to date. User numbers grew more than threefold in between 2019 and 2020, an indicator that the revised web presence is showing effect. The UNGASS section of the website was particularly welcomed by stakeholders as being very informative.

At this output level, the target of 20 CSOs participating in Coalition-led working groups was surpassed, with 68 CSOs engaging in some format. Interestingly the members who answered our survey found this area of work to be the most successful. 67% of those who took the survey felt that the Coalition had been very or fairly successful in supporting CSOs to use the UNCAC to advocate for change in anti-corruption practice in ODA countries. This indicates that there could be an information lag whereby some observed changes have not been reported back to the Coalition yet. The Coalition's lack of a robust monitoring and evaluation system makes this difficult to ascertain.

This is a results area where many factors beyond the control of the Coalition are at play. The gap between output and outcome indicators is wide and it would be worth considering reworking the outcome indicators to better connect them to the Coalition's specific interventions. While the outcome level indicator for this objective currently measures observed changes in law and practice, which themselves are always the result of a myriad of intervening variables, a more realistic outcome indicator would be an increase in the number of CSOs engaging directly with governments on UNCAC-related policies and practices.

Outcome 4: Civil society successfully advocates for improvements related to UNCAC process and policy issues.

Under Outcome 4, it is foreseen that the work of the Coalition contributes to civil society successfully advocating for improvements related to the UNCAC process and policy issues. The Coalition achieved its target of having one Coalition recommendation adopted by the UNCAC bodies and other global or regional institutions. The major advocacy focus of the Coalition in 2020 has been to encourage States Parties to ensure that CSOs can participate in the preparation of the UNGASS against Corruption. The Coalition can therefore count as a successful impact of their advocacy the fact that countries made this issue a priority in their negotiations, adopting a modalities resolution that allowed for CSO participation in the preparatory meetings:

> "One of the successes was that we managed to get enough governments on board to negotiate that civil society would at least to some extent, be involved in the preparation of the UN General Assembly session on corruption. So, you know ... a lot of the energy in these meetings by government negotiators is actually going into the aspect of civil society involvement. I think that's where we managed to have an impact. If we [the Coalition] were not around, I think less importance would be given to that aspect, even though we don't see substantive progress on many of the policy issues." Internal Stakeholder.

A further possible improvement is a UNODC comment made at the most recent IRG NGO briefing that they intend to propose to governments to engage CSOs when virtual country visits are held

for the Second Cycle. This can be taken as an informal commitment to ensuring participation of CSOs even in the more difficult COVID-19 context.

It is notable that among the membership who answered the survey for this evaluation, only 44% felt that the Coalition had been very or fairly successful in this area of work. There is a consensus among internal and external stakeholders that moving the needle on this objective is among the more challenging tasks for the Coalition. As one member organisation representative stated:

> *"The Coalition can and will not be able to compensate for the deficits of the UNCAC system, but is a key factor to keep attention on issues that remain neglected." Internal Stakeholder, Member.*

Bearing this in mind, the progress at the level of outcomes, albeit seemingly modest, is in fact commendable given the odds stacked against the Coalition achieving improvements in this area. Several stakeholders mentioned that sustaining the status quo was already a challenge and that backsliding in the UNCAC process and policy issues were in fact more likely now than at the outset of the Programme, due to factors beyond the control of the Coalition.

Under this area of work, the Coalition delivered two out of three planned sets of outputs and exceeded targets for those. Among the activities that contributed to this area of work were:

- Written and oral statements made at COSP8 in 2019, the 10th and 11th UNCAC IRG session, and the UNCAC COSP intersessional meetings in preparation for the UNGASS. The statements were used to amplify the Coalition's key advocacy positions, namely the importance of transparency and civil society participation in the UNCAC review process, the substantive policy priorities of the Coalition in the implementation of the UNCAC, as well as the approaches to prevent and tackle corruption risks in the context of COVID-19.
- Submissions outlining policy priorities in preparation for the UNGASS.
- Briefing papers produced for delegations on key policy issues.
- Suggested wording produced for the political declaration and shared with twelve delegations seen as receptive for input from civil society in the process of the negotiations. Specific text proposals, on the issues of Access to Information, and on the Implementation Review Mechanism have been suggested to be inserted into the draft declaration word by word, by delegations we reached out to.
- Co-organising the annual UNCAC IRG briefing, together with UNODC's Corruption and Economic Crime Branch and UNODC's Civil Society Team, held on 1 September 2020, on the margins of the 11th UNCAC IRG session. Despite the unusual circumstances (the briefing was held in a hybrid format with in-person and remote attendance), 70 participants from 40 CSOs, and 15 representatives of States Parties attended the briefing, most of them remotely.
- Outreach activities including information sessions for new diplomats in Vienna introducing them to the UNCAC, the UNGASS and the informal and formal structures in Vienna - which was very well received by the delegates - and briefings for other government representatives (U4), bilateral talks with experts in capitals etc.

- Side events organised at events, for example at the COSP8: panel discussions with governmental and non-governmental experts, workshops, presentations and civil society briefings etc., which were described by participants as 'informative and worthwhile'.

In agreement with the donor, Output 4.3, the planned UNCAC progress report to be released around the COSP, was postponed on the basis that there has been very little progress in the Second Review Cycle so far, and thus a limited number of available reports that can be analysed. The Coalition postponed this output until 2021.
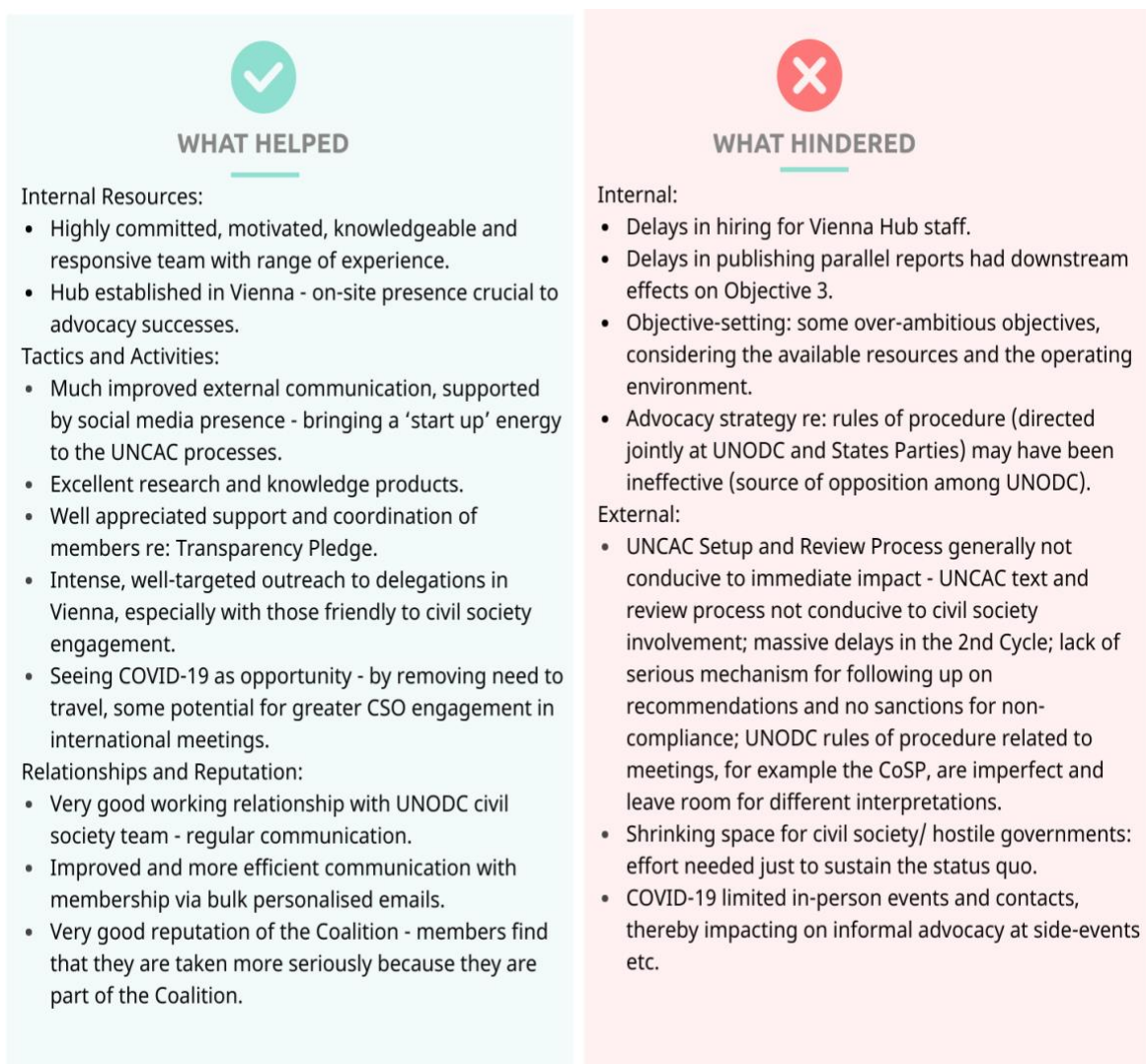
The Coalition continues to place much focus under this objective on the preparations for and advocacy around the UNGASS, which will take place in June 2021, and has been engaged in intense outreach in preparation for this. To this end, the Coalition reached out to 35 governments spanning a range of positions on civil society (both *'friendly'* and *'unfriendly'*) and this outreach resulted in substantive discussions with 25 delegations spanning all geographical regions with the aim of ensuring that the Coalition's positions on improvements related to UNCAC processes and policies are amplified via the States Parties. They have also used this outreach as an opportunity to promote the Transparency Pledge and other policy positions. As a sign of initial success, several governments, including one not traditionally considered to be friendly towards civil society, indirectly referenced the Coalition's submissions in statements at the intersessionals, which indicates that the messages are indeed resonating with certain States Parties. Additionally, another delegation with whom the Coalition had engaged bilaterally on the issues of asset recovery, described the Coalition as potentially serving as a 'bridge between the North and the South when it comes to trust building and communicating needs.' These statements indicate that the international advocacy on substantive issues is bearing fruit.

The Coalition's advocacy strategy for improvements related to UNCAC policies and processes involves a two-pronged approach of targeting States Parties via national governments, particularly delegations in Vienna, and also targeting UNODC directly. The former has been uncontroversial and has seen some successes as outlined above. The evaluation found some resistance from UNODC representatives, and found a difference of opinion on the role of UNODC vis-a-vis the Convention and Rules of Procedure. While the Coalition views UNODC as having room to interpret the Rules of Procedure in different ways, and also as a potential agenda setter with regard to improving policies and procedures, UNODC sees itself as a Secretariat and its competence as purely administrative. The Coalition should be cognizant of this difference of opinion and reflect on the likely impact of its advocacy tactics. An alternative tactic to consider would be building alliances among State Parties and other external influential bodies, such as GRECO and the OECD, in order to exert pressure for reform of the UNCAC and its related processes.

What were the major factors which influenced the achievement or non-achievement of the programme?

The main factors that helped and hindered the achievement of the Programme's objectives are outlined in Figure 5 below. These consist of internal and external factors, some beyond and some within the control of the Coalition.

Figure 5: Factors that helped and hindered Programme Effectiveness

WHAT HELPED

Internal Resources:
- Highly committed, motivated, knowledgeable and responsive team with range of experience.
- Hub established in Vienna - on-site presence crucial to advocacy successes.

Tactics and Activities:
- Much improved external communication, supported by social media presence - bringing a 'start up' energy to the UNCAC processes.
- Excellent research and knowledge products.
- Well appreciated support and coordination of members re: Transparency Pledge.
- Intense, well-targeted outreach to delegations in Vienna, especially with those friendly to civil society engagement.
- Seeing COVID-19 as opportunity - by removing need to travel, some potential for greater CSO engagement in international meetings.

Relationships and Reputation:
- Very good working relationship with UNODC civil society team - regular communication.
- Improved and more efficient communication with membership via bulk personalised emails.
- Very good reputation of the Coalition - members find that they are taken more seriously because they are part of the Coalition.

WHAT HINDERED

Internal:
- Delays in hiring for Vienna Hub staff.
- Delays in publishing parallel reports had downstream effects on Objective 3.
- Objective-setting: some over-ambitious objectives, considering the available resources and the operating environment.
- Advocacy strategy re: rules of procedure (directed jointly at UNODC and States Parties) may have been ineffective (source of opposition among UNODC).

External:
- UNCAC Setup and Review Process generally not conducive to immediate impact - UNCAC text and review process not conducive to civil society involvement; massive delays in the 2nd Cycle; lack of serious mechanism for following up on recommendations and no sanctions for non-compliance; UNODC rules of procedure related to meetings, for example the CoSP, are imperfect and leave room for different interpretations.
- Shrinking space for civil society/ hostile governments: effort needed just to sustain the status quo.
- COVID-19 limited in-person events and contacts, thereby impacting on informal advocacy at side-events etc.

Are there differential results across different groups of beneficiaries, and if so, why?

It is challenging to assess differential results at this stage, given many countries are yet to complete the Second Review Cycle, as well as the fairly limited engagement by the Coalition's members in this evaluation research. It is recommended that further research is conducted later in the UNCAC review process which includes a wider range of members to fully assess differential results.

Initial indications of country level factors which contribute to differential results include whether the national government is generally welcoming of civil society input or not, whether an important election is upcoming or not, and whether the government is new and therefore welcomes expertise/advice about the UNCAC process. CSOs noted that they often lack funding to undertake UNCAC work, so this is a factor which prevents further involvement. It was also indicated that smaller CSOs, or those from countries with a less established civil society presence, tend to benefit

more from the visibility of being part of the Coalition, however, even established CSOs noted that they are also taken more seriously when it is known they are part of the Coalition.

Efficiency

The evaluation assessed the efficiency of the programme in terms of timeline and staffing, as per the original terms of reference. The Programme delivered a substantial number of outputs and achieved key successes, despite a short overall Programme timeframe and modest staffing throughout most of the support period. Both internal and external factors posed significant challenges to the achievement of planned results, but the Vienna Hub demonstrated responsiveness and flexibility which led to substantial progress particularly in the latter half of the support period.

Was the Programme timeframe and staffing realistic?

The Programme support period lasted from 01 November 2018 until 31 December 2020, with the end of the programme coinciding with the original official end date for the UNCAC Second Cycle of the review mechanism. While it was anticipated that the review process would be delayed due to slow progress which was further exacerbated by the COVID-19 pandemic, the extension was only officially announced in June 2020 after a decision by the COSP[17], with a new end date of June 2024 for the Second cycle. Such a long extension was therefore largely unforeseeable by the programme team and the delays to the review process were a major hindrance to the ability of the Vienna Hub in achieving desired outcomes, particularly related to Objectives 1 and 2.

Given the Programme's ambitions for the support period which included influencing the UNCAC processes at the national, international and intergovernmental levels, the programme timeline of 25 months can be considered optimistic. The Coalition sought to provide support to CSOs globally with the UNCAC review process, with all ODA countries being eligible for support, plus non-ODA countries for some aspects of the programme due to the transnational nature of corruption. Such a wide focus for the Programme, while logically sound, is notably challenging for an organisation to complete during such a short timeframe. Despite the ambitious objectives of the programme, as evidenced during this evaluation, the programme team was able to make substantial progress against planned objectives.

As identified in the Programme's original proposal, the Coalition recognised the need for additional staff members in order to deliver the programme's objectives. Staffing at the start of the programme consisted of one full time staff member, but the programme planned to grow staff capacity particularly to support with the programme's management, international advocacy and network engagement, as well as hiring additional external consultants and freelance regional coordinators. The recruitment processes for the new roles took longer than originally expected and hampered the ability of the team to deliver fully on its plans in the initial stages of the programme.

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[17] See https://www.unodc.org/documents/treaties/UNCAC/WorkingGroups/ImplementationReviewGroup/8-10June2020/V2002028e.pdf

By the end of the support period, the Vienna Hub is now fully staffed, and comprises four full-time and one part-time staff members, supported by four part-time regional coordinators. The scale of delivery for the programme, despite the limited timeframe and reduced staffing for most of the support period, can to a great extent be attributed to the leadership of the Coalition by Mathias Huter. Both internal and external stakeholders noted his professionalism, expertise and responsiveness.

To what extent did partnerships/cooperation with other organisations help or hinder efficient operations?

Partnerships and cooperation with other organisations have been a key area of success for the programme and were very helpful for efficient operations, effectiveness of the interventions and have helped support the sustainability of the outcomes.

The Coalition's members, individual members and affiliated groups were mobilised throughout the delivery of the programme in order to help achieve planned objectives. The organisation's network arrangement means that the Coalition has good contacts with CSOs of various sizes, and experts or organisations who work on various anti-corruption themes. Internal and external stakeholders reported that this helped efficient operations by making knowledge-sharing and coordination of advocacy efforts more efficient. Examples of notable success in utilising the Coalition's members to help the delivery of the programme include coordination efforts of the Vienna Hub of CSO involvement in the UNGASS and COSP, including supporting joint advocacy positions.

> *"Being part of a network, in my sense, permits us to push a common agenda on anti-corruption, because, of course, countries have very different contexts, but there are also common problems and maybe common solutions. So being part of a network helps us to discover best practises from other countries. Of course, best practises as well from the network itself." Internal Stakeholder, Member.*

The Vienna Hub partnered well with the UNODC on certain activities which helped support CSO involvement in the UNCAC process. The UNODC provided financial support to the Coalition to host regional platforms on its website, which list affiliated CSOs by country in four regions: Africa, Southeast Europe, Southeast Asia and Latin America. These sites help raise the visibility of CSOs, some of which due to their small size do not have their own website. The Coalition also helped deliver aspects of the Multi-Stakeholder workshops, organised by the UNODC, which bring together CSOs and Government Focal Points to trainings on the UNCAC and are a key networking opportunity. While stakeholders noted the importance of the Coalition maintaining the appearance of independence from the UNODC, improved information sharing between the two organisations would further enhance programme delivery by making knowledge-sharing more efficient and offering opportunities for further collaboration. A positive step in this direction is the recent Memorandum of Understanding signed between the Coalition and UNODC.[18]

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[18] See https://uncaccoalition.org/uncac-coalition-and-unodc-sign-memorandum-of-understanding/

Over the course of the programme, the Coalition has established itself as a reputable and knowledgeable source for information on the UNCAC. This has led to interactions with various delegations as well as the international development bodies from multiple countries who are seeking greater information on the UNCAC and how they can support civil society involvement in the process. It is reported that some government submissions to the UNGASS include Coalition-provided wording. The relationships between the Coalition and the two main donors Norad and Danida were very good, and the interests of the donors in promoting CSO engagement helped to amplify such messaging in international fora.

External stakeholder's dealings with Vienna Hub Staff members were seen to be very satisfactory. As one noted: *"I find the team very dedicated, very, very active, proactively kind of engaging and trying to push the agenda and bring a very important civil society perspective to the table within the limitations that we have in our system."* The Vienna Hub brings a 'start up' culture and approach to the UNCAC and its social media accounts have been used to help promote messages from partner organisations such as the UNODC and the FACTI panel - which increases outreach and knowledge sharing on the UNCAC. The ongoing Strategy Review should include an assessment of key external and internal stakeholders and identify those with whom regular communication would improve Programme impact.

Were any bottlenecks identified and how could they have been avoided?

The Programme did experience some challenges to efficient delivery. The following internal issues were noted by stakeholders during the evaluation as creating bottlenecks to programme delivery:

- Unforeseen time required for establishing the Vienna Hub, and associated office space, in Vienna,
- Staff turnover at the beginning of the Programme when the team was very small, which meant capacity was affected,
- Unforeseen long length of time required for recruitment processes for new roles,
- Roll out of parallel reporting support due to high demand, due diligence processes on applications, and Vienna Hub oversight/quality control on draft reports,
- Lack of capacity to follow up on issues raised during international events/meetings,
- Irregular frequency of communication with members, coupled with staff turnover at member organisations,
- Some follow-up on discussions with internal and external stakeholders after meetings was mentioned as occasionally lacking.

An external issue found which created a bottleneck:

- Slow decision-making processes and response times from governments engaged by the Coalition to support the Transparency Pledge.

Internal bottlenecks were largely attributed to the low levels of staffing at the start of the Programme which should in future be resolved now that new staff have been hired. However, the

Vienna Hub should consider assessment of strategic priorities, to avoid the still small team being spread too thin.

Communication with the membership improved over the course of the Programme by the enlarged Vienna Hub team, relevant native language speakers (via the regional coordinators and Vienna Hub staff) and utilising technology to support personalised bulk email communication. Frequent, regular communication is important in a loose network given the competing demands on the members. When communicating with the network, the Vienna Hub should consider the use of a more informal tone in emails to promote engagement and a sense of community. The Vienna Hub should also consider how it can better engage the membership to provide their expertise when it could be useful or relevant in Vienna, which may improve efficiency of programme delivery given the resource and staffing limitations. A separate review of the network and how to engage them better should be considered, given the Coalition has now firmly established itself as an independent organisation.

Impact

This section presents the results of the 'most significant change' analysis conducted as part of this evaluation. This process resulted in the filtering up of four most significant stories of impact based on the reflections of beneficiaries and stakeholders. The key question at the heart of the analysis is 'what difference does the intervention make'? Did the intervention generate significant positive, negative, intended or unintended higher-level effects?

The four impact stories that follow were selected in a participatory way via multistage discussions with internal stakeholders, as they best represent programme objectives of supporting engagement with governments on the second cycle review, build capacities of CSOs to engage in the review process, help to make the UNCAC reviews more transparent and inclusive, build alliances with other organisations, and have strengthened the organisation for long-term sustainable impact.

It is important to note that, given the shorter time frame for delivery of the Programme, some effects have not yet been seen due to delays in the second cycle review process. It is recommended that the Vienna Hub continues to monitor the effectiveness and impact of their work to continue to assess long-term changes - both intended and unintended, as a result.

1. **The Transparency Pledge: Supporting CSOs in engaging with their national governments on the Second Cycle UNCAC Review**

The Transparency Pledge is made up of 6 principles which the Coalition or CSOs ask governments to sign up to, to ensure an open, transparent and inclusive UNCAC review process.

A key function of the Pledge has been as a door-opener with national governments as it offers a way for civil society groups to engage with their national governments on the UNCAC process. It raises the awareness of national governments on the importance of an inclusive and transparent review process. Governments can then subsequently use it as a public relations tool to

demonstrate their intentions to undertake an inclusive review. CSOs can subsequently use it to hold their government to account for non-compliance with the principles. In this sense then, the Pledge can act both as a 'carrot' where governments are rewarded with committing to the principles and as a 'stick' when they do not comply.

So far 27 countries have signed the Pledge, with more indicating that they will do so shortly. Mauritius was the first African country to sign the Pledge. The US and Austria also highlighted that they had signed the Pledge in statements they made at the 2019 CoSP, demonstrating that governments are actively promoting this and see the benefit of signing it. The Pledge has received high-level political commitments from countries including North Macedonia and Slovakia, where it was signed by the countries' Ministers of Justice. This can therefore help facilitate national civil society groups to better hold these governments to account if they are not complying.

An example of how the Pledge can be used to influence dialogue and, potentially, practice around the UNCAC process has been found recently in Honduras. After initial email outreach by the Vienna Hub in February 2020, the government of Honduras subsequently signed the Pledge in May 2020 committing to an open and transparent process. In a telephone meeting in December 2020, the Coalition, the delegate in Vienna and two representatives of the office of the UNCAC focal point in Honduras - *Secretaría de Coordinación General de Gobierno* - discussed different ways of involving civil society in the UNCAC review process to comply with the Transparency Pledge's six principles. The government focal point was then connected with the Coalition's member in Honduras - *Asociación para una Sociedad más Justa.* Subsequent communications are setting the stage for the Coalition to act as an intermediary between civil society and the government to ensure that the Pledge's principles of transparency and participation of civil society are upheld. The Resident Coordinator of the UN Office in Honduras has also expressed interest in supporting the initiative and reached out to the Coalition to ask how they can support, which will add further impetus to the government to comply with the principles.

Even in countries in which the government did not sign the Pledge, CSOs report that they found the Pledge useful as a tool to initially make contact with their government and to begin discussions on the importance of an inclusive and transparent process. While it is still too early to assess the impact of the Pledge on the review process itself, initial indications of impact have been found on dialogue as well as supporting engagement between civil society and governments.

2. Better enabling transparent and inclusive UNCAC Review processes via CSO Parallel Reports

For the UNCAC review mechanism, while national governments may engage civil society during the review process - such as when drafting the country self-assessment checklists or when meeting the reviewers during the country visits - there are no penalties for governments which do not engage civil society. Even for countries which do engage CSOs, it is challenging to find out the level of their involvement or whether their views were taken into consideration, as this information is not published. In published UNODC data on the inclusiveness of the reviews, civil society is grouped with all other non-state stakeholders, which further limits transparency on the true extent of CSO involvement.

There are also no penalties for governments who choose not to publish their full country report or self-assessment checklist. It is a concern of groups such as the UNCAC Coalition that governments may give themselves more positive assessments of compliance or may keep negative findings from the review secret to avoid potentially politically damaging responses from the public. Official reports tend to focus on whether laws are in place, rather than assess gaps in enforcement of UNCAC provisions. As noted by one external stakeholder: *"The UNCAC itself is quite weak and that is what the State's wanted, they didn't want something too strong so its impact is reduced"*.

Given the potential for lack of inclusion of CSOs in the official review process and a lack of transparency in the results, civil society can play an important function in the review process by providing an independent check on their country's progress, publishing their own findings about the state of compliance with, and enforcement of, the provisions of Convention and giving recommendations to the government about how they can improve. CSO shadow reports are already used for human rights monitoring, but they have not been widely used for the UNCAC process, in part because the Convention uses very technical and legal language, making it challenging for CSOs to engage with. This is why the UNCAC Coalition wanted to support civil society groups to undertake their own independent parallel reports for the UNCAC Second Cycle review, and provide them with all the necessary documents to make it approachable and understandable.

Under this programme of work, the Coalition has so far provided financial and substantial technical support to 14 CSOs in undertaking their own shadow reports: Argentina, Armenia, Benin, Cambodia, Colombia, Costa Rica, Ecuador, Ghana, Honduras, Madagascar, Pakistan, Paraguay, Papua New Guinea, and Zimbabwe in three languages (English, French and Spanish). CSOs from additional countries are expected to join the initiative shortly. The Coalition has produced four supporting documents (each in three languages) to aid CSOs in helping to produce their own shadow reports.

The Parallel Report research process itself helps to make the UNCAC reviews more inclusive. Members who have been undertaking research for the parallel reporting have mentioned that their approach is more inclusive than that used by governments when compiling their self-assessments. They engage with many different CSO groups - helping therefore to build greater awareness among other CSO groups in a country as well as to aid networking within a country.

> *"We can give alternative information from the grassroots communities, for instance, where the government doesn't go, where there is no consultation, for instance. And we are trying currently to collect huge cases of corruption using our network of investigative journalism, which the government doesn't do. So, we try to highlight cases of current corruption and put them as illustrations in our report." Internal stakeholder, Member.*

The seed funding provided by the Coalition was vital for ensuring that the research for the Parallel reports could be undertaken. Coalition members have found it difficult to get funding for the initiative from other donors, so without this programme it is very unlikely that the parallel reports would go ahead.

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The Parallel Report research and data collection phase requires dialogue between the CSOs and the national UNCAC focal point, or other important government departments, for the assessment. It is therefore a useful entry point for CSOs to begin communication around the UNCAC and to raise the profile of the CSO in the country. The Coalition has also said that they will publish the executive summaries of the Parallel reports at the next COSP event. If the submissions are accepted by the Conference Secretariat, the impact of the Coalition's support to parallel reports will include greater transparency and inclusiveness in assessing government's compliance with the Convention. Although, it is noted that usually country names are not allowed to be mentioned in written submissions to the Conference by the UNODC.

While it is too early to tell whether the CSOs recommendations are reflected in their government's official reports, the very act of undertaking parallel reports helps to bring transparency to a process without which there would be no pressure for accurate assessments or for governments to comply or take on board recommendations.

3. Engagement with government delegates in Vienna: building alliances, building capacities, building bridges?

This Programme has allowed the Coalition to deepen its engagement with government delegations in Vienna, mostly in the context of the preparations for the UNGASS against Corruption. The engagement started in 2019 but intensified from June 2020, and sought to contribute to the preparatory process as well as to influence the political declaration negotiations. The Coalition concentrated their efforts on 1) in-person engagement of State delegates in Vienna and 2) developing advocacy tools: written input, policy briefings and suggested language to be included in the political declaration.

The evaluation found considerable intermediary impacts from this stream of work, even if the ultimate impact will not be known until the political declaration is finalised and presented in June 2021. The initial advocacy phase contributed to guaranteeing civil society involvement in the UNGASS preparatory processes. The Coalition amplified the message of the importance of civil society having a seat at the table via delegations friendly to civil society. Several countries made this issue a priority in their negotiations, ultimately leading to the adoption of a modalities resolution that allowed for CSO participation in the preparatory meetings for the UNGASS. This was not a foregone conclusion, given the significant resistance to civil society inclusion around UNCAC processes and the consensus system that allows one delegation to block such a resolution.

The ongoing advocacy and engagement with delegates in Vienna appear to be bearing fruit. External stakeholders clearly value the expertise and knowledge-sharing that the Coalition bring to the table:

> *"They are very knowledgeable and they know what they're talking about. They produce documents that are very valuable to us." External Stakeholder.*

> *"The information they share is absolutely needed. We value their input and advice around the UNGASS process." External Stakeholder.*

Stakeholders also appreciated the role that the Coalition plays in feeding up national perspectives from civil society to the global level, perspectives which would otherwise not be on the delegations' radars. At a minimum, the engagement has increased the capacities of delegations in Vienna, which is likely to have positive knock-on effects in negotiations. It has certainly also created strong alliances which are likely to endure and can be built on for future advocacy. With regard to the ultimate impact of the political declaration, only time will tell, but stakeholders close to the negotiations conveyed that they had the *"impression that the suggested text that is being produced by the Coalition is being considered very carefully and being incorporated"*, which is a good sign of potential impact.

There may be some ways to intensify the impact of the international engagement work. The Coalition makes efforts to go deeper than the delegation in Vienna. This should continue and intensify, given the importance of the change makers at national level (be they relevant ministries, aid agencies). The Coalition could do more to consistently ensure that they are also the targets of advocacy, either indirectly or directly. Furthermore, the Coalition has made efforts to go beyond the 'friendly' delegations to see if there are possibilities to convince governments who would not traditionally be allies of civil society. This should continue and intensify, especially by identifying those whose positions may be movable, especially for countries for whom image on the international stage is increasingly important such as China. In a consensus-based system of Vienna, these avenues should be further explored in order to maximise the impact of the international advocacy stream of work.

4. The Evolution of the Coalition: Professionalising the Organisation

Over the course of this Programme, the UNCAC Coalition has evolved from a loose network of CSOs - heavily dependent on Transparency International and on the donated time of highly engaged founders and Board members for its survival - to an independent, standalone, well-respected organisation in its own right.

Of huge significance is the now successfully staffed Vienna Hub, at the heart of the UNODC action. The consistent presence in Vienna has allowed the development of strong relationships with important stakeholders related to the UNCAC universe and has improved the capacity for effective outreach.

> *"Presence and familiarity are very important and have been enabled through this Programme."* Internal Stakeholder, Member.

Until 2020, the internal organisational development was ongoing and was consuming much of the energy of the Managing Director. Since 2020, with a strong, committed team in place, that energy can be channelled into the many important areas of work that the Coalition is undertaking. The Coalition now has four full-time and one part-time team members in place as well as four part-time regional coordinators, whose role is to strengthen regional coordination among members.

> *"Working with UNODC is important but engaging the delegations is equally, if not more, important to be able to get the change that the bureaucracy can't do itself. Engaging with*

them, getting them comfortable and getting them to recognise the Coalition's professionalism has certainly improved in recent years. The Coalition has done a good job of that since the staff has arrived, especially as having a former delegate on staff as a former peer." Internal Stakeholder, Member.

The organisation has not only evolved in staffing and legal status. External stakeholders noted that the organisation has transitioned from a more confrontational one, conducting periodic campaigns and direct advocacy at the COSP, among other fora, to a more mature, reflective and constructive organisation:

"Their strategy has improved as well as their tone: it is difficult to engage with an organisation that adopts a very combative strategy. So, the change of tone and the way of working makes it a potentially much more potent organisation, actually. They're now a bit more thoughtful in terms of what it means to help foster change." External Stakeholder.

The internal organisational development is still ongoing. Over the course of the Programme, the Coalition upgraded its internal governance mechanism to ensure a high level of integrity, including by adopting and implementing a procurement policy, a staffing policy, an anti-sexual harassment policy and a travel policy. The separation of board and management is now on a clear footing. These are all important building blocks in the internal professionalisation and good governance of the organisation.

The culture within the organisation remains somewhat of a 'start-up' one. The organisation is light, flexible with flat hierarchies. It prides itself on being ready to adapt to important opportunities if and when they arise. While the flat hierarchies are to be valued, there is also a responsibility to ensure fair and manageable workloads for the committed staff of the Vienna Hub and as the team becomes more established, the organisation should consider clearer areas of responsibility to improve efficiency.

Were there any negative impacts of the programme? Were there any positive or negative unintended consequences as a result of the programme?

The evaluation found very few negative impacts from the Programme. One area of concern is the 6th principle of the Transparency Pledge which was reported by some interviewees as preventing countries from signing the Pledge. This is part of a broader concern expressed by the UNODC regarding the Coalition's advocacy strategy for improvements related to UNCAC policies and processes, particularly CSO participation in COSP subsidiary bodies. The evaluation found this to be a source of frustration for the UNODC, who argued that this is beyond their competence. During the Strategic Review process, the Coalition should closely consider the 6th principle in the context of whether the advocacy strategy is the most effective one. If still deemed to add value, consider providing additional advocacy support to CSOs whose governments have concerns.

"We're pushing for the working groups to be open and they are not. And that's ...a very difficult issue because it's also in many ways beyond us. I wouldn't say that means we've failed, but I do think we need to try different approaches." Internal Stakeholder, Member.

Sustainability

While there is no explicit mention of the importance of sustainability in the Programme documentation (donor agreements, results framework, etc.), the team expressed an awareness of the importance of sustainability and many results achieved by the Programme do show a high likelihood of sustainability. This holds true for the organisational development aspects of the Programme and the activities aimed at building CSOs' and delegates' capacity and expertise around the UNCAC. The knowledge products produced via the Programme are likely to endure, even when inevitable staff turnover (among delegates in Vienna and also in the CSOs) and therefore loss of institutional knowledge occurs.

Members surveyed for this evaluation agreed that the benefits gained from the Programme were likely to endure - 86% felt this was very or fairly likely.

Figure 6. Likely sustainability of Programme achievements according to Surveyed Coalition Members
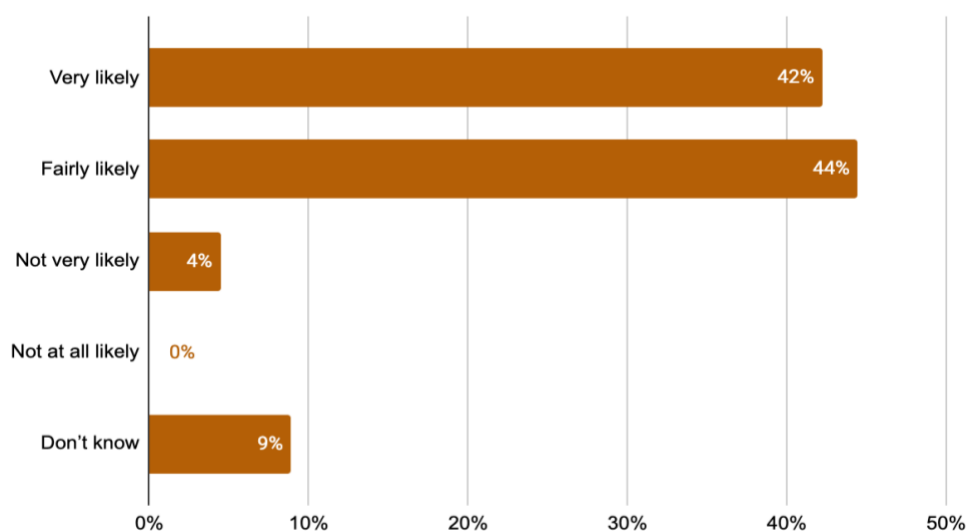
Q15. How likely, if at all, do you think it is that the benefits gained from the Programme will last into the future (in the medium or long term)? Base. 45 respondents.

What benefits are likely to continue over the medium and long-term? What is not likely to continue? What could have been done differently to ensure sustainability of outcomes?

In a relatively short space of time, the Coalition has developed a well-established Vienna Hub that is widely known and well-respected in Vienna circles. The investments into organisational development (hiring of well-qualified staff, improving policies and processes, upgrading internal and external communications) made possible through the Programme are all likely to sustain beyond its lifetime, provided follow-up funding is secured to advance the organisation's goals.

The substantial energy and time that has been devoted to developing deep and productive relationships with delegations in Vienna and other external stakeholders is likely to sustain and

have a high impact in the medium to long term. The building of these relationships has been largely framed by the UNGASS process, which will culminate in June 2021; however the network of allies that has been built through this engagement has a high likelihood of enduring beyond that, judging the high esteem in which the Coalition is held among delegates.

At the national level, among the countries that have signed the Transparency Pledge, these high-level commitments by senior government representatives will aid national CSOs in holding their governments to account to ensure upholding of these commitments in the future. Further impacts at the national level, which are likely to endure beyond the lifetime of this Programme are the networking relationships that have developed among member organisations and governments, the increased visibility of members as a result of the interventions, and the content development on key issues via the working groups.

The capacity-building aspects of the Programme are also likely to be sustained, in particular the knowledge gained by members via parallel reports and multi-stakeholder workshops and will assist the organisations to be more effective in their anti-corruption work at the national level. The information-sharing, which has been digitalised to a large extent, is also likely to endure.

The mainstreaming of a Training of Trainers approach into future capacity building interventions, particularly among member organisations, would further aid sustainability. Regional champions (ideally organisations, but could also be individuals) could be identified and the Coalition could focus on increasing the training capacities of those 'champions', which could then be diffused within the member organisations in that region.

What aspects of the context/ systems support sustainability?

The well-established Hub in Vienna has helped to professionalise the organisation and is critical to supporting sustainability of the interventions. By maintaining a constant presence in close proximity to the institutions and by ensuring that the Organisation and its staff have become familiar to the UNODC and the national delegates, the Coalition is well-placed to follow up on interventions and carry out sustained advocacy, rather than one-off events:

> *"Now that the foundational work has been done, the Coalition's Hub in Vienna is properly in place and can ensure that they press home the advocacy messages in a sustained and ongoing fashion, rather than just showing up at events like the COSP and having one-off impacts." Internal Stakeholder, Member Organisation.*

The staffing of the Vienna Hub with individuals with a range of relevant expertise has increased the likelihood of long-term sustainability. In addition, the onboarding of the additional regional coordinators, who will help facilitate knowledge-sharing across the network, will also help the sustainability of the Coalition's work.

The COVID-19 crisis has posed challenges for implementation but also presents opportunities for sustainability. The crisis has encouraged the Coalition and the UNODC to increase their technical capacities to organise events and forums virtually, which in the long-term may increase the

capacity for civil society engagement, if a virtual or hybrid format is to continue well into the future.

Having emerged from its foundational stage of organisational development over the course of the Programme, in the coming period, the Coalition should turn its attention to ensuring that the prospect of sustainability is more thoughtfully reflected within the organisation itself. Internally, the Vienna Hub must ensure that systems and approaches are developed, less on an ad hoc basis and more with a medium to long-term trajectory in mind. Some of the organisational aspects that are important for sustainability include: data and information storage processes, HR policies and processes and developing MEL processes, in line with best practice. Regarding programming, the ongoing Strategy process presents an excellent opportunity to prioritise and hone advocacy and communications strategies.

There is an ongoing issue with an application to obtain United Nations Economic and Social Council (ECOSOC) consultative status at the UN. The UN Office of Legal Affairs in New York has taken issue with the UN being mentioned within the UNCAC Coalition's organisation name and logo. The UNODC supports the Coalition's position, arguing that the name reflects the organisation's scope and mission. UNODC support is a positive sign but the Coalition should aim to resolve the issue as a matter of urgency, as attaining ECOSOC status would support sustainability of the interventions. The strategy process should therefore include a review of the organisation name and/or logo to ensure that it fully reflects the broad role of the Coalition, and its independence as an organisation from the UN.

Finally, strategic thinking about fundraising is critical for sustainability. The Coalition has done well to secure three donors (Norad, Danida and the Sigrid Rausing Trust) and inter-donor coordination has been good throughout the Programme. The Coalition should look to diversify the funding base and explore opportunities for cooperation with other donor agencies who are friendly to civil society participation in democratic processes, such as GIZ, and potentially the UNDP and USAID. In addition, the Coalition should pursue partnerships based on their knowledge products, for example with the U4 Anti-corruption Resource Centre, with whom conversations have already been initiated. A partnership with U4 could be mutually beneficial. It could ensure amplification of the Coalition's research and advocacy messages and also open more doors for other potential donors.

Programme design and management

To what extent was the organisational set up strengthened by the activities undertaken under this programme of work? Were the new/revised internal policies and guidelines the right ones to strengthen?

The Programme was well-managed by the Hub in Vienna. As detailed previously in the chapter on Impact, one of the most significant changes made possible by this Programme was found to be the professionalisation of the organisation. This will assist in the Coalition's effectiveness and its medium to long-term impact, and is therefore to be welcomed. Over the course of the

Programme, the Coalition Vienna Hub has evolved from an organisation with only one staff member to one with 4 full-time staff and one part-time staffer.

The internal governance and integrity mechanisms and policies developed for example on staffing, travel and procurement are essential steps to ensure that the organisation's policies are in line with best practice, and are all important building blocks in the internal professionalisation and good governance of the organisation. While these internal policies were indeed the right ones to start with, there should be further policy development for example on data and information storage, human resources retention and professional development, as well as more strategic reflections on the priorities and strategic direction for the Coalition.

How well were the programme planning, monitoring, evaluation and learning processes undertaken? Did the programme properly account for all risks?

The programme planning, while overall logical and well-intentioned, was over-ambitious. The Coalition would benefit from enhanced objective setting, work planning and monitoring, evaluation and learning processes.

At present, there is a certain lack of clarity in the work plan about how the activities of the team support the various outputs and likewise, the outcomes are too far removed from the outputs. Furthermore, the outcome variables and the impact objectives were overly optimistic and unlikely to be achievable over the course of a two-year programme. The indicators were often measuring change more widely than the groups the Coalition was working with, therefore making it challenging for the Coalition to demonstrate contribution to impact. A revision of the results framework to ensure that it is realistic and achievable would be advisable for the next phase of programming.

In the area of monitoring, evaluation and learning (MEL), this evaluation found that while there is clearly an awareness in the team of the importance of MEL, this has been conducted in a largely ad hoc fashion to date. Team members do keep track of activities and processes in various spreadsheets, for example related to specific outreach and engagement efforts. This is a useful practice but is not integrated into a more holistic monitoring and evaluation approach or system.

As mentioned above, the chosen indicators in the results framework (especially the Outcome indicators) were not conducive to impact monitoring because they were too far removed from the sphere of influence of the Coalition and its interventions.

The Programme documentation contains reflections on risks and mitigation strategies, although there was limited inclusion of operational risks and how they would impact on programme delivery. The organisation would benefit from maintaining a 'living' risk register which is periodically updated as part of ongoing MEL.

There have been efforts to survey members, for example via the ongoing annual activity update survey in 2020/2021 and an online survey as part of the current Strategy development process. This is a welcome effort but it is not clear from this evaluation how that information will be used for organisational learning and to inform future programming. As part of the ongoing Strategy

development process, the Coalition needs a deeper reflection on MEL to ensure that programming adapts and course-corrects where needed. This gap in MEL is closely tied in with the aforementioned lack of a mapped-out Theory of Change, which is needed to take into account the wider context and clear pathways for change for the programme's work, informed by knowledge of what took place during the First Cycle.

Was planning undertaken in a participatory manner?

The ethos of the organisation is to be inclusive and this is reflected in programme planning. In general, the Coalition has made efforts to engage with the membership in its planning processes. The ongoing Strategy review process has been consultative and will continue to engage participants from across the network. Members and internal stakeholders suggested there was scope for more regular and informal engagement with the membership to make them feel more part of a community. Through the hiring of a regional coordinator for Latin America in early 2020, who worked in close cooperation with the Vienna Hub, the Coalition has seen a real impact of this type of engagement, with the Coalition's membership in this region becoming one of its most active. The hiring of an additional three regional coordinators for the Sub-Saharan Africa, Middle East and Northern Africa and Asia/Pacific regions is a good step in the right direction towards more engagement with more Coalition members globally, as is the publication of the Coalition newsletter.

How effective and efficient were the approaches used for programme MEL?

As noted above, the team does not have an MEL plan in place, although team members collect and record information on activity areas individually. An MEL plan which is developed to collect reporting data would aid more efficient, timely and accurate monitoring and reporting data. Logframe variables should be developed based on what is measurable and achievable for the team to collect.

Added value and participation

What value have the programme/UNCAC Coalition added to the participation of civil society actors in and around the UNCAC?

The Coalition added considerable value to the participation of CSOs around the UNCAC, and without the Coalition's involvement fewer CSOs would be aware of the UNCAC processes or would have been included in discussions or have attended international events on the UNCAC. The evaluation found in the survey of Coalition members, that four in five members (80%) said that the Coalition added either a great deal or a fair amount of value to CSO participation during the support period.

The Coalition's efficiency in supporting engagement of CSOs in the UNCAC process comes principally from the size and diversity of its network, which includes CSOs of various sizes, with different policy focuses, from all regions, as well as anti-corruption experts and activists. The benefit of this was noted by one internal stakeholder as *"the combined insights of many*

organisations provide a richness in the debate, a richness in the discussion." Through its programme of work, which aims to improve UNCAC transparency and inclusiveness at the national, international and intergovernmental levels, the Coalition provides a bridge function, by sharing knowledge and expertise on the UNCAC across all levels, disseminating best practices, and amplifying messages/recommendations across all strata.

> *"It is very inclusive and horizontal in that an equal place is given to NGOs from all around the world, big ones, small ones and frankly that is a good counterweight to TI which is the juggernaut of the anticorruption world, and to have a coalition which gives a voice to smaller NGOs which are very specialist in one particular aspect.... this is a real achievement of the Coalition." Internal Stakeholder.*

The evaluation found evidence of the Coalition adding value to the participation of civil society in the UNCAC across all four workstreams, and principally in the following areas:

- The parallel reporting process which gave funding to CSOs to undertake their own reviews of their country's progress,
- Advocacy around the Transparency Pledge which encourages governments to include CSOs in their national review process,
- Providing recommendations to the UNODC on which CSOs to invite to the multi-stakeholder workshops, which facilitated subsequent networking between CSOs and government focal points,
- Informing the network of upcoming international conferences, events, and advocacy opportunities around the UNCAC/UNGASS, and letting them know how they can apply to attend the events and supporting them with technical support in registration,
- Covering travel costs for some CSOs to attend international events,
- Including some groups in the Coalition's delegation when they were unable to register for the events,
- Raising attention when CSOs and investigative journalists were prevented from attending COSPs,
- Coordinating advocacy positions/messages with other CSO groups for UNCAC conferences,
- Informing/capacity building for CSOs who attend international events about the processes and procedures and where they can provide input.

What value has the Programme added to the overall development of the UNCAC Coalition?

As noted previously in this report, the Programme has been found to have had a substantial impact on the development of the Coalition as an organisation, which is likely to have long-lasting sustainable results. The funding provided by this Programme allowed the organisation to establish itself as an independent organisation, registered in Vienna, which was noted by one external stakeholder as likely to bring future benefits to efficiencies with the organisation's partnership with the UNODC:

"Setting their feet on the ground here in Austria, for us this is very important as UNODC is headquartered here, so it is good to have our key umbrella partner just around the corner for communication for administration and for all matters." External Stakeholder.

The increased staffing capacity has also had a wider impact on the network. By increasing the capacity of the Vienna Hub, communication with the network has since increased, which may likely have impacts in the future by improving the engagement of members in the mission of the organisation. The development of the Coalition's content working groups during the supporting period has further supported the Coalition's development as content creators, has aided cross-network communication between CSOs, and had tangible outputs which have informed anti-corruption debates.

To what extent did the Programme benefit from the fact that the interventions were specifically implemented by the UNCAC Coalition?

The Programme benefited substantially from being implemented by the UNCAC Coalition. Given that the organisation is unique both in its organisational set up and mission to improve transparency and inclusiveness in and around the UNCAC processes via greater CSO involvement, it is a credible player to implement this programme of work. Given its wide network, this has facilitated greater knowledge-sharing across the network, helping to share experience of what works:

"The Coalition's persistence and their presence has helped kind of create more space in the way and has been a constructive, often constructive, engagement." External Stakeholder.

The Coalition also brings extensive years of experience of working on the UNCAC process. As it has transitioned in previous years to an independent organisation, the profile of the organisation as the key civil society organisation working on the UNCAC, internal staff members note that they are being contacted more regularly by government delegations for information on the UNCAC, therefore establishing greater credibility.

While UNODC's Civil Society team also provides support and capacity building to CSOs to better enable them to engage with UNCAC, the Coalition is uniquely positioned because of its independence and CSO status. This independence allows the Coalition to take a critical stance towards the IRM processes and UNCAC implementation, where necessary. This watchdog function provides an important counterbalance to the UNODC Secretariat whose remit is to serve the Member States.

Would the interventions likely have occurred anyway without support from the UNCAC Coalition?

While the Second Cycle Review Process and various initiatives surrounding the process would have continued without the Coalition's participation, both internal and external stakeholders noted that the participation of the Coalition helped increase wider CSO participation during the multi-stakeholder workshops and international events, such as the COSP and NGO briefings. The

Coalition helped to facilitate greater communication between CSOs and their government focal points. The research for the Parallel Reports is also unlikely to have occurred without the funding and technical support provided by the Coalition.

Conclusions and Lessons Learned

The following table summarises the key conclusions and lessons learned from this evaluation with reference to the evaluation criteria. This summary table should be read with reference to the more detailed findings on evaluation questions and sub-questions in the preceding chapter.

Relevance
The evaluation assessed the relevance of the interventions, simply put, whether the right things were done. The Programme's 4 expected results areas are perceived by internal and external stakeholders alike as having been highly relevant at the outset of the Programme and to continue to be relevant in the current context.   The Coalition's staff display a high level of awareness of both the UNODC 'universe', its parameters and limitations, as well as the diverse national environments in which the member organisations are working. According to this evaluation's survey, the most relevant activities in the eyes of the membership are 1) The Transparency Pledge, 2) Facilitating knowledge-sharing with the network, and 3) Facilitating CSO involvement in UNCAC events.   Over the course of its lifetime, the Programme adapted well to both opportunities (e.g., the UNGASS) and challenges (COVID-19) and showed an appropriate level of flexibility and adaptive management.   *Lessons Learned:*   To ensure ongoing relevance, the Coalition should: • Explore possible further partnerships, for example with the Open Government Partnership (OGP), Organisation for Economic Cooperation and Development (OECD), the UN Development Programme (UNDP), the Council of Europe's Group of States against Corruption (GRECO), OAS Inter-American Convention against Corruption and other regional anti-corruption bodies.   • Review the advocacy strategy and tactics, specifically around reforms to UNCAC policies, processes and terms of reference and consider focussing more efforts on advocacy via the States Parties.   • Undergo a thorough reflection on the Theory of Change underpinning the objectives and interventions.
Effectiveness
Despite challenging circumstances, the evaluation found many signs of effective implementation for this Programme. Most planned activities and outputs were achieved and in general activities were implemented to a very high standard, which was appreciated by beneficiaries and stakeholders.   Where the Programme had more limited success was in achieving substantial gains towards the higher order outcomes and impacts, but some developments towards achievement were observed. The achievement of outcome level targets and some output targets was hard to measure accurately because of the choice of indicators. While theoretically and logically sound in terms of long-term goals, the evaluation finds targets at this higher level were somewhat overambitious, given the resources and time available.

Lessons Learned:
- A revised results framework would help better measure effectiveness: Across several results areas, particularly Outcome 2 and 3, the gap between output and outcome indicators is wide and it would be worth considering reworking the outcome indicators to better connect them to the Coalition's specific interventions.
- Review advocacy strategy: The evaluation found a difference of opinion between the Coalition and UNODC on the role of UNODC vis-a-vis the Convention and Rules of Procedure. While UNODC sees itself in a purely administrative role, the Coalition sees them as having room to interpret the rules in different ways and also sees an agenda-setting role for UNODC. This difference of opinion is unlikely to change in the short to medium term. A review of the impact of the current advocacy strategy is therefore advisable to ensure the most effective tactics are in use. The 6th principle also prevented greater progress in meeting targets for the Transparency Pledge.
- Funding for national level work: CSOs often lack access to funding sources for work related to the UNCAC. The inclusion of small-scale funding support for initiatives such as the Parallel Reports is vital for ensuring uptake.

Efficiency

The evaluation assessed the efficiency of the programme in terms of timeline and staffing, as per the original terms of reference. The Programme delivered a substantial number of outputs and achieved key successes, despite a short overall Programme timeframe and modest staffing throughout most of the support period. Both internal and external factors posed significant challenges to the achievement of planned results, but the Vienna Hub team demonstrated responsiveness and flexibility which led to substantial progress particularly in the latter half of the support period.

Lessons Learned:
- Project planning: processes including establishing an office, recruiting staff, contracting, due diligence and quality control tend to take longer than expected, and contingency time should be built into Programme timelines to account for possible delays.
- External stakeholder engagement: ensure timely follow-up on points discussed after meetings or events with stakeholders, to maintain momentum and avoid missed opportunities for partnerships.
- Communication with members: communication improved over the course of the Programme but there is still scope for improvement. A lack of consistent and regular communication in part contributes to a less than fully engaged membership. There are also gaps in awareness among the membership, particularly with regard to the international advocacy work in Vienna. Review communication style so that it is engaging and develops a sense of community.

Impact

The review found several promising stories of impact which represent successes or potential successes for the Coalition. It is important to note that, given the shorter time frame for delivery of the programme, some effects have not yet been seen due to delays in the second cycle review process. It is recommended that the Vienna Hub continues to monitor the effectiveness and impact of their work to continue to assess long term changes - both

intended and unintended as a result.

The 4 most significant impacts identified through the review were:
- Supporting CSO engaging with their national governments on the Second Cycle UNCAC Review,
- Better enabling of transparent and inclusive UNCAC Review processes via CSO Parallel Reports,
- Engagement with government delegates in Vienna: building alliances, building capacities, building bridges?
- Evolution of the Coalition: Professionalising the Organisation.

Lessons Learned:
- Increase communication with the network and externally to raise awareness and better highlight successes. Share knowledge across the membership about advocacy strategies that have been successful in other countries.
- Continue to ensure that future programming includes funding support for national CSOs to increase engagement in initiatives.
- In the international engagement stream of work, the Coalition should continue and intensify its efforts to go deeper than the delegation in Vienna, which is important to ensure that the change makers at national level (be they relevant ministries, aid agencies) are also the targets of advocacy, either indirectly or directly.

Regarding the professionalisation of the Vienna Hub, the management should develop systems to ensure fair and manageable workloads for the committed staff of the Vienna Hub and as the team becomes more established, the organisation should consider clearer areas of responsibility to improve efficiency.

Sustainability

The review found that many aspects of the Programme show a high likelihood of enduring beyond its lifetime, including the capacity-building efforts, the professionalisation of the Vienna Hub in this foundational period, the research and knowledge products produced, and the networking relationships built up at national and international level. An awareness of the importance of sustainability was found among the team, although this has not been articulated in Programme documentation.

Lessons Learned:
- Diversifying the funding base: The Coalition has done well to secure three excellent donors, but would be on more secure and sustainable footing if further donors who prioritise civil society engagement were pursued. Possible donors and or relationships to pursue include GIZ, the UNDP, and USAID. The Coalition should also explore fully potential synergies with the U4 Anti-corruption Resource Centre and maximise potential networking and door-opening opportunities to new donors that the U4 may provide.
- Organisational aspects that are important for sustainability include: data and information storage processes and HR policies and processes, for instance on professional development, in line with best practice.

- Strategic planning: there are several areas which would benefit from strategic planning discussions, including advocacy and communications strategies and resolving the ECOSOC status, including reviewing the organisation name and/or logo.

Programme Design and Management

This Programme enabled the professionalisation of the Coalition's Hub in Vienna, which has managed the Programme effectively and efficiently. The increased capacities of the Vienna Hub are to be welcomed as the Programme of work requires this committed and well-qualified staff, which is now in place.

Lessons Learned:
- The MEL systems - including the Theory of Change, results framework and associated monitoring, evaluation and learning, risk log would all benefit from further reflection, which would be best undertaken within the context of the ongoing Strategic Review process.

Added Value

The Coalition added considerable value to the participation of CSOs around the UNCAC, via this programme of work, and without the Coalition's involvement fewer CSOs would be aware of the UNCAC or would have been included in discussions and processes, or attended international events.

The Programme has been found to have had substantial impact on the development of the Coalition as an organisation, which is likely to have long-lasting sustainable results. The funding provided by this Programme allowed the organisation to establish itself as an independent organisation, registered in Vienna, which was noted by one external stakeholder as being likely to bring future benefits to efficiency.

The Programme benefited substantially from being implemented by the UNCAC Coalition, given the organisation's combined unique organisational set up and mission to improve transparency and inclusiveness in the UNCAC processes.

Lessons Learned:
- Synergies in other processes: Look for synergies with the OGP/OECD/OAS regional initiatives to amplify messaging/campaigns.
- Communication with members: The Coalition can support its membership better by sharing more knowledge about effective approaches/success stories of other CSOs from other countries which have had important impacts.

Recommendations

Strategic Recommendations

Strengthening the UNCAC Convention text itself: as a long-term goal for the Coalition. The Coalition should look to and draw inspiration from the Geneva UN Human Rights process which has evolved and strengthened over time.

Theory of Change: Review is needed in order to put future programming on sound theoretical footing. The new Theory of Change should be communicated clearly for internal and external stakeholders and should be visualised for simple communication of the organisation goals and pathways to change.

Reviewing Advocacy Strategy: regarding the goal of improving the UNCAC processes, in particular the participation of CSOs in the subsidiary bodies. The current two-pronged approach may be counterproductive - indirect advocacy via the States Parties may be more effective and less damaging to the UNODC relationship. Provide additional advocacy advice to CSOs on how to convince governments on the 6th principle of the Transparency Pledge. For future review cycles, assess the value of the 6th principle as part of the Transparency Pledge, as it is preventing some countries from signing.

Developing a Stakeholder Engagement Strategy:

- **Internally:** Review communications frequency, approach, style and content with the members to increase engagement. Include sharing of success stories to help improve impact. Utilise the membership to support Coalition advocacy in Vienna.
- **Externally:** Assess key stakeholders in terms of their interest in the UNCAC work and their level of influence. Ensure more regular communication with key stakeholders, including keeping them informed on the wider work of the Coalition, to help build stronger partnerships and opportunities for coordination. On the international engagement work, continue and intensify efforts to go deeper than the delegations in Vienna.

Developing Fundraising Strategy: As well as diversifying the funding base, the Coalition should seek out fundraising opportunities which also offer support for Coalition members, given the challenges to fundraising at the national level for UNCAC activities.

Reviewing Organisational Branding: Given the ongoing Strategy review and the wider remit of the organisation other than strictly the UNCAC process, undertake a review of the organisation's branding to ensure that it is in line with the organisation mission and is engaging for external audiences. This is particularly relevant in light of the UN Office of Legal Affairs taking issue with the organisation's name and thus far declining to give ECOSOC status.

Operational Recommendations

Update Internal Policies and Processes: A comprehensive MEL system is needed to support the objective-setting internally. As part of its development, the Coalition should review log frame, risk register, data and information storage processes and HR policies and processes, such as professional development opportunities, in line with best practice.

Extend Partnerships: The Coalition should consider extending outreach to other parts of the UN system – New York and Geneva – because Vienna has its limits. The FACTI Panel in New York, for example, is a good partnership which could serve as an example for other similar cooperation. Outreach to other regional bodies, such as GRECO and OAS Inter-American Convention against Corruption, could be useful to form alliances to strengthen the UNCAC.

Review and extend engagement tactics: Consider more informal engagement with 'friendly' governments via side-events at COSPs and more quasi-private events to bring together like-minded participants. For example, bringing together the 'Friends of Governance' to promote informal discussions among progressive country delegations, either in Vienna or on the side-lines of international events.

Intensify outreach beyond the 'friendly' delegations: The Coalition should continue to explore the possibilities to convince governments who would not traditionally be allies but whose positions may be movable, especially for countries for whom image on the international stage is increasingly important.

External Communications: External visibility is very important for the organisation at this stage in its development. The Coalition should continue and intensify its activity on social media platforms, and should also maintain more traditional modes of visibility at events/on panel discussions.

Annexes

Annex 1: List of Documents Reviewed

Donor Agreements:
1. NORAD-UNCAC Coalition (2018) including Logframe and original Grant Application
2. DANIDA – DED UNCAC Coalition (2019, 2020)
3. UNODC- UNCAC Coalition (2019)
4. Sigrid Rausing Trust (2019)

Donor Reporting:
5. Norad – Annual Reporting for 2019 – 15 May 2020
6. Norad – Annual Reporting for initial period – May 2019
7. Norad – Narrative Update – Nov 2019
8. Norad & Danida – Narrative Update – Nov 2020
9. Narrative Report to Sigrid Rausing Trust (2018-2020)
10. UNODC Narrative Reports (2018 and 2019)

Work Plans:
11. UNCAC Coalition Annual Work Plans (2018, 2019 and 2020) and Revisions

Internal Monitoring and Evaluation reports/data:
12. Post-workshop Evaluation Report Addis Multi-stakeholder Workshop April 2019
13. Follow up survey – Multi-stakeholder Workshop Senegal 2018
14. UNCAC Coalition's Assessment of UNCAC Review Mechanism full country reports
15. Internal Monitoring file Delegate Outreach UNGASS 2021
16. Internal Monitoring file on Transparency Pledge Outreach 2018-2020
17. Internal Monitoring file parallel report overview of supported CSOs
18. Internal Monitoring file Publication of national review key documents
19. UNCAC Coalition Guidelines for assessing CSO parallel reports
20. Internal Monitoring file ´Civil Society support´
21. UNCAC Coalition Strategy

Research and related publications:
22. UNCAC Coalition (2019) Transparency Pledge and related documents:
    https://uncaccoalition.org/wp-content/uploads/Transparency-Pledge_English.pdf
23. UNCAC Coalition (2019) Guide to Transparency and Participation in the IRM - UNCAC Coalition.
    https://uncaccoalition.org/wp-content/uploads/UNCAC-Coalition-%E2%80%93-Guide-to-Transparency-and-Participation-in-the-IRM.pdf
24. Transparency International and UNCAC Coalition (2013) Civil Society Guide: UNCAC and the Private Sector.

https://www.unodc.org/documents/NGO/Civil-Society-Guide-English.pdf

25. Transparency International and UNCAC Coalition (2014) Using the UN Convention against Corruption to advance anti-Corruption efforts: a guide. https://uncaccoalition.org/resources/uncac-guide/uncac-advance-anti-corruption-efforts-guide-en.pdf

26. U4 Anti-corruption Resource Centre (2019). UNCAC in a Nutshell: A quick guide to the United Nations Convention against Corruption for donor agency and embassy staff, by Hannes Hechler, Mathias Huter and Ruggero Scaturro. https://www.u4.no/publications/uncac-in-a-nutshell-2019

UNCAC Coalition Statements

27. Statement submitted by the UNCAC Coalition, to COSP Abu Dhabi (2019): https://www.unodc.org/documents/treaties/UNCAC/CoSP/session8/V1911840e.pdf

28. Statements submitted by UNCAC Coaltion to IRG (Implementation Review Group) including:
https://www.unodc.org/documents/treaties/UNCAC/WorkingGroups/ImplementationReviewGroup/31Aug-2Sep2020/V2004525e.pdf and
https://www.unodc.org/documents/treaties/UNCAC/WorkingGroups/ImplementationReviewGroup/31Aug-2Sep2020/V2004526e.pdf

29. Statements and Submissions to UNGASS including:
https://ungass2021.unodc.org/uploads/ungass2021/documents/session1/contributions/UNCAC_Coalition_UNGASS_Consultation_Submission_1.pdf and

30. Transparency International & UNCAC Coalition submission on asset recovery:
https://ungass2021.unodc.org/uploads/ungass2021/documents/session1/contributions/TI_UNCAC_Coalition_Proposal_for_Asset_Recovery_Agreement.12.6.2020.pdf

UNCAC Coalition Guidance for CSOs including:

31. UNCAC Coalition Guidelines and report template for civil society groups conducting a parallel review

32. UNCAC Coalition Guidelines and template on producing a commentary on a country review report

33. UNCAC Coalition Guidance for CSOs seeking publication of full UNCAC country review reports

34. Full review of UNCAC Coalition website, including newsletter editions and blog posts.

Annex 2: Evaluation Matrix (Criteria and Questions)

Proposed Evaluation Matrix					
	Evaluation Question	**Sub-question**	**Indicators and/or other descriptors**	**Data Collection Tool**	**Data Source**
Relevance	To what extent was the programme originally designed to respond to the conditions in which beneficiaries were operating?	Financial, economic, social, political and institutional conditions	Qualitative assessment (Adaptive Management) of programme design and adaptations to context changes at the start of the programme	Desk top literature review IDIs Programme Personnel	Project Documents Donor Reports Interview Data
	Was the programme designed to appropriately adapt to the changing circumstances during the course of the programme's implementation, in order to remain relevant?		Qualitative assessment (Adaptive Management) of programme design and adaptations to context changes during the course of the programme	Desk top literature review IDIs Programme Personnel	Project Documents Donor Reports Interview Data
	To what extent was the programme designed to be compatible with other UNCAC-related interventions?	To what extent do they harmonise and are coherent with what other organisations are doing in this area of work? To what extent was there sufficient coordination and exchange of information with other organisations in the field?	Programme Design: Qualitative assessment of degree of compatibility and complementarity reported by beneficiaries and stakeholders	Desk top literature review IDI Internal and External Stakeholders	Project Documents Donor Reports Interview Data
	Was the programme design coherent and the pathways for impact (theory of change) well articulated?		Programme Design: Qualitative assessment of coherence of programme design and of programme theory of change logic	Desk top literature review IDI Internal and External Stakeholders	Project Documents Donor Reports Interview Data

Effectiveness	To what extent did the programme meet the planned objectives?	To ask about all 4 programme objectives: 1) CSOs contribute to national UNCAC Second Cycle review process with support of the Coalition 2) ODA governments enable a transparent and inclusive UNCAC review process on the national level 3) Civil society groups use the UNCAC to advocate for change (in anti-corruption practice in ODA recipient countries) 4) Civil society successfully advocates for improvements related to UNCAC process and policy issues	Qualitative and quantitative assessment of extent to which programme objectives were met, with reference to logframe indicators	Desk top literature review Survey of members FGD and IDI Beneficiaries IDI Internal and External Stakeholders	Project Documents Donor Reports Survey Data
	What were the major factors which influenced the achievement or non-achievement of the programme?		Qualitative assessment of factors influence achievement/non-achievement	IDIs Programme Personnel FGD and IDI Beneficiaries IDI Internal and External Stakeholders	Project Documents Donor Reports Member FG Data
	Are there differential results across different groups of beneficiaries, and if so, why?		Qualitative and quantitative assessment of any differences in outcomes	Desk top literature review Survey of members FGs Members	Project Documents Donor Reports Survey and FG Data
Efficiency	Was the Programme timeframe and staffing realistic?		Programme Design: Qualitative assessment of the planned programme timeframe and staffing, against requirements during the course of the programme	Desk top literature review IDIs Programme Personnel	Project Documents Donor Reports Interview Data
	To what extent did partnerships/cooperations with other organisations help or		Qualitative assessment of utility of partnerships/co-operations	IDIs Programme Personnel IDIs External Stakeholders	Interview Data

	hinder efficient operations?				
	Were any bottlenecks identified and how could they have been avoided?		Qualitative assessment of communication and decision making channels during the course of the programme	IDIs Programme Personnel IDI External Stakeholders FGs Members	Interview and FG Data
Impact	What were the most significant positive impacts of the programme?	What types of impact were seen? Changes in discourse? Institutional and/or legal? Why do they best represent programme objectives?	Qualitative assessment of programme impacts using most significant change approach	IDIs Programme Personnel Survey of Members FGs Members IDIs Members	Interview and FG data Survey data
	Were there any negative impacts of the programme?		Qualitative assessment of unplanned impacts from the programme, and factors for why they occured	IDIs Programme Personnel Survey of Members FGs Members IDIs External Stakeholders	Interview and FG data Survey data
	Were there any positive or negative unintended consequences as a result of the programme?		Qualitative assessment of unplanned impacts from the programme, and factors for why they occured	IDIs Programme Personnel Survey of Members FGs Members IDIs External Stakeholders	Interview and FG data Survey data
	What lessons can be learned from these impacts?			IDIs Programme Personnel Survey of Members FGs Members IDIs Members	Interview and FG data Survey data
Sustainability	What benefits are likely to continue over the medium and long-term? What are not likely to continue?	Why? What could have been done differently to ensure sustainability of outcomes?	Qualitative assessment of likely sustainability of outcomes from the programme	IDIs Programme Personnel FGs Members IDIs Members IDIs External Stakeholders	Interview and FG data

	What aspects of the context/ systems support sustainability?	Financial, economic, social, environmental, and institutional capacities?	Qualitative assessment of the systems in which the programme was operating in which contributed to achievement/ non-achievement	IDIs Programme Personnel FGs Members IDIs Members IDIs External Stakeholders	Interview and FG data
Programme Design and Management	To what extent was the organisational set up strengthened by the activities undertaken under this programme of work?	Were the new/revised internal policies and guidelines the right ones to strengthen?	Operations: Qualitative assessment of the contribution of the programme to organisational strengthening	Desk top literature review IDIs Programme Personnel	Project Documents Donor Reports Interview Data
	How well was the programme planning, monitoring, evaluation and learning processes undertaken?	Did the programme account properly for all risks (economic, political, social etc.)	Qualitative assessment of programme planning and MEL processes against international best practice	Desk top literature review IDIs Programme Personnel	Project Documents Donor Reports Interview Data
	Was planning undertaken in a participator manner?		Qualitative assessment of manner in which planning was undertaken	Desk top literature review IDIs Programme Personnel	Project Documents Donor Reports Interview Data

	How effective and efficient were the approaches used for programme MEL?		Qualitative assessment of MEL approach	Desk top literature review IDIs Programme Personnel	Project Documents Donor Reports Interview Data
Added value and participation	What value have the programme and the UNCAC Coalition in general added to:	-Participation of civil society actors in and around the UNCAC? -The overall development of the UNCAC Coalition?	Qualitative assessment of the added value from the programme	IDIs Programme Personnel FGs Members IDIs Members IDIs External Stakeholders	Interview and FG data
	To what extent did the project benefit from the fact that the interventions were specifically implemented by the UNCAC Coalition?	Would the interventions likely have occurred anyway without support from the UNCAC Coalition?	Qualitative assessment of the added value from the UNCAC Coalition's involvement	Survey of Members IDIs Programme Personnel FGs Members IDIs Members IDIs External Stakeholders	Interview and FG data Survey data
	How could the UNCAC Coalition increase the value it adds and the impact it has?	Would a change of focus or mode of engagement with relevant stakeholders (including UNODC) possibly increase impact?	Qualitative assessment	IDIs Members IDIs External Stakeholders	Interview data

Annex 3: Survey Questionnaire

Introduction

The UNCAC Coalition is currently undertaking an independent evaluation of its "Civil Society Participation in the UNCAC – Building Momentum for Change" programme which has been implemented from late 2018 until now.

Two independent external consultants - Suzanne Mulcahy and Coralie Pring - have been selected to undertake the evaluation. The evaluation will assess the programme according to its relevance, effectiveness, efficiency, impact and sustainability, as well as the project management and 'added value' of the Coalition to this area of work. The evaluation will also seek to gather lessons learnt which can help improve future programmes operated by the UNCAC Coalition.

As you are a member or affiliated group of the UNCAC Coalition, your views would be very useful for this evaluation.

We are very much looking for honest and open answers, to help us understand what worked well and what could be improved upon. Please be assured that all your answers will be treated anonymously and will only be analysed along with other people who take part, so none of your statements will be attributed to you directly. Only the independent consultants will have access to your responses.

The survey should take between **12 and 15 minutes to complete.** The survey will close at **11pm (CET) on 11th January 2021**.

We very much appreciate you taking the time to answer our questions. If you have any questions about the survey, please email coralie.pring@gmail.com.

Background questions

[Q1] [Single] Are you...
- Male
- Female
- Other
- Prefer not to say

[Q2] [Single] Which region are you/ your organisation based in?
- Sub-Saharan Africa
- South, West and Northern Europe
- Southeast Europe
- South Asia
- Southeast Asia
- East Asia
- The Caucasus
- Latin America
- Caribbean
- The Middle East and North Africa
- North America

[Q3] [OPEN] In which country are you / your organisation based?

[Q4] [Single] Which of the following best describes your or your organisation's relationship with the UNCAC Coalition?
- National Member Organisation (ordinary or extraordinary)
- International Member Organisation
- Individual Member
- Affiliated organisation
- Not sure / Something else

[Q5] [SINGLE] [Only members, affiliated groups] Approximately, how many full-time employees does your organisation have?
- Up to 3 full-time employees
- From 3 up to 5 full-time employees
- From 5 to 10 full-time employees
- From 10 up to 20 full-time employees
- From 20 up to 50 full-time employees
- More than 50 full-time employees
- Don't know

[Q6] [SINGLE] And for approximately how long have you or your organisation been a member of or affiliated with the UNCAC Coalition?
- Less than 1 year
- From 1 up to 5 years
- More than 5 years
- Don't know

[Q7] [Single] At what stage is your country currently in for the UNCAC Second Review Cycle?
- Fully complete
- Underway
- Not started
- Don't know / not sure

We would next like to ask you for your views and experiences with the UNCAC Coalition in 2019 and 2020.
Relevance
[Q8] [Grid] How relevant, if at all, would you say each of the following objectives of the programme are for your organisation's strategy?
- CSOs contribute to national UNCAC Second Cycle review process with support of the Coalition
- Governments enable a transparent and inclusive UNCAC review process on the national level
- Civil society groups use the UNCAC to advocate for change in anti-corruption practice
- Civil society successfully advocates for improvements related to UNCAC process and policy issues

A. Very relevant
B. Fairly relevant
C. Not very relevant

D.   Not at all relevant

E.   Don't know

Effectiveness

[Q9] [Grid] How successful, if at all, do you think the UNCAC Coalition has been during 2019 until 2020 in achieving each of the following objectives of the programme:

- Supporting CSOs in contributing to national UNCAC Second Cycle review process
- Contributing to governments' enabling a transparent and inclusive UNCAC review process on the national level
- Supporting CSOs so that they can use the UNCAC to advocate for change in anti-corruption practice
- Supporting CSOs so that they can successfully advocate for improvements related to UNCAC process and policy issues

A.   Very successful

B.   Fairly successful

C.   Not very successful

D.   Not at all successful

E.   Don't now/ not sure

[Q10] [Grid] And how important or unimportant do you think each of the following activities were for the UNCAC Coalition to be undertaking during 2019 and 2020:

A.   Updating the UNCAC Coalition website to make it more user-friendly, including the creation of regional platforms

B.   Advocacy with governments for a transparent and inclusive UNCAC review and to advance priority issues (Transparency Pledge)

C.   Production of report template for parallel UNCAC country Second Cycle review reports

D.   Direct advocacy with UNODC on civic space and information sharing

E.   Engagement of members and wider network to facilitate knowledge sharing

F.   Facilitating civil society involvment and participation in UNCAC events (UNCAC COSP, UNCAC NGO briefing, etc.)

G.   Facilitating civil society working groups around issues (victims of corruption) and events (UNCAC Conference of States Parties, regional UNCAC Conferences) to advance discussions on key policy issues

H.   Co-organising UNCAC Multi-Stakeholder Workshops (CSOs, gov., private sector) with UNODC and giving training to CSOs on the UNCAC

I.   Providing ongoing advice, technical assistance and financial support for national CSOs to produce civil society paralell reports on UNCAC implementation and to engage in the UNCAC implementation review process

- Very important
- Fairly important
- Neither important or unimportant
- Fairly unimportant
- Very unimportant

- Don't know

[Q11] [Single] How useful did you find the Multi-Stakeholder Workshops / Trainings on the UNCAC which were organised by the UNODC with support from the UNCAC Coalition, or did your organisation not attend any such workshop/training?
- Very useful
- Fairly useful
- Not very useful
- Not at all useful
- Not applicable - my organisation did not attend any multi-stakeholder workshops or trainings organised by UNODC/UNCAC Coalition
- Don't know

[Q12] [Grid] Thinking about the ongoing Second Cycle of the UNCAC Implementation Review process in your country, for each of the following please say whether your organisation been involved in this, or not:

A.   Dialogue with your national government about the UNCAC review process
B.   Contributing to the assessment (check-list) of the implementation of the UNCAC in your country
C.   Contributing to the UNCAC revieweres' country visit
D.   Producing a CSO parallel report for your country
E.   Attending international events/ conferences related to the UNCAC review process

- Yes, my organisation was involved in this
- No, my organisation was not involved in this
- Don't know

Impact
[Q13] [OPEN] In your opinion, what were **the most significant positive impacts** which occurred due to the support from the UNCAC Coalition? Please give as much detail as you can, including what factors contributed to this impact and include links or references where available.

[Q14] [Single] Were there any negative impacts of the UNCAC Coalition's activities or unintended consequences? If so, what were they?
- Yes [Please specify]
- No
- Don't know

Sustainability

[Q15] [Single] How likely, if at all, do you think it is that the benefits gained from the Programme are likely to last into the future (in the medium or long term)?
- Very likely
- Fairly likely
- Not very likely
- Not at all likely
- Don't know

Added value and participation

[Q16] [Single] How much value, if any, do you think the UNCAC Coalition adds to the participation of civil society actors in and around the UNCAC?
- A great deal
- A fair amount
- Not very much
- None at all
- Don't know

[Q17] [Single] If the UNCAC Coalition **had not** undertaken activities in the past two years, how likely, if at all, is it that your organisation would have been involved in the UNCAC review process anyway?
- Very likely
- Fairly likely
- Not very likely
- Not at all likely
- Don't know

[Q18] [Open] And finally, do you have any recommendations for the UNCAC Coalition for what it could improve on in future programming - for example, operational improvements, the way it engages with CSOs and shares information, strategic improvements or improvements to increase impact?

Thank you!

Discussion Guide 1 (Programme Personnel and Board Members)
Each discussion guide will be tailored to the specific respondent(s). The guide is flexible and can be adjusted as the conversation develops.

Opening Remarks
At the outset respondents will be assured of confidentiality and discretion and will be encouraged to give open and honest answers, both positive and negative feedback. The independence of the evaluation will be emphasised. The context of the evaluation being effectively a review of the whole programme of work of the UNCAC Coalition will also be explained: i.e. "when we talk about 'the Programme', we mean 'the whole body of work undertaken by the UNCAC Coalition over the past 2 years)." Respondents should also be asked for their consent to record the interview in order to alleviate note-taking burden.

Scene-setting (Context and Relevance)
1. We want to begin by asking about your involvement with the UNCAC Coalition. Could you briefly describe your role with the Coalition and the tasks you are/were responsible for? Since when and for how long were you working on this programme of work?
2. Programme Design: To the extent that you are aware, why was the programme, which effectively entails almost all the activities the Coalition's Vienna team has conducted in the past two years, designed in the way that it was? What was it trying to achieve? Would you say the Coalition had a clear idea of the change you were trying to achieve? From your understanding, how did the activities you were working on contribute to the overall aims of the programme?
3. Programme Design: To what extent was the work of the UNCAC Coalition designed to be compatible with other UNCAC-related interventions by other organisations?
4. Relevance: To what extent was the programme originally designed to respond to the conditions in which beneficiaries were operating? How relevant do you think the programme is given the contexts in which it is operating (in relation to UNCAC, the Review Mechanism etc)? Do you think the interventions were needed? Were they the right activities?
5. Relevance and Efficiency (Adaptive Management): Were there any major changes in the operating environment which impacted on the work? How did this impact the work of the programme? Did any changes need to be made to the programme as a result? Did these changes mitigate the risks posed by the changing circumstances?
6. Relevance and Sustainability: To what extent are the objectives of the project/programme still valid?

Efficiency and Programme Management
Here the focus is on whether the actions to achieve the results were efficient? In other words, have things been done right?

7. To the extent that you are aware of the project implementation, was the project implemented within the anticipated budget, timeframe and allocation of staff resources?
8. Were the available resources appropriate to the scale of the project and planned results?
9. To what extent the resources were used economically? How could the use of resources have been improved?
10. Overall, how well was the programme planning, monitoring, evaluation and learning processes undertaken? Was planning and project management undertaken in a participatory manner? How effective and efficient were the approaches used for programme MEL?
11. Were there any bottle-necks which slowed down decision-making or implementation?
12. To what extent did partnerships/cooperations with other organisations help or hinder efficient operations?

Effectiveness and Added Value

Here the focus is on whether the project's actions were *effective*. The Programme of work had 4 main objectives:
- 1) CSOs contribute to national UNCAC Second Cycle review process with support of the Coalition
- 2) ODA governments enable a transparent and inclusive UNCAC review process on the national level
- 3) Civil society groups use the UNCAC to advocate for change (in anti-corruption practice in ODA recipient countries)
- 4) Civil society successfully advocates for improvements related to UNCAC process and policy issues

13. In your view, to what extent were these objectives met? What were the highlights and low-lights of the project from your perspective?
14. What factors helped to achieve the objectives? What were the challenges to achieving the objectives of the project and the expected accomplishments?
15. What should be readjusted and improved upon in future iterations of the programme?
16. What value has the programme added to:
    a. the Participation of civil society actors in and around the UNCAC?
    b. The overall development of the UNCAC Coalition?
17. To what extent did the project benefit from the fact that the interventions were specifically implemented by the UNCAC Coalition? And do you think they would have happened anyway, through another organization for example, if the UNCAC Coalition would not have undertaken them?

Impact and Sustainability

18. What were the most significant positive impacts of the programme in your view? Were there any negative impacts of the programme? What lessons can be learned from these impacts, especially when thinking about future programming?

19. Were there any unintended consequences (positive or negative) as a result of the programme?
20. What benefits are likely to continue over the medium and long-term? What are not likely to continue? What aspects of the context/ systems support sustainability?

Closing Questions and Final Remarks

21. Overall are there any lessons learned you would like to emphasise with regard to the work of the Coalition over the past couple of years?
22. What do you think should be the next steps for the UNCAC Coalition to sustain or further develop the achievements of this project?
23. If you had the power to time-travel back to the start of the project, is there anything you would do differently, knowing what you know now?
24. And finally, any other comments or anything which we didn't ask but should have?

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Discussion Guide 2 for In-depth Interviews and Focus Groups (with Member Orgs and External Stakeholders)

At the outset respondents will be assured of confidentiality and discretion and will be encouraged to give open and honest answers, both positive and negative feedback. The independence of the evaluation will be emphasised. The context of the evaluation being effectively a review of the whole programme of work of the UNCAC Coalition will also be explained: i.e. "when we talk about 'the Programme', we mean 'the whole body of work undertaken by the UNCAC Coalition over the past 2 years)." Respondents should also be asked for their consent to record the interview in order to alleviate note-taking burden.

Opening Remarks

At the outset respondents will be assured of confidentiality and discretion and will be encouraged to give open and honest answers, both positive and negative feedback. The independence of the evaluation will be emphasised. Respondents should also be asked for their consent to record the interview in order to alleviate note-taking burden.

Scene-setting (Context and Relevance)

1. We want to begin by asking about your involvement with the UNCAC Coalition. Could you briefly describe for how long and in what capacity have you been involved with the UNCAC Coalition?
2. How aware are of you of the work which UNCAC Coalition has been doing since the end of 2018 until now? To what extent was is the work of the UNCAC Coalition designed to be compatible with other UNCAC-related interventions that you are aware of?
3. Programme Design: In you view, does the Coalition have a clear idea of the change they were trying to achieve?
4. Relevance: To what extent was the work of the UNCAC Coalition originally designed to respond to the conditions in which beneficiaries were operating? How relevant do you

think the work of the UNCAC Coalition is given the contexts in which it is operating (in relation to UNCAC, the Review Mechanism etc)? Do you think the interventions were needed? Were they the right activities?

5. Relevance and Efficiency (Adaptive Management): I now wanted to ask you about changes in political and institutional context at international level and also in the countries covered by the work of the UNCAC Coalition? Were there any major changes which impacted on the work? How did this impact the work of the programme? Was the programme flexible in responding to changes in circumstances?

6. Relevance and Sustainability: To what extent are the objectives of the project/programme still valid?

Effectiveness and Added Value

Here the focus is on whether the project's actions were *effective*. The Programme of work had 4 main objectives:

- 1) CSOs contribute to national UNCAC Second Cycle review process with support of the
- Coalition
- 2) ODA governments enable a transparent and inclusive UNCAC review process on the national level
- 3) Civil society groups use the UNCAC to advocate for change (in anti-corruption practice in ODA recipient countries)
- 4) Civil society successfully advocates for improvements related to UNCAC process and policy issues

7. In your view, to what extent were these objectives met? What factors helped to achieve the objectives? What were the challenges to achieving the objectives of the project and the expected accomplishments?

8. To what extent did partnerships/cooperations with other organisations help or hinder efficient operations?

9. What value has the programme added to:
    - the Participation of civil society actors in and around the UNCAC?
    - The overall development of the UNCAC Coalition?
    - How do you see the development of the UNCAC Coalition and its presence in Vienna in the past two years?

10. To what extent did the project benefit from the fact that the interventions were specifically implemented by the UNCAC Coalition? And do you think they would have happened anyway, through another organization for example, if the UNCAC Coalition would not have undertaken them?

Impact and Sustainability

11. What were the most significant positive impacts of the UNCAC Coalition and its activities in your view? Were there any negative impacts of the programme? What lessons can be learned from these impacts, especially when thinking about future programming?

12. Were there any unintended consequences (positive or negative) as a result of the programme?

13. What benefits are likely to continue over the medium and long-term? What are not likely to continue? What aspects of the context/ systems support sustainability?
14. Do you see any ways for the UNCAC Coalition to increase the value its engagement provides through different methods of engagement with UNODC and other key stakeholders?

Closing Questions and Final Remarks

15. Overall are there any other lessons learned you would like to emphasise with regard to the work of the Coalition over the past couple of years?
16. What do you think should be the next steps for the UNCAC Coalition to sustain or further develop its impact and the value it can provide through its work?
17. And finally, any other comments or anything which we didn't ask but should have?

Annex 5: Evaluator Profiles

Dr. Suzanne Mulcahy has 15 years of experience as a political and social researcher, specialising for the past 10 years in corruption and good governance globally. From 2009-2019 she worked in various research roles for Transparency International (TI), the global anti-corruption NGO renowned for the use of evidence-based advocacy. Suzanne has in-depth knowledge on anti-corruption, as well as well-honed qualitative research, analysis and evaluation skills. Since 2019 Suzanne has supported several international organisations on research, monitoring, evaluation and learning, including the Council of Europe Economic Crime and Corruption Division, the Regional Anti-corruption Initiative (South-east Europe) and UNODC. She also assists a number of organisations with strategic development and planning, including the British Council, Maritime Anti-corruption Network and the Open Society Foundation. Suzanne holds a PhD in Political Science from University College Dublin and the Freie Universität Berlin and a Master in European Studies from University College Dublin.

Coralie Pring has over 10 years of experience as a political and social researcher conducting formative and evaluation studies for multilateral and bilateral organisations, civil society organisations and foundations. She is specialised in good governance, anti-corruption and elections, with a particular focus on quantitative methods. Until 2019, she was the research lead at Transparency International (TI), directing two global corruption measurement indices - the Corruption Perceptions Index and Global Corruption Barometer. Since 2019 Coralie has provided several organisations with research and evaluation consultancy support including the British Council, Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), Transparency, Accountability and Participation team at the Open Society Foundations, the Regional Anti-corruption Initiative, UNDP and UNODC. Prior to this, Coralie was based in East Africa directing monitoring and evaluation research for good governance strategic communications projects in Ethiopia and Kenya. Coralie has a Master of Research in Politics from Birkbeck, the University of London where she specialised in qualitative and quantitative research methods.