Learning Exchange Report

Citizen Action Against Corruption

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ACCOUNTABILITY RESEARCH CENTER

About Accountability Research Center (ARC)

The Accountability Research Center (ARC) is an action-research incubator based in the School of International Service at American University.

ARC partners with civil society organizations and policy reformers in the global South to improve research and practice in the field of transparency, participation and accountability.

For more information about ARC, please visit the website: www.accountabilityresearch.org.

About ARC Publications

ARC publications serve as a platform for accountability strategists and researchers to share their experiences and insights with diverse readers and potential allies across issue areas and sectors. These publications frame distinctive local and national initiatives in terms that engage with the broader debates in the transparency, participation and accountability (TPA) field. Research publications include brief Accountability Notes, longer Accountability Working Papers and Learning Exchange Reports. ARC publications are open source and licensed under Creative Commons.

About the Authors

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Angela Bailey joined the Accountability Research Center in August 2016, after a decade of working for several international NGOs. She holds an MIA from Columbia University School of International and Public Affairs (SIPA), but learned infinitely more about the realities and implications of accountability for service delivery while working on humanitarian, post-conflict and 'development' programs in Africa (mostly in Liberia and Uganda). Prior to joining the ARC, Angela was Director of a social accountability program in the health sector in Uganda.

Shaazka Beyerle is a 2017 Jennings Randolph Senior Fellow at the U.S. Institute of Peace, where she is developing a handbook on external actor support for organized civic initiatives and nonviolent action to impact corruption and gain transparency, accountability, and rights, including in fragile contexts. She was the lead researcher for a World Bank Nordic Trust Fund project and co-author of the corresponding report, "Citizen participation: A human rights-based perspective on the World Bank's citizen engagement mandate" (June 2017). She is the author of *Curtailing Corruption: People Power for Accountability and Justice* (Lynne Rienner 2014), and *Freedom from Corruption: A Curriculum for People Power Movements, Campaigns and Civic Initiatives* (2015).

Jonathan Fox is a professor in the School of International Service at American University. He studies the relationships between accountability, transparency and citizen participation. He directs the new AU Accountability Research Center, an action-research incubator. His most recent publications include articles in *World Development* and the *IDS Bulletin*, and reports published by Making All Voices Count, U4: Anti-Corruption Resource Center and the Transparency and Accountability Initiative. His books include *Accountability Politics: Power and Voice in Rural Mexico* (Oxford 2007) and *Mexico's Right-to-Know Reforms: Civil Society Perspectives* (co-editor, Fundar/Wilson Center 2007). He was a founding member of the International Expert Panel of the Independent Reporting Mechanism of the Open Government Partnership and currently serves on the boards of directors of Fundar (Mexico) and the Bank Information Center (DC). For online publications, see http://jonathan-fox.org/.

Notes on Support

Disclaimer

The findings, interpretations, and conclusions expressed in this study are entirely those of the authors.They do not necessarily represent the views of Transparency International.

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Summary

This two-day learning exchange in Berlin on September 1–2, 2016 facilitated by Accountability Research Center staff and affiliates was rooted in the Transparency International 2020 Strategy *Together Against Corruption*. From this preliminary exchange, it is clear that many TI staff are very open to new ways of thinking about citizen engagement (coalition-building, volunteer recruitment and broader roles for citizen action) but have relatively limited experience. Against this backdrop, ARC offers more detailed observations and recommendations (Section VII) for TI moving forward, including:

1. Shift focus of discussion from "social accountability" to citizen action
2. Focus on strategy in order to guide tactics
3. Explore options for deeper citizen action within existing NC approaches
4. Seek to balance and integrate learning and research in NCs and TI-S
5. Balance NC "breadth" and "depth" balance in future learning exchanges

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Acronyms

ARC	Accountability Research Center
ALAC	Advocacy and Legal Advice Centers
CCC	Concerned Citizens Committees
MEL	Monitoring, Evaluation and Learning
NC	National Chapter of Transparency International
SAcc	Social Accountability
TI	Transparency International
TI-S	Transparency International Secretariat

I. Introduction

At the invitation of Transparency International Secretariat (TI-S), the Accountability Research Center (ARC) facilitated a learning exchange workshop for representatives of 17 TI National Chapters (NC) on Social Accountability (SAcc) and Anti-Corruption work. The two-day learning exchange was rooted in the TI 2020 Strategy *Together Against Corruption*.

From this preliminary exchange of 26 TI colleagues, it is clear that many TI staff are very open to new ways of thinking about citizen engagement (coalition-building, volunteer recruitment and broader roles for citizen action) but have relatively limited experience. Against this backdrop, ARC offers more detailed observations and recommendations (Section VII) for TI moving forward, including:

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Participants in the Sept. 1 – 2, 2016 workshop in Berlin on social accountability and anti-corruption work

II. Goals of Workshop

Social Accountability (and its links to anti-corruption work) has been identified as one key area of focus for the movement in the 2020 Strategy and accompanying implementation plan for the TI-S. The TI Secretariat's role in this is likely to focus on capacity-building and learning support to the movement. The *Social Accountability Learning & Design Collaborative* is envisioned as one of the main ways for TI-S to support NCs working in this area. This workshop was a first step towards establishing and focusing the TI-S support.

Purposes of the TI Social Accountability Learning & Design Collaborative
1. Strengthen the knowledge base to inform the design of future TI interventions on social accountability that seek to have an impact on reducing corruption.
2. Contribute to learning on what works in corruption-focused social accountability.

Purposes of the TI Social Accountability Learning & Design Collaborative
1. Improved capacity of TI social accountability program staff in design, implementation and MEL on Social accountability interventions for curbing corruption.
2. Strengthened design of Social accountability interventions for curbing corruption by TI Chapters.
3. Systematized body of knowledge on what works in corruption-focused social accountability.
4. Contributions to the larger debate on social accountability by TI social accountability interventions.

III. National Chapter Background (pre-workshop survey)

A total of 19 representatives of 17 TI National Chapters (NCs) submitted narrative responses to a series of questions prior to the workshop. The NC responses revealed a diversity of experience—some NCs have more depth of citizen engagement or coalition-building and some chapters focus more on tactics targeting greater transparency and access to information. NCs mentioned multiple tools or "tactics," some of which are less aligned to strategies which deepen citizen engagement in reducing corruption.

Pre-Workshop Questions
• Social Accountability interventions are projects which seek to involve citizens (and communities) to hold government to account and therefore curb corruption. In the last three years, please briefly describe the social accountability interventions you were involved in (including its main goals)? • How long ago did you start your social accountability initiative? • Who have been your main allies so far, either in government or among other civic/social organizations? • What were the main challenges which you identified in making social accountability interventions work for the fight against corruption? • What would you like to get out of the Social Accountability Learning Workshop? • What advice and suggestions do you have for the workshop design team? • Anything else you would like to share?

To provide a sense of the large range of NC experience, these were some of the tools/tactics mentioned: integrity pacts, procurement monitoring, social audits, suggestion boxes, concerned citizens committees (CCCs), public marches, lectures, social mobilization, advocacy and legal advice centers (ALAC), community scorecards, training volunteers, citizen report cards, public forums, transparency index, citizen audits, training media, petitions, budget monitoring, citizen charters, asset monitoring, service delivery monitoring, public worker monitoring, social media campaigns. About seven (7) NCs indicated ALACs among their Social Accountability work, six (6) indicated some kind of coalition/movement building actions, five (5) mentioned a youth focus, five (5) referenced work on political parties/elections and two (2) specifically mentioned recruiting/training volunteers.

IV. Workshop Format: Design and Evolution

The two-day workshop was primarily facilitated by Professor Jonathan Fox of ARC, Joy Aceron of G-Watch in the Philippines and Shaazka Beyerle, author of *Curtailing Corruption: People Power for Accountability and Justice*. Decisions about workshop content were led by ARC, in consultation with TI-S lead representatives (José Marin and Finn Heinrich).

By design, the workshop had relatively few sessions based on presentation/lecture format. In response to pre-workshop participant input, the workshop format focused on a series of small group discussions organized around reflection questions—each with an external "resource person" not affiliated with TI. Plenary feedback sessions followed small group discussions to facilitate the exchange of learning among participants from NCs and the TI-S.

During Day 1, participants and facilitators noted a few areas for improvement. There were too many questions posed for discussion, some of which were intentionally nuanced from facilitators' perspective, but more difficult for participants to understand. While designed to optimize participant engagement, the content of small group discussions was not fully reflected in some plenary sessions. In general, facilitators deliberately opted not to provide strict definitions for concepts in an attempt to avoid imposing ideas or giving the impression of "right" and "wrong" answers. The approach may have been too subtle based on the general experience level of participants and degree of fluency in English. In retrospect, it would have been useful to directly discuss power (rather than in passing) in the context of social accountability and citizen action since it underscores state-citizen relations and social change, including NC goals and obstacles.

For Day 2, facilitators and TI-S leads did significantly re-shape the agenda based on direct feedback from participants and gauging from the group and plenary discussions on Day 1. This dynamism and flexibility enabled a more responsive and more clearly targeted agenda for Day 2. Of note, the discussions on theory of change were dropped from Day 2 as this was thought to be overly ambitious.

See **Annex 1** for a summary of the workshop sessions and specific questions/themes discussed.

V. Participant Feedback (end of workshop)

T he 19 NC and seven TI-S participants shared insights on their key reflections and "take-aways" for their work at the end of the two-day learning exchange workshop. Overall, participant insights and "take-aways" did reflect many of the key themes covered in the workshop. This section summarizes main participant input on the following questions:

- *What were the three (3) main insights gained in the workshop?*
- *What are the three (3) main things you may do differently, stop doing or new things to adopt in your work?*

More detailed feedback is available in **Annex 2**.

1. Main Insights Gained from the Workshop

The most common insights related to clarification of key concepts such as differences between strategy and tactics, preventative and reactive approaches and watch-dogs and guard-dogs. Following this, several participants mentioned some insights about the importance of organizational learning and cultivating a learning culture. Others mentioned scale (working across levels from the local to the national and scale of collective action), the importance of citizen participation and working with volunteers. Some specifically mentioned vertical integration—which is conceptually related to scale—and coalition/network building. Taken together, a clear majority of insights revolved around the roles of citizens in anti-corruption and NC activities (scale, citizen participation, and volunteers). Several topics touched on during the workshop resonated with fewer participants, as shown in the table below which summarizes responses.

2. What Participants Hope to Do Differently After the Workshop

Some of the main insights above transferred in participant reports of what they will do differently, with the majority reflecting on integration of time and opportunity for learning. Other common responses were on citizen involvement in a broader range of activities and different stages of design; obtaining external stakeholder feedback from peers, citizens and even targets of work; and taking a longer view of strategy development. From some feedback, it seems that participants gravitated to more concrete examples shared during the workshop (i.e., "*try to conduct SAcc exercise in school uniform distribution*" or "*annual meeting to receive input*.")

VI. Observations and Recommendations

This section summarizes the key observations and recommendations from ARC facilitators based on the workshop process and the overall TI 2020 Strategy. This report does not summarize all the conversations (in several small group sessions or in plenary). Nor does the report attempt to offer a recommendation for each key observation, as the primary focus is to:

- *Present the most relevant observations to help advance TI movement thinking and*
- *Provide the most concrete and actionable recommendations based on a two-day workshop.*

Recommendation 1:

Shift focus of discussion from "social accountability" to citizen action

Observations	Recommendations
In pre-workshop surveys, it was clear that some chapters were presenting much of their existing work as "social accountability." Yet during the workshop, though there were some notable exceptions, it became clearer that most chapters had only recently introduced direct promotion of citizen action or currently do citizen-centered work at small scale. A participant concern related to citizen engagement is that citizens often want (and need) small victories along the way, which makes citizen participation difficult to sustain over longer-term institutional change processes. On the ground, some NCs highlighted how corruption is not experienced in a vacuum. It is hard to disentangle from other public sector problems (poor social service provision, inefficiency, policy weakness, recent wide scale political change, political stalemates). Most chapters seemed very open to new/broader ways of thinking about citizen engagement (coalition-building, volunteer recruitment and broader roles for citizens) but need support to build comprehensive strategies and approaches from relatively limited experience. Some NCs with extensive citizen-action initiatives consciously cultivate collective responsibility and collective ownership to recruit volunteers, overcome public apathy/disinterest/fear, involve citizens in actions, and generally, to sustain participation. In coming up with a strategy for citizen action, it pays for NCs to 'meet' citizens where they are at. If citizens demand immediate benefits, the actions to be taken will have to address this while linking it to broader sets of goals addressing systemic changes.	1. TI-S and NCs could reassess the variable interpretations and possible downsides and limitations to the SAcc frame. TI movement may consider refocusing this body of work as "citizen engagement" or "citizen action." 2. TI-S could develop a citizen participation framework that presents a spectrum of citizen engagement and action options, so NCs can map their citizen-centered work and consider new avenues of engagement in a strategic manner. 3. Actively promote a "citizen's eye view" and do more to actively discuss the overlap/distinction between corruption and other causes of institutional weakness/failure (since it is hard to tell the difference without in depth examination). 4. TI-S could catalyse practical lessons or takeaways about recruitment, citizen engagement and action, and cultivation of collective responsibility and ownership based on the experiences of some of the NCs.

Recommendation 2:

Focus on strategy in order to guide tactics

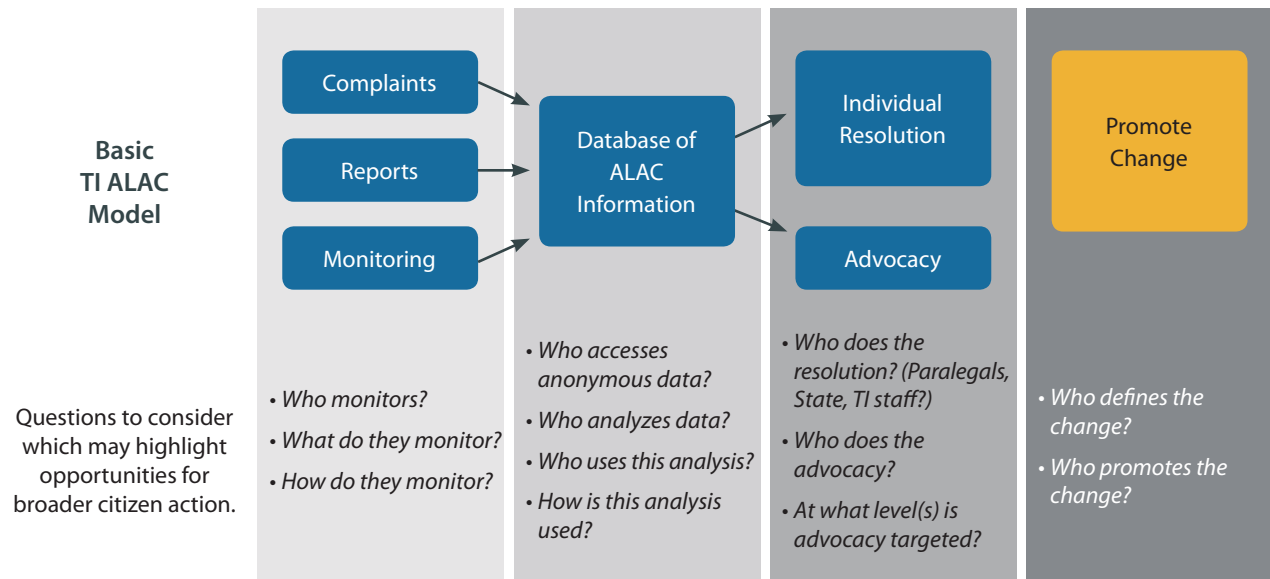| Observations	Recommendations
The conceptual distinction between strategy and tactics, as well as discussions of scale and vertical integration did resonate with participants. This will be relevant for NC planning for future citizen action. Many participants cited donor influence, project frames (SAcc "intervention" and "bounded" citizen engagement formats) as obstacles to longer term strategies. Strategic approaches to building a Theory of Change can enable a systematic reflection on political barriers and opportunities, limits of "bounded" citizen engagement, policy change, other relevant civil society stakeholders, etc. Some of the conceptual distinctions proposed, such as preventative vs reactive approaches to corruption or the effort to reframe "confrontation/constructive" towards "adversarial/collaborative" may have been overly subtle and did not seem to resonate. For planning future social accountability or citizen engagement strategies, it is relevant to distinguish the difference between recruiting TI chapter volunteers that engage in a variety of actions/tactics, partnering in coalition with existing, broad-based membership organizations,[1] or encouraging less formal, more crowdsourced forms of citizen action/tactics. Some participant reflections included deep insights on the differences between recruiting volunteers to help advance NC work or aligning with existing volunteer organizations in a mutually beneficial way (this is maybe a more balanced, partnership oriented, sustainable approach).	1. Each NC coalition work and whether it includes broad-based membership organizations as an entry point in some NCs strategic citizen action. 2. Encourage mapping of organizations (peer CSOs, community-based organizations, membership organizations, etc.) at all levels—Encourage—through resources or support—NCs to develop and review overall Strategy or Theory of Change (not "projectized" just in response to a donor funding call). 3. For NCs that are able to focus and develop an overall ToC or "Strategy" this can actually be used to make decisions about funding opportunities for tactics within that strategy. 4. Better understand relationships between the sub-national and national. This will help identify opportunities for learning, coalition-building, volunteer identification, NC spaces for engagement, etc. 5. To build the capacity of NCs towards strategic thinking and action, encourage capacity for organizational learning.

1   Broad-membership organizations could include unions, co-operatives, neighborhood organizations, self-help groups, community-based watchdog groups, identity-based organizations based on defending gender rights or ethnic minorities—plus scaled-up federations of all of the above.

Recommendation 3:

Explore options for deeper citizen action within existing NC approaches

Observations	Recommendations
Within TI, there is a basic model for Advocacy and Legal Advice Centers (ALAC), but implementation is not uniform in NCs as the program is context/experience driven. Interestingly, the ALACs were often cited during workshop discussions, but did not feature heavily in the insights or "things to do differently" reflection. For some NCs, ALACs are not just citizen corruption grievance reporting and resolution mechanisms. They are also used to recruit volunteers, gather corruption data from citizens and build citizen awareness about the NC. Yet from the discussions, it was not always clear to what degree ALACs promote citizen action work is or how their local, individual case work relates to sub-national or national advocacy at scale.	1. TI-S and NCs, as interested, could review the overall ALAC cycle with a critical eye and questioning how citizens can be more deeply engaged at various points. See box below for some suggestions. 2. Along with the review of ALAC, it might be helpful to review the concepts in the ladder of participation (which are helpful in thinking about depth of participation).

ALACs were mentioned at many points throughout the workshop and there was a specific session dedicated to them on day 2. There are clear opportunities for examining the ALAC model in practice and identifying entry points for citizen-centered engagement into the ALAC model. The diagram below provides a simplified diagram of the ALAC model as described during the workshop.

Basic TI ALAC Model

Complaints → Reports → Monitoring → Database of ALAC Information → Individual Resolution / Advocacy → Promote Change

Questions to consider which may highlight opportunities for broader citizen action.

- Who monitors?
- What do they monitor?
- How do they monitor?

- Who accesses anonymous data?
- Who analyzes data?
- Who uses this analysis?
- How is this analysis used?

- Who does the resolution? (Paralegals, State, TI staff?)
- Who does the advocacy?
- At what level(s) is advocacy targeted?

- Who defines the change?
- Who promotes the change?

Resources on the ladder of participation and related to other recommendations are found in **Annex 3**.

Recommendation 4:

Seek to balance and integrate learning and research in NCs and TI-S

Observations	Recommendations
The TI-S 2020 Strategy places high priority on research which contributes to the field of social accountability in the anti-corruption space. Day 2 agenda revisions led ARC facilitators to focus on organizational learning more broadly. The workshop began to address the challenge of how to assess chapters' own progress, though few reported comprehensive approaches. Learning is a cross-cutting topic of interest to the NCs, with the highest response rate for "what will you do differently?" Considering that there was a vast range of experience among participants, it is clear this topic was relevant to everyone, regardless of experience with SAcc/citizen action. Subtle probes on monitoring and evaluation and "research" did not yield much reaction from participants. Participants did not mention learning from research to improve their own work or generating knowledge through research on TI work which can contribute to the broader field. These are important considerations for TI-S in determining how to move forward with the *Social Accountability Learning & Design Collaborative*.	1. While organizations ideally change or adapt according to what they learn, they cannot be changing all the time. The basis of changes to be introduced, especially those with broad implications must withstand more "tests" in addition to leaning from one's own experience. This is where research becomes crucial to adaptive learning. More work on the difference between "learning" and "research" with NCs could be valuable here. 2. Because adapting from learning is something that needs to be supported, TI can consider how to engage in balanced, flexible and responsive researcher-practitioner partnerships. This should be a mode of learning that can infuse empirical evidence from broader experience, grounded analysis and deeper introspection to thinking about future actions.

Recommendation 5:

Balance NC "breadth" and "depth" balance in future learning exchanges

Observations	Recommendations
As this was the first workshop around SAcc in the TI 2020 strategy, TI-S very much wanted to know "where the chapters are" in terms of their work and thinking. Chapter representatives' understanding of SAcc/citizen action ranged from those who focused on "thick engagement" (direct organizing of/with citizens) on the one hand, vs those who do less targeted and less direct awareness-building, or providing their citizens with naming and shaming info—both of which rely on the media as key conduit to reach the public ("thin" or indirect engagement), or encouraging corruption reports through the ALACs. The wide range of participants made it difficult to advance an agenda for the workshop that satisfied the broad range of needs and expectations.	1. If future workshops or learning exchanges are organized, it might be better to strategically invite participants: a With like experience/expertise to go into more depth on topics. b With varied experience/expertise to create structured learning exchanges whereby NCs with less experience can tap the expertise of NCs with high experience who are present in order to serve as resources and to share experiences, examples and lessons.

Annex 1 – Summary of Workshop Agenda

Thursday, September 1, 2016
Opening remarks Self-introductions Grounding the learning exchange in the TI 2020 Strategy Participant responses to the survey Introduction to jargon busting Overview of the learning exchange agenda for the two days
Break
Ice breaker Sharing experiences from your social accountability work (Groups) *Q1: What are the specific goals of your accountability work?* *Q2: What outcomes have you achieved in your work?* *Q3. How do you assess progress of your work?* *Q4. What have been your main challenges and how have you addressed them?* Report back in plenary
Lunch
Introduce framing concepts: tactical and strategic approaches to accountability Approaches to citizen action in national chapter Work - with a focus on "tactics" and "strategies" **Theme 1 Citizen participation:** *(1) Why citizen participation? (2) In your experience, how do you identify and address obstacles and opportunities to citizen participation?* **Theme 2 Preventative and reactive:** *Share your experience in using preventive and reactive approaches. How did you decide which approaches to use?* **Theme 3 Adversarial and collaborative:** *Share your experience in using preventive and reactive approaches. How did you decide which approaches to use?*
Break
Plenary feedback and discussion: 1) *What were your key challenges (3–5) in thinking strategically?* *How do our strategies and tactics fit together?* Wrap-up key topics of day 1 Seeking participant input on key emerging questions and workshop methods

Friday, September 2, 2016
Overview of Plan for Day 2 Example: Text Book Count in Philippines
Break
Discuss major themes in SAcc in more depth (Groups) Group 1: *How can NGOs **build** and **sustain** balanced partnerships with **grassroots volunteers** and/or **membership organizations**?* Group 2: *What are possible synergies between social accountability and **political/electoral** accountability initiatives?* Group 3: *Building **partnerships with government** accountability agencies: how can CSOs tell the difference between "weak" and "captured" institutions?* SAcc in-depth: Feedback and discussion of themes in plenary
Lunch
Ice breaker: agree/disagree Small group discussions: *How can we improve learning in our organization?* Plenary feedback
Break
Parking lot (issue specific discussion groups generated from "parked" issues) Jonathan's takeaway Take away individual chapter work Ideas for joint future work Evaluation & Wrap up

Annex 2 – Full Participant Feedback (end of workshop)

Please note that these inputs from participants have been transcribed as written. To avoid over-interpretation of the responses we have not amended the words of participants, though we have grouped them based on key-words.

SUM	*What were the three (3) main insights gained in the workshop?*
8	**CONCEPTS:** 3 mentioned general clarification of the concepts; then some specifically mentioned concepts (strategy-tactics; preventive-reactive; adversarial-collaborative; transparency-accountability; watch-dogs-guard dogs)
7	**LEARNING:** How can we improve learning within our organization; importance of evaluation and learning; Assessing progress/external-internal evaluation on living up to strategy; learning culture; How are we making a difference
4	**SCALE:** Scale (not only # of participants, but local-subnational-national-transnational), collective action at scale
4	**CITIZEN PARTICIPATION:** How to use social accountability in our work; importance of Sacc; importance of civil society participation; Think about why to involve citizens; citizen participation obstacles/opportunities
4	**VOLUNTEERS:** Balanced partnership with volunteers; independence of volunteers; Voluntary work is needed; embrace volunteers
3	Vertical integration potential
3	**COALITIONS:** Coalition building is a must; partnership/networks; importance of networks/collaborators
2	**ALAC:** Integrate social accountability into ALAC work; explore ways to engage citizens in ALAC
2	Learning from failure/we are not alone, even in our failures
1	Practice of chapters overcoming issues
1	Assessing social accountability success isn't easy
1	Social Accountability Strategies need to evolve
1	Evaluate work w/people and w/out people (to look at when, where, why to involve)
1	We still don't know enough about each others' SAcc work
1	Connecting the dots
1	SAcc is more strategic behavior change tools

SUM	What are three (3) main things you may do differently, stop doing or new things to adopt?
11	**LEARNING:** Make time for learning/reflection; internal knowledge sharing/learning mechanism; learning process has to be monitored; improve learning culture; strategically plan org learning; close learning loop; adaptive learning
5	**SAcc-CITIZENS:** Involve citizens in all our activities especially when we want to promote social change; stress importance of including people in project design stage; Social accountability should be a part of all projects
4	**EXTERNAL FEEDBACK:** Annual meeting to receive input from partners, citizens, target organizations; getting direct critical feedback from stakeholders
4	**STRATEGY:** Make strategies/strategies as practice; think beyond the project; more forward planning
4	**M&E:** Evaluation is necessary to improve work tools; adjust measurement systems; build database
3	**VOLUNTEERS:** Expand volunteers; develop a network of volunteers; volunteer sustainability
2	**ALAC:** ALACs are the first step which we can benefit from to engage citizens; engaging citizens differently in ALACs
1	Resources for learning
1	Be open to failures and learning from them
1	Explore both collaboration and constructive
1	Explore both confrontation and adversarial
1	Open data analysis (engage citizens)
1	Don't let strategies get in the way of tactics
1	Frame with logo TI
1	TI-Secretariat MEL team to reinstate fishbowl (learning/reflection exercise)
1	TI-Secretariat team role vis-à-vis SAcc work and TI strategic goals
1	Assess capacity vs ambitions
1	Coalitions
1	CCC needs to be reorganized and ensure that they develop their own (unclear)
1	Try to conduct SAcc exercise in school uniform distribution
1	Try to create learning/evaluation program with the participation of citizens
1	Learning from research finding
1	Sustainability
1	Scaling our work

Annex 3 – TI Movement Participants

	Title	First Name	Family Name	Affiliation	Country
1	Mr.	Ilham	Saenong	TI Indonesia	Indonesia
2	Mr.	Nur	Fajrin	TI Indonesia	Indonesia
3	Mr.	Samuel	Rotta	Proetica	Peru
4	Ms.	Anastasiia	Kozlovtseva	TI Ukraine	Ukraine
5	Mr.	Yaroslav	Yurchyshyn	TI Ukraine	Ukraine
6	Ms.	Mary	Awelana	Ghana Integrity Initiative	Ghana
7	Mr.	Francis	Ekadu	TI Uganda	Uganda
8	Mr.	Apollinaire	Mupiganyi	TI Rwanda	Rwanda
9	Mr.	Isaiah	Mbiti Mwongela	TI Kenya	Kenya
10	Mr.	Juan Felipe	Cardona	Transparencia por Colombia	Colombia
11	Ms.	Gabriela	Ayerdi	Acción Ciudadana	Guatemala
12	Ms.	Keila	García	Asociación para una Sociedad Más Justa	Honduras
13	Ms.	Nicole	Verillo	TI Consultant	Brazil
14	Ms.	Uma	Chowdhury	TI Bangladesh	Bangladesh
15	Mr.	Shan	Wijethunge	TI Sri Lanka	Sri Lanka
16	Ms.	Nino	Topuridze	TI Georgia	Georgia
17	Mr.	Sebastijan	Peterka	TI Slovenia	Slovenia
18	Ms.	Hama	Zeidan	AMAN / TI Palestine	Palestine
19	Mr.	Mouheb	Garoui	IWatch	Tunisia
20	Ms.	Robin	Hodess	TI Secretariat	
21	Ms.	Claire	Martin	TI Secretariat	
22	Mr.	Finn	Heinrich	TI Secretariat	
23	Mr.	Rukshana	Nanayakkara	TI Secretariat	
24	Mr.	Paul	Zoubkov	TI Secretariat	
25	Mr.	Jon	Vrushi	TI Secretariat	
26	Mr.	José María	Marín	TI Secretariat	

Annex 4 – Recommended Resources

This presents just a few, strategic initial readings that can assist individuals, NCs or TI movement in thinking about some of the key emergent issues in the field of social accountability, citizen action and anti-corruption. We have shared these suggestions based on the topics which emerged during the workshop itself.

Pre-workshop Readings

Beyerle, S. (2015) *Freedom From Corruption: A Curriculum for People Power Movements, Campaigns, and Civic Initiatives*
http://www.curtailingcorruption.org/sites/default/files/Freedom-From-Corruption-Final-Edits-Aug-19-2015.pdf

Aceron, J. and Isaac, F. (2016) *Getting strategic: vertically integrated approaches*
https://opendocs.ids.ac.uk/opendocs/bitstream/handle/123456789/11737/RB_ManilaBgnd_Strategic_final.pdf?sequence=1

Fox, J. (2014) *Social Accountability: What Does the Evidence Really Say?*
http://gpsaknowledge.org/knowledge-repository/social-accountability-what-does-the-evidence-really-say-2/#.V7Sfmq0wDbQ

Fox, J., Halloran, B., Levy, A., Aceron, J. and van Zyl, A. (2015) *Connecting the Dots: Civil Society Policy Monitoring and Advocacy Strategies*
http://www.internationalbudget.org/wp-content/uploads/connecting-the-dots-for-accountability-2016.pdf

Theory of Change/Strategy Development and Learning/Adaptation

Here it is important to note that there are multiple on-going discussions in the field on theory of change and different types of learning. These terms are not used in a static way. theory of change, for example, is sometimes used for design of programs, sometimes to review/analyze and other times to communicate to external stakeholders. The key is to find out how theory of change can be useful for TI Chapters, programs and TI-S. Likewise with learning, there is an increasing focus on learning as a component of "adaptive management" and "adaptive programming."

Walters, C. (2015) *Theories of Change: Time for a radical approach to learning in development*
https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/9835.pdf
This paper, drawing on recent research and a workshop held at the Overseas Development Institute (ODI) in April 2015, outlines the growing and diverse ways in which Theory of Change approaches are understood. It takes the key findings of recent research (Valters, 2014) a step further, by outlining and justifying four key principles when using a Theory of Change approach, tied into a deeper analysis of the development sector.

GPSA Note 12 (2016): 'Learning journeys' for adaptive management – Where does it take us?
https://www.thegpsa.org/sa/related-resource/learning-note-12
Learning-by-doing and adaptation happens all the time at the frontline, and as a means of survival. So how can it be reflcted across the

sector as a whole—from individual citizen through to international donor through adaptive management?

Looking across the existing and growing body of literature both in 'systems thinking', behavioral theory and adaptive management practices for development, this GPSA Briefing Note seeks to clarify some of the underlying concepts and how they are and/or could be applied in practice. It also suggests some additional practical steps, going forward.

Anderson, A. (no date) *Community Builder's Approach to Theory of Change: A Practical Guide to Theory Development*
https://assets.aspeninstitute.org/content/uploads/files/content/docs/rcc/rcccommbuildersapproach.pdf
A theory of change can be a helpful tool for developing solutions to complex social problems. At its most basic, a theory of change explains how a group of early and intermediate accomplishments sets the stage for producing long-range results. A more complete theory of change articulates the assumptions about the process through which change will occur, and specifies the ways in which all of the required early and intermediate outcomes related to achieving the desired long-term change will be brought about and documented as they occur. The Community Builder's Approach to Theory of Change: A Practical Guide to Theory Development *is for planners and evaluators who are going to facilitate a process for creating a theory of change with community based programs and community change initiatives.*

Earl, S., Carden, F. and Smutylo, T. (2001) Outcome Mapping: Building Learning and Reflection into Development Programs
http://www.outcomemapping.ca/download/OM_English_final.pdf
Outcome Mapping focuses on one specific type of result: outcomes as behavioural change. Outcomes are defined as changes in the behaviour, relationships, activities, or actions of the people, groups, and organizations with whom a program works directly. These outcomes can be logically linked to a program's activities, although they are not necessarily directly caused by them. These changes are aimed at contributing to specific aspects of human and ecological well-being by providing partners with new tools, techniques, and resources to contribute to the development process. Boundary partners are those individuals, groups, and organizations with whom the program interacts directly and with whom the program anticipates opportunities for influence.

Social Accountability and Legal Empowerment

Maru, V. (2010) *Allies Unknown: Social Accountability and Legal Empowerment*
https://namati.org/wp-content/uploads/2012/01/Allies-Unknown_Social-Accountability-and-Legal-Empowerment_Namati.pdf
Abstract: *This essay suggests that two strands of social action which have hitherto developed separately—legal empowerment and social accountability—ought to learn from one another. Legal empowerment efforts grow out of the tradition of legal aid for the poor; they assist citizens in seeking remedies to breaches of rights. Social accountability interventions employ information and participation to demand fairer, more effective public services. The two approaches share a focus on the interface between communities and local institutions. The legal empowerment approach includes, in addition, the pursuit of redress from the wider network of state authority. The essay suggests that social accountability interventions should couple local community pressure with legal empowerment strategies for seeking remedies from the broader institutional landscape. Legal empowerment programs, for their part, often under-emphasize injustices related to essential public services such as health and education, perhaps in part because they tend to wait for communities and individuals to raise problems. Instead, legal empowerment programs should learn from social accountability practitioners' use of aggregate data as a catalyst for community action. Legal empowerment organizations would also benefit from adopting the attention to empirical impact evaluation that has characterized experimentation in social accountability.*

Grievance Redress

Gauri, V. (2011) *Redressing Grievances and Complaints Regarding Basic Service Delivery*
http://elibrary.worldbank.org/doi/pdf/10.1596/1813-9450-5699

Abstract: Redress procedures are important for basic fairness. In addition, they can help address principal-agent problems in the implementation of social policies and provide information to policy makers regarding policy design. To function effectively, a system of redress requires a well-designed and inter-linked supply of redress procedures as well as, especially if rights consciousness is not well-developed in a society, a set of organizations that stimulate and aggregate demand for redress. On the supply side, this paper identifies three kinds of redress procedures: administrative venues within government agencies, independent institutions outside government departments, and courts. On the demand side, the key institutions are nongovernmental organizations/civil society organizations and the news media, both of which require a receptive political and economic climate to function effectively. Overall, procedures for redressing grievances and complaints regarding basic service delivery are under-developed in many countries, and deserve further analysis, piloting, and support.

Citizen Action and Power

Arnstein, S. (1969) A Ladder of Participation
http://www.tandfonline.com/doi/abs/10.1080/01944366908977225

Abstract: The heated controversy over "citizen participation," "citizen control", and "maximum feasible involvement of the poor," has been waged largely in terms of exacerbated rhetoric and misleading euphemisms. To encourage a more enlightened dialogue, a typology of citizen participation is offered using examples from three federal social programs: urban renewal, anti-poverty, and Model Cities. The typology, which is designed to be provocative, is arranged in a ladder pattern with each rung corresponding to the extent of citizens' power in determining the plan and/or program.

International Association for Public Participation (IAP[2])
http://www.iap2.org/

IAP2's Spectrum of Public Participation was designed to assist with the selection of the level of participation that defines the public's role in any public participation process. The Spectrum shows that differing levels of participation are legitimate and depend on the goals, time frames, resources, and levels of concern in the decision to be made. The IAP2 Spectrum of Participation is a resource that is used on an international level and can be found in many public participation plans.

Beyerle, S. (2015) *Freedom From Corruption: A Curriculum for People Power Movements, Campaigns, and Civic Initiatives*—cross-listed in Pre-workshop readings section.
http://www.curtailingcorruption.org/sites/default/files/Freedom-From-Corruption-Final-Edits-Aug-19-2015.pdf

Abstract: This free, self-study curriculum is designed for civil society organizations, informal civic groups and activists. It provides a theoretical, practical and skills-based framework for citizen empowerment, strategies and action. It's designed for those who want to learn how to engage and mobilize citizens, and strategize and plan civic initiatives. It's user-friendly, and includes discussion questions, group exercises, analytical tools, and planning worksheets.

Beyerle, S. (2014) *Curtailing Corruption: People Power for Accountability and Justice*
Note: This book has chapters and case studies that cross-cut most thematic areas. For links to specific chapters see references to and links for "Curtailing Corruption ChapteNoters" below.
To order entire book, visit www.curtailingcorruption.org

Book abstract: How do citizens counter corruption and exact accountability from power holders? What strategic value does people power bring to the anticorruption struggle? Can bottom-up, citizen-based strategies complement and reinforce top-down anticorruption efforts? The book addresses these questions through extensive research with civic leaders and organizers directly involved in these

civic initiatives. It documents and analyzes the critical role of grassroots efforts in the anticorruption/accountability equation, distills common attributes, practical lessons, and general takeaways for INGOs, CSOs and on-the ground civic organizers, presents a bottom-up power analysis of social change, and unpacks social accountability in terms of underlying assumption, power relations, and drivers of change.

Curtailing Corruption Chapter 2: Approaches to Curbing Corruption
https://dev-icnc.pantheonsite.io/wp-content/uploads/2016/04/Beyerle_ch2.pdf

Curtailing Corruption Chapter 4: Digital resistance for Clean Politicians – Brazil
https://dev-icnc.pantheonsite.io/wp-content/uploads/2016/04/Beyerle_ch4.pdf

Institute for Development Studies *Powercube: Understanding power for social change*
http://www.ids.ac.uk/project/powercube-understanding-power-for-social-change
http://www.powercube.net/
The resource website www.powercube.net brings together a number of resources for understanding power relations in efforts to bring about social change. This is collective effort, representing contributions from members at the Institute of Development Studies as well as a number of others from NGOs, donor agencies and community-based organisations across the world. Many of these contributors participated in a workshop at IDS on 'Power analysis in practice' in June 2009. Much - but not all - of the website focuses on uses and applications of the powercube. The powercube is an innovative conceptual tool that can be used for understanding and analysing the way power works in processes of governance, in organizations, and in social relationships. It combines a multi-faceted approach to the various dimensions of power with a spatial mapping of the diverse spaces and levels in which these power relations are encountered. Use of the powercube can help those working to deepen participation and to shift power relations to identify appropriate strategies for particular contexts and moments.

Vertical Integration/State Engagement

Fox, J., Aceron, J., Guillan, A. (2016) *Doing accountability differently. A proposal for the vertical integration of civil society monitoring and advocacy*
http://www.u4.no/publications/doing-accountability-differently-a-proposal-for-the-vertical-integration-of-civil-society-monitoring-and-advocacy/
Abstract: Civil society accountability initiatives that take into account power structures at multiple levels can produce more lasting institutional change, compared to locally-bounded initiatives that address the symptoms rather than the underlying causes of accountability failures. Vertically integrated civil society policy monitoring and advocacy initiatives involve inter-relationships between local, subnational, national and international actors. The research combines two complementary perspectives: a scholar's overview of this strategic approach, including five propositions on vertical integration, in dialogue with a practitioner's in-depth analysis of Textbook Count in the Philippines, a civil society coalition which, in partnership with government reformers, provided independent monitoring of an entire supply chain in the education sector. The analysis addresses the implications of vertical integration for civil society coalition dynamics, and the distinction between independent policy monitoring and advocacy. The conclusions suggest that better donor coordination of civil society support can create opportunities for more integrated initiatives, taking advantage of critical entry points provided by sector-specific approaches. Facilitating dialogue between different actors and supporting longer implementation strategies can also advance integrated monitoring and advocacy.

Curtailing Corruption Chapter 8: Community Monitoring for Postwar Transformation – Afghanistan
https://dev-icnc.pantheonsite.io/wp-content/uploads/2016/04/Beyerle_ch8.pdf

Curtailing Corruption Chapter 5: Citizens Protect an Anticorruption Commission – Indonesia

https://dev-icnc.pantheonsite.io/wp-content/uploads/2016/04/Beyerle_ch5.pdf

Relations with External Donors

Stephan, M., Lakhani, S. and Naviwala, N. (2015) *Aid to Civil Society: A Movement Mindset*

https://www.usip.org/publications/2015/02/aid-civil-society-movement-mindset

Abstract: Supporting local agents of nonviolent change is critical to preventing violent conflict and advancing democratic development. Civic campaigns are key drivers of social and political development, as is clear from issues-focused movements in Central and Eastern Europe, Latin America, and most recently the Middle East and North Africa. Effectively aiding civic movements that are fluid, diverse, decentralized, and often loosely organized is tricky. Drawn from a review of the literature and numerous interviews with international policymakers and civil society leaders, this report explores both the ways donors engage civil society and creative new approaches to supporting nontraditional actors.

Curtailing Corruption Chapter 12

https://dev-icnc.pantheonsite.io/wp-content/uploads/2016/04/Beyerle_ch12.pdf

Citizen Engagement with Government Audit Agencies

Effective Institutions Platform (2014) Supreme Audit Institutions and Stakeholder Engagement Practices: A Stocktaking Report

https://www.effectiveinstitutions.org/media/Stocktake_Report_on_Supreme_Audit_Institutions_and_Citizen_Engagement_.pdf

From Executive Summary: Supreme Audit Institutions (SAIs) are independent oversight institutions which are critical components of national accountability systems. SAIs have increasingly recognized the importance of demonstrating relevance to citizens and other stakeholders by being responsive to changing environments and emerging risks, communicating effectively with stakeholders, and being a credible source of independent and objective insight and guidance to support beneficial change in government and public entities. Engagement with citizens and other external stakeholders can strengthen SAIs' capacities and effectiveness in holding governments to account for the use of scarce public resources and for performance on stated objectives.
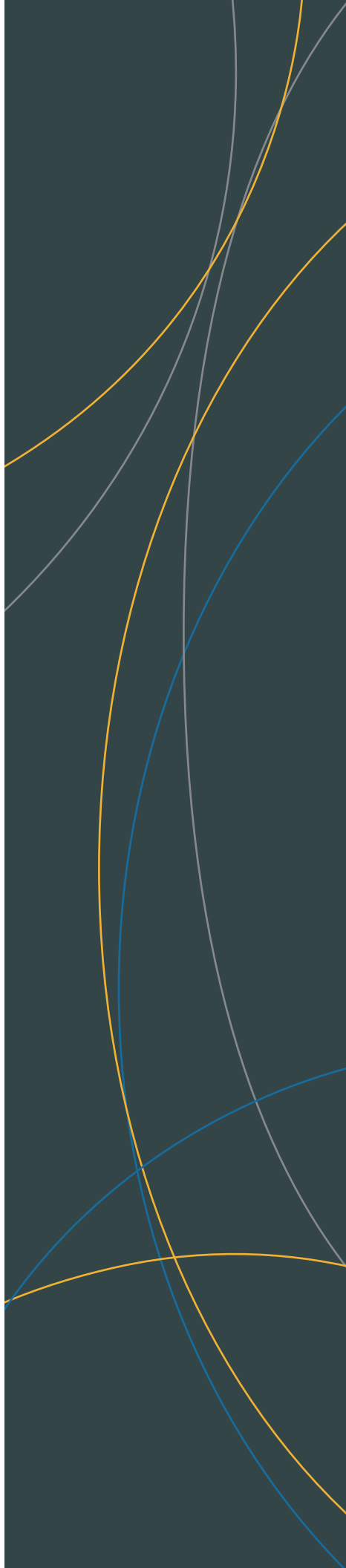
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