



Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) and Asian Development Bank  
in collaboration with the U4 Anti-Corruption Resource Center  
and in partnership with the Office of the Ombudsman

## Evaluating and Monitoring Anti-Corruption Reforms and Programs

### Training Workshop

March 21 - 23, 2016 | 13:30 pm | Asian Development Bank | Auditorium B  
6 ADB Avenue, Mandaluyong City, Metro Manila

#### Background

Transparency, accountability and integrity are key determining factors for sustainable development. At the international level, 140 countries have signed the United Nations Convention on Anti-Corruption (UNCAC), and there are numerous initiatives from all parts of society to fight corruption.

Corruption is one of the main obstacles to sustainable development. Corruption and a lack of transparency in public revenues and spending undermine poverty alleviation efforts and democratic participation. Public resources are squandered instead of being used to promote sustainable development for all. The World Bank has estimated that bribery alone is costing the world 1 trillion US dollars every year.

Corruption creates legal uncertainty. By inflating costs, it holds back the development of the private sector, distorts competition, and deters investors. Corruption weakens political institutions and ultimately calls into question the legitimacy of the state. Disadvantaged sections of the population, particularly women and children, are worst hit. It makes it much harder and more expensive for them to access much needed public services such as basic education and health care. Corruption can be fuelled by inadequate control mechanisms and a lack of transparency and accountability.

Country-specific factors also play a part. It is often a country's rich reserves of natural resources such as oil, gas, minerals or timber that spawn large-scale corruption and non-transparency. In areas like infrastructure or the health sector, corruption can also stand in the way of development. Transparency International (TI) has found, for example, that

corruption seriously compromises an individual's right to health. In the end, corruption and non-transparency weaken progress towards sustainable development.

This is why the Agenda 2030 on Sustainable Development, adopted by the United Nations General Assembly on 25 September 2015<sup>1</sup>, mentions corruption as one major obstacle to development. Sustainable Development Goal 16 'Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels' addresses the fight against corruption under Target 16.5 'Substantially reduce corruption and bribery in all their forms'.

Prevention of corruption in development cooperation is a major concern for all actors involved such as development partners, government agencies, private sector and civil society. The German Federal Ministry for Economic Cooperation and Development (BMZ) has elaborated a strategy on how to support partners in addressing corruption and integrity issues. Germany is helping development-oriented partner governments to rid government institutions of corruption and make public administration transparent, effective and responsive to the public's needs. In 1998, the Asian Development Bank (ADB) adopted an anticorruption policy postulating zero tolerance towards corruption and fraudulent and collusive practices in ADB operations.<sup>2</sup> ADB works to ensure that project implementation is not derailed by corrupt contractors/consultants and other, including government officials, and that outputs and funds go to the intended beneficiaries. ADB also conducts governance risks assessments at project, sector and country levels and mitigates corruption in cooperation with the government and other development partners.

Other development partners have developed similar approaches on how to support governments and civil society actors to address governance issues in order to achieve results of development efforts and make efficient use of national and international funding towards sustainable development.

The Philippines have signed the United Nations Convention against Corruption (UNCAC) in 2003 and became a State Party to the UNCAC after its ratification in 2006. A participatory country assessment in 2011-2012 with participation of civil society organizations resulted in the formulation of the 21 item action plan for UNCAC implementation with a strong participation of the civil society.

The Aquino Administration has made the fight against corruption one of its major thrusts. Since 2011 the government has gone after major corruption cases and created more trust in the functioning of the State. These efforts resulted in higher tax collection, increasing investment and a stable economic growth in the range of 6-7% over the last years. These results correspond with the country's ranking in Transparency International's Corruption Perceptions Index (CPI) that moved up from 94th in 2013 to 85th in 2014. However, in the CPI 2015, the Philippines slipped again to rank 95, lower than before. Corruption within the public sector remains a challenging issue within the Philippines. Following the Investment Climate Statement 2015, published by the US Department of State, corruption exists in all levels of the government, especially among high-level civil servants. Petty corruption and

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<sup>1</sup> United Nations 2015: Resolution adopted by the General Assembly on 25 September 2015, A/RES/70/1

<sup>2</sup> ADB. 1998. *Anticorruption Policy*. Manila

facilitation payments are still prevalent as a daily feature perceived even normal by citizens. Specific enforcement-related problems include insufficiently transparent and unaccountable prosecution of crimes related to corruption and bribery, lacking capacity and collaboration of enforcement agencies, and a lack of public awareness on how and where to report cases if corruption as well as a lack of trust in governmental institutions. Notwithstanding several corruption charges have been filed against high-level public officials, none of them has been convicted until today.

In July 2014 the government's efforts to fight corruption came under major questioning, when the Philippine Supreme Court ruled that President Aquino's Disbursement Acceleration Program (DAP) - designed to speed up slow and inefficient government spending - was unconstitutional. Currently, the Freedom of Information (FOI) Bill, which would guarantee public disclosure of many official documents, is still pending and increased efforts are necessary to ensure its passing. The next presidential election will take place in May 2016 and anti-corruption policies will definitely play a role in the election campaigns of the competitors. A stock-taking on the successes and remaining challenges of anti-corruption efforts so far would widely benefit the decision-making for future action.

In this light, GIZ and the ADB in collaboration with the U4 Anti-Corruption Resource Center and in partnership with the Government of the Philippines' Office of the Ombudsman, is organizing a training workshop on 'Evaluating and monitoring anti-corruption reforms and programmes' to discuss how action against corruption and non-transparency can be most effectively maintained to ensure transparent, efficient and accountable governance towards sustainable development.

## **Participants**

The workshop participants will include stakeholders from government and development partners, private sector and civil society who have an interest in efforts towards good governance and anti-corruption that assist the Philippines and other countries in the Asia and Pacific region in achieving objectives of anticorruption reforms and good governance ensuring accountability and wise use of resources towards inclusive economic development, ecological integrity and social benefits.

Day 1: Corruption and reform efforts in the Philippines		
TIME	SESSION AND OBJECTIVES	SPEAKERS
13:30	<b>Registration</b>	
14:00	<b>Welcome</b>	<ul style="list-style-type: none"> <li>• Claudia Buentjen, Principal Public Management Specialist, ADB</li> <li>• Bernd-Markus Liss, GIZ Philippines Director Climate Program, Focal Point Anticorruption</li> <li>• Nigel Boud, Deputy Head of Mission, British Embassy</li> </ul>
14:15	<b>Session 1: Introduction</b> Introduction to U4 and corruption: <ul style="list-style-type: none"> <li>• Introduction to U4</li> <li>• Participant introductions and expectations</li> <li>• Overview of workshop structure and goals</li> <li>• What is corruption? Basics of corruption and group exercise</li> <li>• Q &amp; A</li> </ul>	<ul style="list-style-type: none"> <li>• Elizabeth Hart, Development Consultant and Trainer on Governance, Anti-Corruption and Democracy, U4 Anti-Corruption Resource Center, Chr. Michelsen University, Bergen, Norway</li> <li>• Fredrik Eriksson, U4 Anti-Corruption Advisor</li> </ul>
15:00	COFFEE BREAK	
15:15	<b>Session 2a: Current trends in corruption and anti-corruption reforms in the Philippines</b> <ul style="list-style-type: none"> <li>• Presentation on current state of corruption in the Philippines <b>(25 min)</b></li> <li>• Presentation on anti-corruption reform agenda in the Philippines <b>(25 min)</b></li> <li>• Q &amp; A <b>(25 min)</b></li> <li>• Individual Exercise: Participants are given questions to think about the progress of the national anti-corruption agenda reflecting on the previous presentations, and suggest priority actions points and share their thoughts with the plenary <b>(30 min)</b></li> </ul> <p><i>Learning objectives: Participants have a common understanding of the current state of corruption in the Philippines, and what has been/is being implemented in terms of anti-corruption reforms</i></p>	<ul style="list-style-type: none"> <li>• Leonina Mendoza Morillo, Economic Advisor, British Embassy Manila</li> <li>• Elizabeth Hart and Fredrik Eriksson, U4</li> </ul>
17:00	<b>Close of the day</b> <ul style="list-style-type: none"> <li>• Summary of Day 1</li> <li>• Overview of Day 2</li> </ul>	<ul style="list-style-type: none"> <li>• Elizabeth Hart and Fredrik Eriksson, U4</li> </ul>
17:30	Cocktail reception, hosted by ADB	
Day 2: Challenges to corruption reforms, opportunities, and evaluation and monitoring		
TIME	SESSION AND OBJECTIVES	SPEAKERS
9:00	<b>Overview of Day 2</b>	<ul style="list-style-type: none"> <li>• Elizabeth Hart and Fredrik Eriksson, U4</li> </ul>

9:10	<p><b>Session 3a: What have current reforms achieved, and where have they fallen short?</b></p> <ul style="list-style-type: none"> <li>• Presentation on achievements and shortcomings of anti-corruption reforms <b>(20 min)</b> – continuation from Session 2</li> <li>• Plenary discussion <b>(30 min)</b></li> </ul> <p><i>Learning objectives: Participants appreciate what has been achieved to date and where reform agenda has fallen short</i></p>	<ul style="list-style-type: none"> <li>• Henry Schumacher, Vice President, Integrity Initiative Inc.</li> </ul>
10:00	<p><b>Session 3b: Illicit Financial Flows</b></p> <ul style="list-style-type: none"> <li>• Presentation of a case how to monitor illicit financial flows to avoid corruption <b>(30 min)</b></li> <li>• Interaction with workshop participants on monitoring tools to avoid corruption</li> </ul> <p><i>Learning objectives: Participants appreciate monitoring approaches to avoid corruption</i></p>	<ul style="list-style-type: none"> <li>• John McDonald, Senior Officer , Financial Investigator, International Corruption Unit, Economic Crime Command, National Crime Agency, UK</li> </ul>
10:30	COFFEE BREAK	
11:00	<p><b>Session 4a: Opportunities and obstacles to anti-corruption reform and what this means in the Philippines context</b></p> <ul style="list-style-type: none"> <li>• Presentation of the applicability and limits of principle-agent and collective action theory, and understanding disincentives for anti-corruption reforms <b>(30 min)</b></li> <li>• Presentation on tools to assess potential for successful anti-corruption reforms, including stakeholder analysis and political economy analysis <b>(15 min)</b></li> <li>• Group work: Participants divide into groups to discuss how the theories/tools apply to the Philippine context and identify opportunities and obstacles <b>(45 min)</b></li> </ul>	<ul style="list-style-type: none"> <li>• Fredrik Eriksson, U4</li> </ul>
12:30	LUNCH	
13:30	<p><b>Session 4b: Opportunities and obstacles to anti-corruption reform and what this means in the Philippines context</b></p> <ul style="list-style-type: none"> <li>• Report back from working groups and plenary discussion <b>(45 min)</b></li> </ul> <p><i>Learning objectives: Participants have the necessary tools to assess the opportunities for and obstacles to anti-corruption reform in the Philippines</i></p>	<ul style="list-style-type: none"> <li>• Elizabeth Hart, U4</li> </ul>
14:15	<p><b>Session 5: Theories of Change for anti-corruption reform in the Philippines</b></p> <ul style="list-style-type: none"> <li>• Presentation on results chains and the Theory of Change method <b>(30 min)</b></li> <li>• Q &amp; A <b>(15 min)</b></li> </ul> <p><i>Learning objectives: Participants are able to use the Theory of Change methodology</i></p>	<ul style="list-style-type: none"> <li>• Fredrik Eriksson, U4</li> </ul>
15:00	COFFEE BREAK	
15:30	<p><b>Session 6: Monitoring and evaluation of anti-corruption</b></p> <ul style="list-style-type: none"> <li>• Presentation on monitoring and evaluation methods/feedback loops and the challenges for good evaluation and value for money</li> </ul>	<ul style="list-style-type: none"> <li>• Jose Antonio, GIZ Senior Advisor, Expert on M&amp;E</li> </ul>

	<ul style="list-style-type: none"> <li>consideration <b>(45 min)</b></li> <li>• Presentation on indicators for different levels of a results chain / theory of change <b>(30 min)</b></li> <li>• Q&amp;A <b>(15 min)</b></li> </ul> <p><i>Learning objectives: Participants are familiar with M&amp;E methods and learning/feedback loops, and understand use of indicators in results chains / theories of change</i></p>	
17:00	<b>Close of the day</b> <ul style="list-style-type: none"> <li>• Summary of Day 2</li> <li>• Overview of Day 3</li> </ul>	<ul style="list-style-type: none"> <li>• Elizabeth Hart and Fredrik Eriksson, U4</li> </ul>

<b>Day 3: A Theory of Change for anti-corruption reforms in the Philippines / Illicit financial flows</b>		
<b>TIME</b>	<b>SESSION AND OBJECTIVES</b>	<b>SPEAKERS</b>
9:00	<b>Overview of Day 3</b>	<ul style="list-style-type: none"> <li>• Elizabeth Hart and Fredrik Eriksson, U4</li> </ul>
9:10	<b>Session 7a: Developing a Theory of Change for anti-corruption reform in the Philippines</b> <ul style="list-style-type: none"> <li>• Presentation of the findings /conclusions of the previous two days &amp; guidance to participants on group work <b>(20 min)</b></li> <li>• Group Work: Participants develop a Theory of Change for the way forward of anti-corruption reform in the Philippines <b>(45 min)</b></li> </ul>	<ul style="list-style-type: none"> <li>• Elizabeth Hart and Fredrik Eriksson, U4</li> </ul>
10:15	COFFEE BREAK	
10:30	<b>Session 7b: Developing a Theory of Change for anti-corruption reform in the Philippines</b> <ul style="list-style-type: none"> <li>• Report back from working groups and plenary discussion <b>(60 min)</b></li> </ul>	<ul style="list-style-type: none"> <li>• Elizabeth Hart and Fredrik Eriksson, U4</li> </ul>
11:30	<b>Session 8: The way forward</b> <ul style="list-style-type: none"> <li>• Presentation on the way forward / the Governments perspective on what lies ahead</li> </ul>	<ul style="list-style-type: none"> <li>• Hon. Gerard A. Mosquera, Deputy Ombudsman for Luzon and Environment, Office of the Ombudsman, Philippines</li> </ul>
12:00	<b>Closing and certificates</b>	



### **Claudia Buentjen**

Principal Public Management Specialist  
Social Development, Governance and Gender Division, SDCC  
***Asian Development Bank***

Claudia Buentjen is a macroeconomist/international economist, and public sector reform specialist with 20 years of experience in project management, advisory services and research in more than 10 developing countries in the

Asia & Pacific region.

In her current position, Claudia provides technical leadership to the Governance Thematic Group. She develops and maintains thematic policies, strategies, operational plans, and directional papers to guide ADB-wide work in the areas of public sector management, governance and capacity development. Claudia also leads the Secretariat of the Asia-Pacific Community of Practice on Managing for Development Results. In both functions, Claudia contributes to the quality of country programs and operations by providing direct operational support, sharing latest knowledge, and supporting learning, innovation, and partnerships.

In previous positions Claudia led the Philippine country team and was responsible for the preparation and implementation of the Country Partnership Strategy, 2011–2016. She also supported a range of government reforms in intergovernmental fiscal relations, land management, results-based budgeting, taxation, social accountability, and disaster response. Claudia holds a Ph.D. in international economics and a Diploma in business administration and economics.



### **Bernd-Markus Liss**

Director Climate Program and Focal Point Anticorruption  
***Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)***  
***Philippines***

Bernd-Markus Liss is the Green Sector Coordinator of GIZ Philippines, Director and Principal Advisor for the Climate Program, funded under the International Climate Initiative of the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB). He also acts as the Focal Point on Anticorruption and leads the Anticorruption

Working Group of GIZ Philippines.

Before joining GIZ as a program manager in 2010, Bernd-Markus Liss was engaged in university research and in the consulting sector. As co-founder and executive of AGEG International Consultants eG, he worked for more than 20 years as Executive and Senior Consultant with a focus on forest and climate policy. In this function he acted as Advisor to German federal and state ministries and government agencies, for GIZ and KfW, and for governments in developing countries and countries in transition. He led AGEG to become a CO<sub>2</sub> neutral company and member of Transparency International.

His assignments in international cooperation included work with bilateral donors, FAO, UNDP, and World Bank, with more than 25 years of experience in projects from field level implementation to the international policy dialogue under the UN System. He holds an MSc and a PhD in Forest Sciences from Munich University, where he was engaged as a lecturer on sustainable resources management

until 2009. Since 1994, his regional focus of work is Southeast-Asia with assignments in the Philippines since 2004.



**Nigel Boud**  
Deputy Head of Mission  
***British Embassy Manila***

Mr. Boud holds currently the position as Deputy Head of Mission of the British Embassy in Manila. Previously, he was the Political and Economic counselor for the British High Commission in Malaysia between 2011 and 2015. As former head of Burma and Mekong Team for the Foreign and Commonwealth Office and head of policy team covering Burma, Thailand, Vietnam, Cambodia and Lao PDR, he has been working in the region since 2008.

Between 2003 and 2007, he held the position as Second Secretary Political and High Commission Spokesman in the British High Commission Nicosia, where he was the lead on the UN settlement process, the EU accession and EU/Turkey and UK Sovereign Base Areas. Before this, he worked as desk officer with the EU Department, Foreign & Commonwealth Office until 2002.



**Elizabeth Hart, Ph.D.**  
Researcher and Consultant in Anti-Corruption and Development  
***U4 Anti-Corruption Resource Center, CMI, Bergen/Norway***

Elizabeth Hart is an international development researcher, policy analyst, and practitioner with more than 20 years of experience in the field of governance, anti-corruption and democratic development. She currently has an active consulting and research practice based in Seattle, Washington, USA.

Until January 2013, Dr. Hart was Director of the U4 Anti-Corruption Resource Centre in Bergen, Norway. Previously, she had a 14-year career with the US Agency for International Development, working on good governance, anti-corruption, civil society, and democratic development. She served for four years as USAID's democracy and governance advisor in Nigeria immediately after the transition back to civilian rule in 1999 and for six years as USAID's lead anti-corruption advisor in Washington. She has worked and traveled extensively throughout Africa, Asia and Europe.

Dr. Hart holds a Bachelor's degree from Whitman College and an M.A. and Ph.D. in Politics from Princeton University.

**Fredrik Eriksson, LL.M.**  
Senior Advisor  
***U4 Anti-Corruption Resource Center, CMI, Bergen/ Norway***



Mr Eriksson is a lawyer with extensive experience from private sector research, policy analysis, evaluations, strategy development, and other consultancy work. Most of his work has related to anti-corruption and governance, while working in the public, private and voluntary sectors. He has worked for a wide range of different national and international institutions, including development agencies, NGOs, INGOs, IGOs, think tanks, private



companies, research institutions and governments.

Currently, Mr Eriksson is the strategic advisor on two anti-corruption projects in Ghana and Uganda, for DFID. He is lead advisor for the development of anti-corruption training courses for the European Neighbourhood Project, College of Europe. He is a Local Research Correspondent on Corruption for the European Commission, contributing to the bi-annual Anti-Corruption Report since 2012. He is a Senior Research Fellow at Hertie School of Governance, Berlin, Germany.

Mr Eriksson holds a LL.M. in international law from Lund University, Sweden.



**Leonina Mendoza Morillo**

Economic Advisor

***British Embassy Manila***

Leonina (Inna) Morillo is currently Economic Advisor to the British Embassy Manila and part of the Foreign Commonwealth Office ASEAN Regional Economic network. Prior to this, she was Technical Consultant at the National Economic and Development Authority (NEDA) and Public Private Partnership Centre (PPPC).

She obtained her Master's degree in Economics at the University of the Philippines School of Economics where she also graduated, magna cum laude, with a Bachelor in Science Economics in 2010. She had also taught tertiary level Economics in the same University.



**Henry Schumacher**

Vice President and General Manager

***European Chamber of Commerce of the Philippines (ECCP)***

Mr. Henry Schumacher was elected President of the European Chamber of Commerce of the Philippines (ECCP) while he was still the Chief Executive Officer of Hoechst Group of Companies, Philippines. Later on, he joined ECCP on a full time basis as Executive Vice President (EVP).

As EVP, he remains actively involved in government policy formulation with respect to European business as well as in the forefront of strengthening Philippine - European business relations. Likewise, he is actively involved in coordinating EU-funded activities in Asia.

Concurrently, he also serves as President of the European Innovation, Technology and Science Center (EITSC) Foundation, and as Vice President and Treasurer of the Integrity Initiative Inc., Philippines. His analyses and opinions on business and politics can be read in several news dailies in the country.



**John McDonald**

Senior Officer and Financial Investigator, International Corruption Unit,  
Economic Crime Command

***National Crime Agency, UK***

John McDonald is currently seconded to the newly formed International Corruption Unit (ICU) at the UK National Crime Agency based in London, and has been a Police Officer for 28 years. He is a Detective Sergeant deployed at New Scotland Yard.

John was a founder member in 2006 of the MPS Proceeds of Crime Unit, the unit focused on grand corruption investigations where there was an identified nexus to the UK. He was the lead officer in a number of successful prosecutions which convicted several foreign politicians and their enablers. He has been a financial investigator since 1999 and worked previously on Scotland Yard's Money Laundering Team during the transition to the Proceeds of Crime Act 2002. He is qualified to conduct worldwide pre charge restraint investigations and post conviction confiscation, working closely alongside UK Prosecutors. John has travelled to a number of countries to gather evidence through Mutual legal Assistance. These include the USA, Caribbean, Europe and Africa (Nigeria, Zambia, Ghana and The Gambia) working alongside the FBI and US Homeland Security and was also engaged in the initial investigation in Kyiv, Ukraine after the Maidan revolution. John delivers presentations on behalf of the ICU both in the UK and overseas.

He is currently engaged with a UK proposal to create an International Anti-Corruption Co-ordination Centre.



**Jose Antonio**

GIZ Senior Advisor, Expert on M&E

***Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)  
Philippines***

With over 15 years working experiences with bilateral and multi-lateral development partners, and 4 years specifically managing institutional technical capacity development and inter project learning programs, Jose "Shaleh" Antonio is an M&E expert within the GIZ Philippines climate programs.

He started working with GIZ from 2008 onwards, where he was involved in e.g. developing and establishing systems and procedures and corresponding results-based monitoring (RBM) tools for measuring the results of the Environment and Rural Development program. Prior to this, Mr. Antonio was a Policy Expert and Program Officer at the UNDP, monitoring Netherlands-Philippines bilateral development cooperation program in Manila, and held the post as Project Officer at the Royal Netherlands Embassy in Manila from 1997 to 2005. Between 1994 and 1996, he worked for the Office of the President of the Philippines, where he identified, evaluated and supervised project implementation of socio-economic programs and projects of rebel returnees, demobilized combatants (Peace Zones) in support of the peace process and confidence building policies of the Philippine Government. Currently, Mr. Antonio is a Senior Advisor at the GIZ National REDD Plus System Philippines program.

He holds a Master in Development Management and a Bachelor of Science in Forestry from the University of the Philippines Los Baños.



**Gerard A. Mosquera**

Deputy Ombudsman for Luzon and Environment  
***Office of the Ombudsman, Philippines***

A native of General Santos City, Deputy Ombudsman Gerard A. Mosquera has dedicated the last fifteen years of his professional life to fighting corruption as a law practitioner and international advisor. He holds two Masters degrees in law from Kings College London and in Public Administration from Harvard University. His focal areas are e.g. anti-corruption investigation, criminal and civil litigation, stolen assets recovery and non-conviction based forfeiture, and legal reform.

Gerard A. Mosquera served as Commissioner and Head of the Litigation Department of the Presidential Commission on Good Governance between 2010 and 2012. During his tenure, the government secured several key legal victories related to corruption at the corporate and government level (notably with regards to the Marcos period). Also, he was an UN Adviser for Anti-Corruption and Chief of Party of an USAID-funded anti-corruption project in Timor-Leste from 2004 to 2010.

Currently, Gerard A. Mosquera also serves as the country's Environment Ombudsman with a mandate to investigate and prosecute corruption in the environmental protection sector. In this capacity, he is leading a special Ombudsman project to investigate and prosecute over 600 local government officials of 50 local government units in Luzon, the Visayas and Mindanao for maintaining open dump sites in violation of the National Ecological Solid Waste Management Law.