

SEVENTH FRAMEWORK PROGRAMME

THEME SSH-2007.5.1.1

Theme Title: Area 8.5.1 Participation and Citizenship in Europe



Project acronym:

ALACs

Project full title:

Promotion of Participation and Citizenship in Europe through the “Advocacy and Legal Advice Centres (ALACs)” of Transparency International. Analysis and Enhancement of an Anti-corruption Tool to Enable Better Informed and Effective Citizen Participation in Europe

Project Structure: “ALACs”

Present Condition	Goals (Target Condition)	Measures
Evaluation of the structure and mechanisms of existing ALACs on two levels: (1) analysis of ALACs’ databases (i.e. analysis of citizen participation in the fight against corruption), and (2) interviews with members of ALACs’ staff and users (i.e. assessment of how the ALACs concept has been put into effect) on the basis of a qualitative computer-based content analysis.	<ol style="list-style-type: none">1. Optimise corruption prevention mechanisms of ALACs and increase methodology of citizen participation through the improvement of ALAC structure by designing measures effective in the face of specific cultural peculiarities in the countries involved.2. Implementation of improved structures and mechanisms by both already existing and new ALACs (to be established in four EU member states).3. Anti-corruption policy formulation and respective initiatives on national and EU level.	<ol style="list-style-type: none">1. Evaluation: Strength-weakness analysis of existing ALACs’ structures and mechanisms on the basis of sociological analysis of present conditions.2. Implementation:<ol style="list-style-type: none">2.1 Presentation of research results and training activities for ALAC staff.2.2 Co-operative development of an improved model of anti-corruption and citizen participation in EU and non-EU countries.2.3 Cross-fertilisation meetings between researchers and practitioners.3. Advocacy.

1. Development of partnership between CSO participants and RTD performers throughout the project

The research on citizen participation planned and conducted by the RTD performers group co-ordinated by Konstanz University will also improve the efficiency of the anti-corruption citizen engagement strategy of Transparency International (TI), the leading global civil society practitioner in the fight against corruption. To this end, all aspects of the planned

project – such as project management, management of knowledge and IPR agreement, dissemination/exploitation and use of research results – have been conceived in a way to ensure strong liaison between RTD performers and CSO for the duration of the project as a precondition of successful research and results-implementation.

During the first project phase, RTD performers will work together with the staff of the four existing ALACs to analyse their methodology and develop recommendations. Four TI National Chapters where new ALACs are planned will be invited to observe and participate in the quarterly project progress meetings (via telephone conference calls) to ensure that they are participating stakeholders from the beginning of the project. Research on factors affecting the exercise of citizenship will be undertaken in all eight countries. TIS will further contribute knowledge gained from operations of ALACs around the world and facilitate information flow.

In the second phase of the project, action research will be used to apply the recommendations to four new ALACs in EU member states; the research group will be of continued assistance throughout this process.

Lastly, RTD performers and TI practitioners will organise annual cross-cutting fertilisation meetings in order to 1) transfer information gleaned through scientific assessment, and 2. organise training activities on the advanced ALAC methodology during the set-up of the new centres and their initial periods of operation.

Structure of work plan of “ALACs” project

Activity	Phase 1	Phase 2	Phase 3
1. Research on factors affecting citizen participation concepts in eight countries; research on practices and perceptions on the basis of existing ALAC mechanisms in four countries and creation of conditional framework of analysis on European citizen participation in the context of combating corruption.			
2. Situation analysis of four ALACs in operation; development of monitoring and quality assessment framework.			
3. Evaluation and recommendations to improve the methodology of ALAC citizen participation tool; joint validation by researchers and practitioners.			
4. Implementation, monitoring and assessment of improved ALAC methodology in four new ALACs in EU member states.			
5. Improvement of policy formulation and implementation at national and EU level through evidence-based recommendations from TIS and TI National Chapters.			
6. Organisation of cross-fertilisation research meetings between researchers (Konstanz University research team) and practitioners (Transparency International); dissemination of knowledge.			

1.1 Analysis of ALACs citizens’ participation mechanism, months 1-16

1. Project kick-off meeting

At the beginning of the project, a three-day **kick-off meeting** at TIS in Berlin will take place, attended by all project partners. During this meeting, the fundamental aspects of the implementation of research work for the full duration of the project will be discussed. Additionally, the co-ordination of the initial research phase will be planned in detail based on

an initial discussion and analysis of the existing structure of the ALACs participation mechanism, including direct citizen engagement (case work) and representative citizen participation (institutional advocacy).

2. Research on citizenship and framework of analysis

The first step will be to assess the concept of citizen participation underlying the ALACs mechanism and practices in Europe and in conjunction with European law. This assessment will be made by Dr. Ralf Rogowski, Associate Professor, Reader in Law and Co-Director of the Social Theory Centre of Warwick University in the United Kingdom, who will also assist in all questions and comparative analyses of European Law for the duration of the project. If ALACs are understood as mediating institutions between the citizen and the institutions of governance, then important conditioning factors influencing the optimal design of a particular ALAC arise from the specific national sociology of citizenship (encompassing historical, political and cultural factors) on the one hand, and the actual functioning of governing institutions responsible for preventing and sanctioning corrupt behaviour on the other. These conditioning factors will be identified in a framework of analysis of factors enabling or impinging on the exercise of citizenship in the context of combating corruption. Research in all eight project operational locations will also help identify the relative significance of the various conditioning factors in the respective countries (see an example on gender dimension in research in chapter B.5 Consideration of gender aspects

3. Existing ALACs situation analysis

The four national chapters where an ALAC is in operation (Azerbaijan, Bosnia-Herzegovina, Czech Republic and Romania) will draw up an **ALAC situation analysis report** of the current ALACs mechanism, which will be gradually available to the research team during the first phase of the project. The report will describe the chapters' respective experience of operating an ALAC, focusing especially on:

- a) the capacity of the ALAC, including (i) quality of technical and personnel infrastructure; (ii) material and financial resources and constraints; (iii) efficiency of operation; (iv) effectiveness of information management and database; (v) political, policy and legal constraints responsible for underutilization of existing capacity.
- b) the quantity and quality of direct citizen engagement: information, legal advice, referrals, extra-legal support and level of client satisfaction.
- c) the quality and quantity of representative citizen work, including (i) number of MOUs with relevant institutions; (ii) number of well-functioning institutional interfaces; (iii) quality of advocacy strategy; (iv) advocacy outputs; (v) evidence of advocacy impact.
- d) the level of synergy and knowledge-sharing with the TI network and TIS as well as potential training needs.

On the basis of these reports and other information from the operations of ALACs globally, TIS will draw up an **overall ALAC situation analysis report** aiming to tie together all information submitted by the National Chapters in a single and coherent document detailing the current state of existing ALACs. This report will provide the basis of a monitoring and quality assurance framework for ALACs. It will be used as background material for the evaluation of ALACs mechanisms that will be made by the RTD performers.

4. Evaluation and recommendations

Using research findings on citizenship, the analytical framework on exercise of citizenship in the context of corruption and the situation analyses on current ALAC operations as inputs, the research team will evaluate the current methodology in four existing ALACs, two operating in EU member states (e.g. Czech Republic, NCCR and Romania, NCRO), one operating in a

potential EU candidate country (e.g. Bosnia and Herzegovina, TI BIH) and one operating in a country participating in the European Neighbourhood Policy (ENP) of the European Commission (e.g. Azerbaijan, NCAZ). The team will then develop recommendations for how to further advance the methodology of the ALAC citizen participation mechanism in order to strengthen that mechanism and the impact it makes (please see details about research activities below).

Based on *empirical data* and *interviews* with ALAC users and staff, the research group will compare the ALAC citizen participation mechanisms in the countries designated above and draw up an overall report including research results and concrete recommendations for improvement of structure and efficiency of ALAC mechanisms according to the objectives of the respective work packages (for work package description, see WP 1 below). Konstanz University RTD performers will determine the type of database indicators and data that are effective for learning about corruption from the *bottom up*, helpful in generating national and EU policy recommendations and necessary for ALAC project management and performance quality control. Building upon the insight gained through such determination, all interviews will be subjected to a computerised qualitative content analysis (by applying the content analysis software *Atlas-ti*) according to the *grounded theory* methodology. In other words, the research group will use computer software to analyse data samples by conducting qualitative, content-analytical reconstruction of those samples' meanings. Methodologically, the evaluation conducted during this project period will begin with an analysis of the ALAC in Bosnia and Herzegovina. The results from this first-case analysis will serve as the empirical basis for the formulation of a hypothesis for the analysis of the ALAC in Romania. The comparison of these two cases will then be the basis for the approach used to study the ALAC in the Czech Republic and, finally, in Azerbaijan. This cumulative procedure widens the scope of analysis of each individual ALAC by making use of the researchers' experiences in the field to construct hypotheses and interpretation-schemes. In the end, the case studies of all four ALACs will be examined on the basis of the whole sample, and recommendations for improvement of their structure and effectiveness will be stressed.

For description of the **training activities** during this phase of the project (Extraordinary training in month 14 and ALAC start-up training in month 17) please see detailed description below: **3. Training activities.**

5. Deliverables

Deliverable 1: *Exercise of citizenship and framework of analysis in the EU anti-corruption context, by the EU-Law Consultant* will be submitted to the Commission in month 6.

Deliverable 2: *Situation documentary and individual country report on implementation of current ALAC mechanism in CZ, RO, BH and AZ (it contains in chapters the reports of partners NCCR, NCRO, TI BIH and NCAZ),* will be submitted in month 12 **Deliverable 3:** *State of the art and overall situation documentary report on ALAC implementation in CZ, RO, BIH and AZ,* will be submitted in month 15. **Deliverable 4:** *Evaluation of structure and effectiveness of ALACs mechanism in operation in CZ, RO, BIH and AZ and recommendations for its improvement,* by the RTD performers will be submitted in month 16.

1.2 Advance the ALAC methodology in four new ALACs, months 17-29

This second phase of the Project foresees action research, which will help put into practice the analyses and recommendations produced during the study of the first four ALACs. Overall, this second phase of the Project is meant to promote the implementation, monitoring and evaluation of improved ALAC methodology in four new ALACs in EU member states Finland (NCFN), Hungary (NCHU), Ireland (NCIR) and Lithuania (TILS).

1. Start-up

TIS will support a smooth start-up of the new ALACs based on the existing body of knowledge of ALAC operations and start-ups. Existing workshop materials will be adapted and updated based on Phase I Recommendations, and TIS will also seek to facilitate cross-trainings between existing and new ALACs, offering communications, outreach and fundraising support.

In further support of the new methodology, TIS, with input from the research team, will use research outputs of Phase 1 of the Project to develop a more advanced ALAC **database** that can generate detailed case¹, institutional response and ALAC performance monitoring data and thereby enable better impact assessment. The “new” database will build on the existing ALAC2007 TI database. TIS will utilize a sub-contractor (ASCERTA) for the technical upgrade, modifications and ensuing technical support and training for the ALACs. Once successfully piloted in the Project, use of the enhanced ALAC database will be offered to all TI ALACs in Europe as a means to strengthen future TI policy and advocacy work on behalf of citizens at both the national and the EU level.

During the initial phase of the establishment of the new ALACs, the National Chapters will launch an outreach campaign to engage citizens and to advertise the new centres in print and electronic media in the four countries involved. In these efforts, the National Chapters can count on some communications support from TIS, which will also facilitate the sharing of knowledge and experience from other ALACs. Phase 1 research findings on the factors affecting citizen engagement in the respective countries will also enhance the design and effectiveness of this critical outreach phase of ALAC set-up.

2. Implementation of the new ALAC methodology

The implementation of the recommendations is meant to further enhance the ALAC citizen participation mechanism, keeping it fresh and state-of-the-art and to promote the creation of a new and innovative citizen participation tool. Recommendations for the new ALACs will include address topics such as new methods of citizen outreach, more sophisticated interaction between ALACs and media/public institutions, more advanced legal advice to individuals and systemic advocacy on behalf of the citizens in specific policy areas, such as justice.

The four national chapters that execute the new ALAC model will draw up a **New ALAC implementation report** towards the end of the second project phase. The report will include an overall view of the establishment of the new ALAC model according to ALAC monitoring and the quality framework of TIS, as well as the recommendations for enhanced ALAC methodology stressed by the research team in the first project phase. TIS will then produce the final compilation report on the implementation of the four new ALACs.

3. Monitoring and evaluation of the new ALAC methodology

Based on the analysis of the ALACs in operation, the research group will support and proactively monitor the implementation of the recommendations at the four new ALACs in EU member states. The new ALACs will also be encouraged to engage in dialogue, share perspectives with the research team and report on how sociological and institutional factors specific to national contexts affect the exercise of citizenship and are reflected in both local ALAC methodology and (early) results achieved. Researchers will also monitor the implementation of changes in the four operating ALACs, though on a more minimal basis. In this monitoring, the ALACs will, to a certain extent, be treated as a control group, and the primary objective of the monitoring will be to deepen understanding of the substantive

¹ When data is used for research purposes, confidentiality for individual information will be maintained. See more in B.4 Ethical issues.

recommendations for the strengthened ALAC methodology and to examine any barriers to implementation or points of “passive” resistance that emerge in practice. RTD performers will write their own report assessing and evaluating the results of the implementation of recommendations in the new ALACs.

For description of the **training activities** during this phase of the project (Training and technical support for the ALAC database in month 24 and ALAC capacity and management training in month 28) please see detailed description below: **3. Training activities.**

4. Deliverables

Deliverable 5: *Implementation of improved ALAC mechanism in FN, HU, IR and LI (it contains in chapters the reports of partners NCFN, NCHU, NCIR and TILS and individual country report, will be submitted in month 24.;* **Deliverable 6:** *Support to implementation of improved ALAC mechanism in FN, HU, IR and LI and overview report, will be submitted in month 26;* **Deliverable 7:** *Monitoring of implementation of improved ALACs mechanism in FN, HU, IR and LI and evaluation report, by the RTD performers and EU-Law Consultant will be submitted to the Commission in month 29. At month 18 the project management at Konstanz University will submit the interim **periodic report** containing all partner periodic reports to the Commission. For details on dissemination activities relating to these reports as well as to the next project phase, please see details below in “B.3.2 Plan for the use and dissemination of foreground”*

1.3 Improve policy and institutions at national and EU level, Months 30-36

This part of the last project phase aims at enhancing TI’s contribution to anti-corruption policy formulation and its institutional recommendations at the national level in the eight countries of operation as well as at the EU level. Generally speaking, the nature of corruption is hidden, and little quantitative data is available to study, characterise and understand it. ALACs are an effective generator of corruption-related information drawn from citizen participation. Accordingly, data generated by the ALACs are invaluable if European states and the EU want to effectively fight corruption. Policy recommendations and institutional measures must, after all, be based on concrete evidence.

1. National-level policy and institutional recommendations

Sound and high-quality research work will contribute to the advocacy work of the ALACs at the national level. Based on the corruption-related cases that citizens have presented to the centres, assessments will be made regarding necessary policy changes in the sectors and institutions that inspire the most complaints (e.g. press releases showing statistical breakdowns of complaints received). Specific institutional and legal vulnerabilities will be highlighted and recommendations for improvement will be provided and advocated. Experience shows that the strengthening of government complaint mechanisms is central to the ALAC project. While remaining entirely independent, ALACs have been welcomed by government authorities in all countries of operation because the cases presented by ALACs are normally well-documented and well-articulated, which facilitates the work of government complaint mechanisms.² Finally, understanding ALAC cases can help governments shape arguments on controversial topics. **Deliverable 8:** *Policy recommendations for an improved legal framework on national level in the fight against corruption (it contains in chapters recommendations of all eight national chapters involved), will be submitted to the*

² It is critical to realise that the primary role of government complaint mechanisms is normally to investigate the complaint, not help the complainant formulate a complaint.

Commission in month 34. Each ALAC – both new and old – will produce a report on its national policy-related advocacy activities, and institutional recommendations for combating corruption.

2. EU-level policy and institutional recommendations

In addition to advocacy at the national level, it is essential to also advocate for systemic change at the EU level because that is where most of the anti-corruption laws and policies within the European Union are formulated. Throughout the course of EU integration, member states have entrusted EU-level decision-makers with vast competencies in the areas of criminal law, judicial cooperation, money laundering, trade policy, procurement rules, enlargement, development cooperation and accounting standards. The result has been that European law and policies increasingly determine the everyday life of ordinary citizens, often even more than does national legislation. Approximately 70% of the relevant anti-corruption laws are initiated and drafted in Brussels. For that reason, the EU is an important advocacy target group. As legislator and political actor, the EU has the power to apply decisions that affect the fight against corruption to all EU member states and EU accession candidate countries.

It is assumed that improved European legislation and policies reflecting citizen needs will help build up an active citizenry in Europe. Enhance citizen participation is important because the EU is currently working on a reform treaty that will make the enlarged EU more efficient and democratically legitimated. Among the key improvements envisioned is a more democratic and open EU for both citizens and national parliaments with lawmaking discussions increasingly open to public scrutiny. Accordingly, Europeans will further be given the opportunity to influence proposed EU laws.

During this phase of the project, the Warwick University partner (Dr. Ralf Rogowski) will evaluate the EU's anti-corruption legal framework, highlighting those aspects that should be given special consideration in view of the project's goal – namely, the formulation of anti-corruption policy recommendations at the EU level. The evaluation will also take the national-level recommendations into consideration, paying close attention to areas of overlapping or confluent policy and institutional mandates. Where such areas exist, the “national” recommendations then also be advocated at the EU level.

Policy and institutional recommendations only become useful if they are effectively advocated; an interface between research and decision-making must, in other words, be created. TIS will use its Brussels office as base of project operations during the third project phase in order to increase the effectiveness of EU advocacy planning, dialogue and impact. Similarly, advocacy pressure will be Brussels-based due to the city's prominent role in international politics and high media visibility. Mrs. Jana Mittermaier, Head of TI's Brussels Office will be responsible for this advocacy support. To this end, she will co-operate closely with UNWA and UKON researchers. UKON will coordinate and support production of a last report on EU policy and institutional recommendations arising out of the legal and action research of this Project. **Deliverable 9:** *Policy recommendations for an improved legal framework on EU-level in the fight against corruption*, will be submitted to the Commission in month 36 by UKON. The **periodic reports** of all partners will be submitted to the Commission by the project management at Konstanz University after the end of the project (month 36).

For description of the **training activity** during this phase of the project (ALAC advocacy training in month 31) please see detailed description below: **3. Training activities.**

3. Training activities

Against this background special attention has been paid in strengthening and widening the scope of training activities especially regarding the improved mechanism of ALACs to be implemented during the second phase of the project.

The project is designed to provide three types of training: specialised thematic modules targeted time-sensitive how-to training and on-demand technical training, all of which are integral parts of the project in terms of implementation of project results and maintaining technical and practical skills. Thematic training modules will run in the frame of four regular and one additional meeting starting in month 12 and after first evaluation project results are available. They will be scheduled during the further course of the project according to the milestones planned. They will, hence, correspond to research undertaken up to the time point of their schedule and will be backed through project results regarding evaluation of the existing ALACs and implementation of the improved ALACs mechanism in the second project phase. The training meetings should therefore be considered both as *training* and *learning* activities based on a direct interaction between researchers and practitioners. It should be, furthermore, underlined that an additional on-demand theoretical and technical (database) training will be offered to the practitioners coming from TIS and the National Chapters by the RTD performers during the whole project duration. RTD performers will be responsible for both preparation, organisation and implementation of the training meetings, and the maintenance of training skills and capacities as well. Responsible person for preparation, organisation and implementation of the training meetings will be Dr. Angelos Giannakopoulos, while all RTD-partners will have the responsibility for the maintenance of training skills and capacities by extending their workload efforts without additional remuneration. Cooperating closely with TI Secretariat in Berlin, where all training meetings will take place (except the ALAC capacity and management training, which will take place in the new established ALAC in Hungary), the following detailed tasks will be undertaken:

3.1 Thematic module trainings

1. ALAC start-up training

Apart of the kick-off meeting of the project, which will take place at the beginning of the project and will be dedicated to the elaboration of a detailed work plan implementation at all levels, this training will include cross-training from existing ALACs. It will be conducted in a time-sensitive manner corresponding to the critical path of new ALAC start-ups. The objective of the training will be to support the smooth start-up of the new ALACs by examining and utilising the existing body of knowledge and materials on ALAC operations and inaugurations. Existing workshop materials will be adapted and updated on the basis of Phase I recommendations. This training will take place at TIS in Berlin in month 17 of the project.

2. ALAC capacity and management training

This training will be geared towards the new ALACs only and will focus on capacity-building, joint problem-solving and sharing of the existing body of knowledge on ALACs already in existence. Detailed plans for these training activities will be worked out prior to the meetings by the TIS and RTD performers and will focus on crucial insights gained in each project research and implementation phase. This training will be organised at NCHU in month 28 of the project.

3. Training and technical support for the ALAC database

A combination of technical support, auto-didactic training materials and direct training will be offered to new and existing ALACs in connection with the upgraded ALAC database. The following activities will be undertaken: 1. a user introduction and upgrade guide will be produced, 2. the existing database manual will be updated for new installations/users, 3. technical support and training will be offered on a need basis (i.e. responsive, on-call), 4. any database-related needs or gaps identified in the UKON evaluation of the new ALACs will be communicated to the technical support facility and addressed appropriately. This training will take place at TIS in Berlin in month 24 of the project. Additionally and as mentioned above on-demand technical training will be offered by the RTD-partners throughout the course of the project. Responsible person for this task will be Dr. Konstadinos Maras.

4. ALAC advocacy training

This thematic module training designed for participants from TIS, all National Chapters and RTD-performers will focus on policy and institutional advocacy. This training meeting will profit from the precious experience of the RTD-performers regarding policy support occurred in the frame of the Crime and Culture-project. Topics such as effective development of advocacy strategies, communications planning, stakeholder analysis, effective coalition work, effective media outreach and so on will be covered. This training will take place at TIS in Berlin and will be organised in month 31 of the project.

5. Extraordinary training in month 14

An additional extraordinary training will take place in month 14 of the project to be organised within the frame of the International Anti-corruption Conference in Bangkok, Thailand, which will bring together members of the National Chapters of TI from all continents as well as representatives of the most important international anti-corruption agencies. This training module which will take place just before closing the first project phase in month 16 will be dedicated to closer elaboration and discussion of the existing ALAC mechanism by confronting it to first results on its evaluation during the first project phase. It will in this way prepare detailed training activities to be then organised during the ALAC start-up training meeting in month 17 (see above). Additionally, in the frame of the conference TIS and the RTD-performers will deliver to the international anti-corruption community a presentation on the ALACs-project and its tentative results about an improvement of the mechanism at the time the conference takes place (November 2010). It should be stated that travel costs for this additional training activity are not included in the grant agreement.