



**USAID** | UKRAINE  
FROM THE AMERICAN PEOPLE

# UKRAINE MCC THRESHOLD COUNTRY PLAN-COMPONENT 1 MIDTERM EVALUATION REPORT

APRIL 2008

This publication was produced for review by the United States Agency for International Development by Democracy International, Inc.

Prepared under Task Order #14 under the Democracy and Governance Analytical Services Indefinite Quantity Contract, #DFD-I-00-04-00229-00

**Submitted to:**  
USAID/Ukraine

**Prepared by:**  
James Fremming  
Lawrence Robertson

**Contractor:**  
Democracy International, Inc.  
4802 Montgomery Lane, Suite 200  
Bethesda, MD 20814  
Tel: 301-961-1660  
[www.democracyinternational.us](http://www.democracyinternational.us)

# UKRAINE MCC THRESHOLD COUNTRY PLAN-COMPONENT 1

## MIDTERM EVALUATION REPORT

APRIL 2008

### **DISCLAIMER**

The authors' views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.



# TABLE OF CONTENTS

|  |           |
|--|-----------|
| <b>EXECUTIVE SUMMARY</b> .....   | <b>i</b>  |
| <b>1. INTRODUCTION</b> .....   | <b>1</b>  |
| 1.1. Evaluation Purpose and Approach .....                                 | 1         |
| 1.2. Acknowledgements .....  | 2         |
| <b>2. BACKGROUND</b> .....   | <b>3</b>  |
| <b>3. USAID ASSISTANCE APPROACH</b> .....                                  | <b>5</b>  |
| 3.1. Monitoring .....  | 5         |
| 3.2. Advocacy .....  | 6         |
| 3.3. Investigative Journalism and Other Media Anticorruption Efforts ..... | 7         |
| <b>4. FINDINGS</b> .....   | <b>8</b>  |
| 4.1. Overall Project Management .....                                      | 8         |
| 4.2. Monitoring .....  | 8         |
| 4.3. Advocacy .....  | 9         |
| 4.4. Investigative Journalism and Other Media Anticorruption Efforts ..... | 12        |
| 4.5. Summary .....   | 13        |
| <b>5. CONCLUSIONS</b> .....  | <b>14</b> |
| <b>6. RECOMMENDATIONS</b> .....  | <b>24</b> |
| 6.1. Overall Recommendations.....  | 24        |
| 6.2. Monitoring .....  | 24        |
| 6.3. Advocacy .....  | 25        |
| 6.4. Investigative Journalism and Other Media Anticorruption Efforts ..... | 26        |
| <b>7. LESSONS LEARNED</b> .....  | <b>28</b> |
| <b>APPENDIX A - EVALUATION SCOPE OF WORK</b> .....                         | <b>29</b> |
| <b>APPENDIX B – DESCRIPTION OF EVALUATION METHODS USED</b> .....           | <b>37</b> |
| <b>APPENDIX C – DATA COLLECTION INSTRUMENTS</b> .....                      | <b>41</b> |
| <b>APPENDIX D – PROJECT SCHEDULE</b> .....                                 | <b>45</b> |
| <b>APPENDIX E – INDIVIDUALS CONTACTED</b> .....                            | <b>49</b> |
| <b>APPENDIX F – STATISTICAL TABLES</b> .....                               | <b>51</b> |
| <b>APPENDIX G – GRAPH OF MEDIA ARTICLES ON CORRUPTION</b> .....            | <b>53</b> |
| <b>APPENDIX H – BIBLIOGRAPHY</b> .....                                     | <b>54</b> |
| <b>APPENDIX I – GLOSSARY</b> .....   | <b>59</b> |



## EXECUTIVE SUMMARY

**Background.** USAID/Ukraine has requested an evaluation on the results to date of the work conducted under the Promoting Active Citizen Engagement (ACTION) in Combating Corruption in Ukraine project. ACTION, intended to strengthen and mobilize civil society and the mass media to become significant and reliable forces demanding anticorruption reforms, was initiated in December 2006 and, with a recent no-cost project extension, is planned for completion at the end of April 2009. The project functions as the implementing unit of Component 1 of the Government of Ukraine's Millennium Challenge Corporation Threshold Country Plan (TCP), which aims to reduce corruption in the public sector. Assistance through ACTION is delivered in the following main areas:

- Conducting a national baseline survey of citizen perception of and experience with corruption in TCP target areas, followed by related sector surveys. The national survey will be re-administered at the end of the project to assess impact of TCP intervention. ACTION supports Ukrainian NGOs in conducting their own specialized surveys, disseminating results, and ensuring the widest possible access to and utilization of the data by Ukrainian civil society, mass media and the government;
- Strengthening civil society through programs of small grants in support of a variety of anticorruption activities that complement TCP goals; and
- Developing investigative journalism capacity through training journalists and supporting "best investigative article" competitions.

**Evaluation Purpose and Methodology.** The USAID/Ukraine Mission is the primary audience for this evaluation. It expects to use evaluation results to make management decisions with respect to its approach and the activities of its implementing partner, including possible funding and timeframe adjustments. Evaluation questions addressed the following issues:

- Appropriateness of the design and implementation of the project for fighting corruption;
- Extent to which the goals and objectives of Component 1 were being achieved;
- Factors that have hindered or assisted project performance;
- Improvements that may be made to project implementation;
- Reasonableness of performance targets;
- Effectiveness of grants to civil society organizations and media organizations;
- Opportunities to leverage resources through increased collaboration with US Government and other donor programs, other TCP projects and the Government of Ukraine (GOU);
- The way in which the GOU is utilizing project results; and
- Effectiveness of the project's public education and outreach efforts in informing the Ukrainian public about anticorruption.

A Democracy International team of two political scientists and an interpreter/logistical specialist carried out the evaluation. Country field data collection took place from March 10 through March 21, 2008.

**Key Findings.** ACTION is fulfilling the Component 1 design, carrying out activities as planned and making good progress toward meeting or exceeding most of its formal performance targets. Coordination with other TCP components is good, with only a few exceptions. This is especially impressive given the complexities of coordination in some thematic areas and the numerous Ukrainian civil society organizations (CSOs), American NGO, USG, and GOU partners.

**Conclusions.** Overall, ACTION has a strong one-year record of delivering on the project design. It has produced better data on corruption in Ukraine and a wider understanding of the real state of corruption in the country; a wide variety of successful, local anticorruption accomplishments by civil society organizations; and a substantial number of well-written investigative journalism pieces presented in the media to a diverse and large audience.

Project performance has been hindered by a design of the advocacy subcomponent that calls for a large number of small grants to organizations throughout the country, with much less attention (until very recently) to national-level advocacy, networking, sustainability and longer-term Ukrainian ownership of anticorruption efforts. In addition, linkages between work with CSOs and media organizations may be strengthened.

**Key Recommendations.** Since the ACTION project is on track to meet the objectives of the design, and major shifts in the design are not possible with the short time frame remaining under the MCC TCP, this evaluation endorses the current approach planned for the final year of the project (through April 2009).

In the remaining months of the project, ACTION should focus on increasing the sustainability of its partners' and grantees' work in anticorruption.

ACTION, in collaboration with the other components and a broad segment of Ukrainian civil society leadership, needs to work diligently to encourage the development of one or more issue-focused CSO coalitions, each to be lead by a champion organization.

## I. INTRODUCTION

### I.1. Evaluation Purpose and Approach

The principal objective of this midterm evaluation of the Ukraine Threshold Country Program Component 1 is to evaluate the impact of the work under Component 1 with respect to the overall goals of the TCP.

A secondary, lower-priority focus is to evaluate the potential of Component 1 in achieving:

- Its objectives by December 2008;
- Its objectives by April 2009;
- Greater returns with additional time; and
- Greater returns with additional time and funding.

The USAID/Ukraine Mission is the primary audience for this evaluation. USAID expects to use evaluation results to make management decisions with respect to its approach and its implementing partner's activities, including possible funding or timeframe adjustments.

A Democracy International team of two political scientists (James Fremming and Lawrence Robertson) and an interpreter/logistical specialist (Ilona Demchenko) carried out the evaluation. Country field data collection took place from March 10 through March 21, 2008. Details of the evaluation methodology are provided in Annex B. It is important for the reader to be aware that, because Component 1 has been in implementation only since early December of 2006, a comprehensive assessment of its impact is not possible at this stage. The evaluation team carried out extensive documentary and field data collection to support an assessment of the progress to date, with close attention to impact-related issues.

Corruption pervades many areas of Ukrainian life. Therefore, designing a program to address the issue requires one to face the problem of intervention selection, or of where to begin the program. Historically and in conceptual development, Component 1 is the "beginning point" for the TCP. It lies at the heart of the Government of Ukraine's efforts to fight corruption, since data development, research, monitoring of AC progress, civil society advocacy and investigative journalism are all central aspects of a serious method to deal with corruption of the breadth and depth present in Ukraine. Therefore, an evaluation of the impact of Component 1 can prove especially useful to USAID/Ukraine as it carries out the TCP.

#### I.1.1. Evaluation Questions

The evaluation is structured to address the following questions:

1. Is the approach to engaging citizen organizations and mass media in fighting corruption and demanding governmental accountability on the right course or should adjustments be made, given changes in the overall assistance environment and country context?
2. Are the goals and objectives of the TCP approach being achieved?

3. How does the MCC TCP Component 1 contribute to the changes in the Program Element 2.4: *Anticorruption Reforms* of the USG Foreign Assistance Program?
4. Did the project yield results other than those planned? Are there any unexpected but important benefits or results of the project that should be documented?
5. What are the factors that hinder or assist the project performance?
6. What improvements can be made in the implementation of the project?
7. Are there any significant or critical gaps in Component 1 implementation that require adjustment?
8. Are established targets reasonable given the current project context? If not, how do they need to be modified?
9. How effective are the CSO and media grants? Is there evidence that these grants will lead to any significant change?
10. Are project beneficiaries (including CSOs, media and parties that are or were advocated or lobbied) adopting desired practices or behaviors?
11. Are there opportunities to further leverage MCC resources through increased collaboration with other USG and donor programs?
12. How can the project collaborate better with other current MCC TCP projects?
13. How can the project collaborate better with the GOU?
14. How is the GOU utilizing Component 1 results?
15. How effective have the project's public education and outreach efforts been in informing the Ukrainian public about the TCP?

## **1.2. Acknowledgements**

The evaluation team is grateful for the assistance of:

- Victoria Marchenko and Svitlana Kolesnik of USAID/Kyiv;
- The TCP Coordinating Group of USAID/Kyiv;
- Juhani Grossmann and Lyubov Palyvoda of ACTION; and
- The many individuals who offered their time and thoughtful reflections during our interviews (the list of individuals contacted is provided in Appendix E).

## 2. BACKGROUND

Corruption has proven a significant obstacle to development in Ukraine, and it continues to be a major hindrance to economic and democratic progress. While Ukraine's leadership has recognized that corruption is a problem, there has not been a comprehensive effort to combat it within the government. Freedom House's latest *Nations in Transit* assessment of the status of democracy in Ukraine allots it a "corruption" score of 5.75 (on a scale with "1" being the highest level of democratic progress and "7" being the lowest).<sup>1</sup> For the previous year (2006), the score was the same.

Many factors contribute to and facilitate corruption in Ukraine, including:

- An incomplete and inadequate legal framework;
- Selective enforcement of existing laws and regulations and the exercise of excessive discretion by public and elected officials at all levels;
- Excessive regulation of the economy by the state;
- Excessive executive control and influence over the judicial branch and the civil service, along with inadequate oversight of the executive branch by the Verhovna Rada;
- Collusive ties between the political and economic elite, in which the former use the state to enhance their wealth and the latter use their wealth to enhance their power;
- Low capacity for advocacy in the civil society;
- Weak accountability mechanisms within government and in civil society to discourage potential abuses;
- Uneven public access to information about government decisions and operations;
- Resistance to decentralizing authority and resources to the regional and local levels—a measure which could break corruptive networks; and
- High tolerance for corrupt practices among the population and the general belief that corruptive abuses and misconduct for public officials are low-risk events and can be conducted with impunity.<sup>2</sup>

Initial steps for introducing reform in these areas have already been taken—including passage of the Concept of Judicial Reform, deregulation at the national and oblast levels, and passage and initial implementation of the Permit System Law. The 2006 elections to the Ukrainian Parliament were accepted as free and fair and supported a key element of anticorruption efforts, namely, an environment of free political competition. Additionally, immunity from prosecution for local elected officials was also abolished.

Ukraine's desire to strengthen international relationships and, more specifically, to build its associations with Europe, has been a motivating factor that unites major players across the

---

<sup>1</sup> [http://www.freedomhouse.hu/images/fdh\\_galleries/NIT2007final/nit-Ukraine-web.pdf](http://www.freedomhouse.hu/images/fdh_galleries/NIT2007final/nit-Ukraine-web.pdf), March 19, 2008.

<sup>2</sup> From USAID, *Corruption Assessment: Ukraine. Final Report. February 10, 2006.*

political spectrum in recognizing the need to combat corruption and agree on some level of “joint action.” This remains the incentive and leverage for the appearance, if not the actual facilitation, of progress in the area of good governance and the development of anticorruption policies. The most evident examples of Ukraine’s intentions and commitment to this path include the approval of an anticorruption Concept entitled “On the Way to Integrity,” adopted by Presidential Decree in September 2006; the Action Plan to implement the Concept “On the Way to Integrity” through 2010, developed by the Cabinet of Ministers of Ukraine; the ratification of the main anticorruption conventions by the Parliament of Ukraine<sup>3</sup>; and the elaboration of the “anticorruption package” of three draft laws, which is currently under review by the relevant Parliamentary Committees.

In January 2008, Prime Minister Yulia Tymoshenko introduced a set of government efforts, known jointly as the Tymoshenko Transparency Initiative, intended to introduce European standards of business and transparency into routine practice in Ukraine.

This set of events set the context for the establishment of the Millennium Challenge Corporation’s (MCC) Threshold Country Plan (TCP) in 2005. The Government of Ukraine’s proposal for combating corruption was approved by the MCC in 2006, and a Strategic Objective Agreement to implement the \$45 million TCP was signed on December 4, 2006 between USAID and the Government of Ukraine (GOU). The program featured five distinct components, the first one being Civil Society and Advocacy. Other components include:

- Judicial Reform;
- Government of Ukraine Monitoring and Enforcing Ethical and Administrative Standards;
- Streamlining and Enforcing of Regulations; and
- Combating Corruption in Higher Education.

The implementation of Component 1 was awarded to Management Systems International (MSI) on December 5, 2006. Originally planned as a two-year effort, the project—referred to as “Promoting Active Citizen Engagement in Combating Corruption in Ukraine” [ACTION]—has received a no-cost extension through April 2009.

The current evaluation provides a mid-term assessment of the impact of this project on the status of public sector corruption in Ukraine.

---

<sup>3</sup> The Council of Europe Criminal Law Convention on Corruption and its Additional Protocol and the UN Convention Against Corruption have been ratified by Ukrainian Parliament, yet their ratification instruments have not yet been forwarded to the Secretary General of the Council of Europe and the UN.

### 3. USAID ASSISTANCE APPROACH

This section outlines ACTION's objectives and activities, along with their relationships to the other components of the MCC TCP.

To help citizens and their government address corruption, the outline for what became the Promoting Active Citizen Engagement in Combating Corruption in Ukraine (ACTION) program was developed by the GOU Presidential Secretariat. The planning group recognized that civil society engagement was required to address corruption, carry out the overall TCP, and achieve the necessary anticorruption progress needed to conclude an MCC compact. The Secretariat set high goals for the overall TCP and suggested independent survey research as the main method of measuring TCP achievement. The importance of civil society in the overall TCP was recognized by its placement as Component 1.

The GOU's TCP proposal, approved by the MCC at the end of 2006, was followed by a Strategic Objective Agreement between USAID and the GOU to implement the \$45 million Program. The TCP has five distinct components:

1. Civil Society Monitoring and Advocacy (Component 1);
2. Judicial Reform (Component 2);
3. Government of Ukraine Monitoring and Enforcing Ethical and Administrative Standards (Component 3);
4. Streamlining and Enforcing Regulations (Component 4); and
5. Combating Corruption in Higher Education (Component 5).

To address these components, the TCP has seven main implementing organizations. USAID awarded the civil society and media program under Component 1 to Management Systems International (MSI) on December 5, 2006. This demanding program monitors the impact of the other four TCP components in addition to engaging civil society organizations and the media in fighting corruption.

The design of Component 1 demonstrates the recognition that support for monitoring, civil society advocacy, and investigative journalism and other media anticorruption efforts are all essential to developing and furthering the GOU's goals in combating public sector corruption. Further, these three key areas of intervention need to be linked together, both within a single project umbrella and in coordinated collaboration with the other four TCP components.

#### 3.1. Monitoring <sup>4</sup>

Continued monitoring and tracking through public opinion research on corruption perceptions and actual experiences is required throughout the life of the project to measure

---

<sup>4</sup> While ACTION formally features two subcomponents (Advocacy and Monitoring; and Investigative Journalism and Other Media Anticorruption Efforts), for clarity of presentation in this report we reflect the organization of the project and describe three components, dividing the first subcomponent into Monitoring and Advocacy.

change over time, gauge the extent to which the ACTION project is meeting its goals, and assess whether the GOU's MCC TCP targets for anticorruption are met.

To carry out this monitoring, the designers of Component 1 expected that Subcomponent 1.1 would:

- Conduct and disseminate results from large national surveys, special sector and sample surveys, citizen report card projects of advocacy NGOs (linked to the advocacy section below), and focus groups on corruption;
- Produce customized analyses as needed; and
- Work to ensure local ownership through the development of a Public Advocacy Network (PAN) with four components: research, outreach and networking, advocacy, and media.

Expected results in the monitoring subcomponent include:

- Expected Result A: Development of data on anticorruption, including data to monitor TCP Components 2 through 5; and
- Expected Result B: Increased public knowledge regarding corruption (also advanced through the advocacy subcomponent).

## **3.2. Advocacy**

Designers of Component 1 envisioned Subcomponent 1.2 as supporting the ability of civil society to advocate effectively and monitor government performance to counter corruption. To achieve this end, ACTION will manage competitive grants programs that promote CSO activities in monitoring government performance and advocating for improvements in TCP priority reform areas and other sectors, increasing citizen awareness, and promoting citizen participation in public policy processes. The program was designed to provide both targeted grants on a regular schedule as well as innovative grant programs to operate as needed. Both grant programs would extend to the entire country with the assistance of regional support centers.

Grants were to vary in size, from \$1,000 to \$100,000<sup>5</sup>, and would be accompanied by technical assistance to grantees to develop their skills and strengthen their capacity as advocacy organizations.

Expected results in the advocacy subcomponent include:

- Expected Result B: Increased public knowledge regarding corruption (also supported by the Monitoring subcomponent); and
- Expected Result C: Increased number of NGO-initiated anticorruption reforms.

---

<sup>5</sup> In a subsequent modification to MSI's Cooperative Agreement with USAID, the ceiling for grant amounts was increased to \$240,000.

### 3.3. Investigative Journalism and Other Media Anticorruption Efforts

This third area of the program:

- Promotes investigative journalism through training and technical assistance;
- Encourages investigative journalism, including through a competition for journalists; and
- Provides advice through a Legal Support Center for Investigative Reporting.

ACTION, in subcomponent 2, provides training, technical assistance and grants to journalists and the media to encourage investigative journalism and a focus on corruption issues. Currently, media reports on corruption tend to be event-driven, lacking in-depth analysis and fact-based credibility. Interventions include:

1. Training and technical assistance in investigative reporting and strengthening of knowledge of public policy and government institutions; and
2. Incentives for journalists through a journalist competition; a legal support center based in an existing media association; a media advocacy campaign led by a task force and working groups and innovative media programs and publications on corruption, including a modest media grants program to cover the costs of investigative journalist work for specific stories.

This subcomponent of ACTION has four expected results:

- Expected Result A: Increased exposure of corruption by media;
- Expected Result B: Increase in number of investigations due to media exposure;
- Expected Result C: Increase in sanctions for corruption as a result of media reports; and
- Expected Result D: Improved access to information by journalists and NGOs.

With its three interlinked subcomponents and their relationships to the other four TCP components, ACTION was designed to play a central role in leading to the achievement of the objectives of the Threshold Country Program. The ACTION project is supported at a total level of USAID funding of approximately \$9,750,000, accompanied by a cost-share of \$490,000, for total program funding of approximately \$10,240,000.

## 4. FINDINGS

### 4.1. Overall Project Management

ACTION is fulfilling the Component 1 design, carrying out activities as planned and making good progress toward meeting or exceeding most of its formal performance targets. Coordination with other TCP components is good, with only a few exceptions. This is especially impressive given the complexities of coordination in some issue areas and with numerous partners, including Ukrainian CSOs, American NGOs, the USG, and the GOU.

### 4.2. Monitoring

#### Design

The project's overall approach to survey research is well designed, with effective local partners. The baseline survey was carried out with a high level of technical professionalism, and the results have served as a critical platform for awareness-building and advocacy, strongly complementing the efforts in the other two subcomponents. A key aspect of this subcomponent, carrying out the follow-on national representative survey with accompanying analysis and dissemination, has of course not yet been completed. Since the same team is in place for this survey, there is high confidence that the replication and analysis will be carried out as well as the baseline.

#### Implementation

Implementation of the monitoring component has been very good, although the execution of the targeted surveys geared to the themes of the other TCP components may have been more beneficial if completed earlier, when the data might have fit better with the design of work for implementers. Dissemination of survey results appears to have been excellent.

Based on our interviews with members of the MCC Secretariat as well as other knowledgeable individuals, we have found that there have been occasions, most notably in connection with the design of the baseline national survey, when the Secretariat has inserted itself quite extensively into discussions of detailed Component 1 technical issues. From the Secretariat's viewpoint, the draft survey questionnaire required considerable review and revision. Some extended technical discussions were required late in the national baseline survey's design phase in order to resolve the Secretariat's concerns, but ACTION, along with the engagement of the MSI/Washington technical staff, received and made revisions in response to multiple rounds of largely thoughtful and constructive comments from the Secretariat. In the end, the project managed to complete the design and implementation of the baseline survey successfully within the pre-arranged timeline.

#### Impact

Arguably speaking, the extensiveness of corruption in Ukraine had already been found to be quite high by previous research, but the baseline survey helps to document this in a scientific

manner and adds important elements regarding the substance and extensiveness of corruption in many areas of Ukrainian life. The strong public relations campaign around the baseline survey helped build a stronger common understanding of corruption and the potential for anticorruption efforts. In addition, the availability of data strengthens the project's efforts in civil society and investigative journalism; this may be especially true for data at the oblast level, since most of the civil society advocacy projects work at oblast and local levels.

## Outlook

The work of the Kyiv International Institute for Sociology (KIIS) survey research team preceded the project and will continue beyond the life of ACTION to conduct public opinion polls for Ukrainian or international clients. The survey research institutions, KIIS and InMind, are technically capable, highly professional organizations. ACTION has worked well with them in developing analytical products addressing the interests of specific stakeholders for this project. The strength of linkages between the monitoring research civil society groups' efforts in awareness building and advocacy, however, appears less sustainable without continued support and incentives similar to those provided by ACTION to CSOs.

### 4.3. Advocacy

#### Design

The basic elements of the design of this subcomponent constitute one choice for the design, but they do not necessarily represent the best choice. ACTION took an approach of "spreading the seeds" to approximately 200 NGOs by awarding small grants for similar activities to organizations from across the country that are generally not linked in joint efforts with other grantees. Financial obligations for targeted and innovation grants currently total \$2,188,579. The average award size for the targeted NGO grants is \$16,754; the average size for innovation NGO grants in two rounds is \$18,343 and \$13,987. Grants typically have an effective period of less than a year, and many grantees we spoke with referred to the challenging constraints in accomplishing their objectives under assistance with such modest funding and only several months of time to work. This has sometimes caused grantees not to take modest additional steps that might magnify impact through broader dissemination, such as making a DVD that could be shown to additional audiences which would potentially have influence after the end of the project. ACTION has recently begun a more limited grant extension program available to a select subgroup of grantees; this effort helps to alleviate these pressures on some grantees and at the same time offers incentives for further AC activities.

An alternative design approach would have included an effort from the beginning to provide more focused support to foster the development of one or more issue-focused coalitions. In fact, the program design does include an initial step in this regard, in the form of support for the establishment of a nationwide public advocacy network on anticorruption. We need to recognize, however, that ACTION started in an NGO sector environment that did not feature clear leading organizations with notable anticorruption experience, focus, or

capability. In addition, the component faced the need for the advocacy function to support the four other highly specific TCP components.

Among the NGO targeted grants are awards for nine Regional Information and Resource Centers (RIRCs) that serve as training, consultation and networking locales in the regions. These centers are a commendable legacy of earlier USAID-supported work in the civil society sector, largely carried out through Counterpart Creative Center. Grantees and partner organizations we interviewed told us that the centers can often be effective and efficient sources of assistance and coordination. Not unexpectedly, ACTION has experienced some occasional challenges in effective management of the centers by its subcontractors, but such problems appear to have been addressed in a reasonable and timely fashion, including through the replacement of one RIRC by a different organization, OPORA, that appears more proactive than the prior subgrantee.

The CSO subcomponent is impressively integrated in many ways with the other subcomponents; grantees are very aware of what the other functions provide, especially in the monitoring area. Utilization of results from monitoring is present throughout the group of NGO grantees, and many grantees are quite satisfied with assistance they have received from ACTION's Media Department. CSO leveraging of ACTION's investigative journalism efforts is present, but less common.

## **Implementation**

ACTION has successfully carried out a large grants program, with evident linkages within and beyond the program, support provided through training and consultations, strong accountability controls and a reasonable level of transparency. Many NGOs see real benefits to their participation in the program, both in terms of AC results accomplished and with regard to the capacity-building of their organizations.

At the same time, there are areas in need of improvement in the implementation of this component. Requirements for financial and narrative reporting at first were unnecessarily demanding, and ACTION has recently revised these requirements to make them more practical, simple, and useful. Based on our discussions with ACTION grantees as well as with external observers, it is clear that, even considering the large number of grants awarded, there is an unspecified number of potential grantees that did not apply for a grant. We understand this to be a "chilling effect" based on the difficulty of the ACTION grant application process relative to the small size of the grants, as well as compared to similar applications to other programs. One grantee with several years of experience with grant applications labeled ACTION's grant application requirements "horrible."

In addition, some of our interviewees have noted that the process of grant management has been at times cumbersome and confusing for grantees. Issues included not having a single liaison, occasional untimely review of applications and approvals, etc. Nearly all grantees we spoke with asserted that the demands of periodic reporting, including the narrative aspects, are in excess of what is required by other grant making organizations. In addition, the oversight reporting, accompanying paperwork requirements, and uneven timeliness of ACTION responses to approval and modification requests adds to the burden and is at

times a significant diversion from direct work on grant activities. On the other hand, some grantees recognized that while difficult, the demanding financial and results reporting of ACTION was in their interest and good for their organizational development.

Some aspects of grant making appear to have been somewhat problematic, perhaps largely due to timing constraints. In the summer of 2007, ACTION took advice from project stakeholders to initiate a larger grants program (up to \$ 80,000 each) for CSO “champions,” well-qualified organizations that could function as leaders and conveners for advocacy in the four other TCP sectors. The grant announcement was issued near the time of parliamentary elections, when NGOs were exceptionally busy, and for one of the grants just two weeks were allowed before the application submission deadline. This challenging set of circumstances for applicants, the structural issue of a limited supply of CSOs with the capability and interest needed to meet the requirements of a sectoral champion, and the relatively small size of this grant resulted in ACTION’s receipt of few qualified applicants. As of this writing, just one champion grant has been awarded and it is still in the inception phase of its work.

A comprehensive assessment of training supported by ACTION is not part of this evaluation, but some preliminary findings are available based on our fieldwork. Training has emphasized basic capacity building in several areas. Depending upon the existing level of sophistication of the participants, the training tends to be quite useful or simply “refresher” training of more limited value. More significantly, some grantees noted that much of the training they received was addressed not to topics of substantive relevance but instead to methods of grant reporting and “how to work with ACTION” more generally. Nevertheless, this training was recognized as helpful by other organizations since it strengthened their organization’s results reporting.

## Impact

Results in the advocacy sphere are notable but have largely been restricted to outcomes of the limited-scope grants, emphasizing the local focus and limited thematic scope of grants within the overall CSO program. National-level advocacy is a feature of the ACTION design, but at this level it addresses only networking rather than the full menu of national-level advocacy activities one would assume to be needed in order to execute effective anticorruption efforts.<sup>6</sup> The advocacy component’s formal performance targets include “increased number of NGO-initiated anticorruption reforms,” but this indicator is not focused on advocacy results at the national level. CSO results at this level are rare and minimal at this stage.

The compatibility of the other ACTION components with the civil society work appears to be stronger on the research side, in which grantees clearly have understood that they are required to utilize their own and other survey and research findings as part of their outreach and advocacy activities. The linkage with investigative journalism is relatively weaker and one-way. While grantees seek publicity for their projects, CSOs in general appear less well

---

<sup>6</sup> See the Component 1 Cooperative Agreement, Attachment B (Program Description), pp. 18-20.

engaged with the published or broadcast investigative journalism cases from the project's media work.

## **Outlook**

CSO advocacy remains a core part of the overall formula in combating corruption in the country. There will be a need, for some time to come, for Ukrainian NGOs to advocate for anticorruption work, effectively monitor government anticorruption efforts, inform citizens about their rights and support reform. ACTION in Year 2 is taking steps to build upon the capacity-building emphasis of Year 1, working with sectoral champions, utilizing more individual consultations with CSOs, and taking actions to promote stronger, deeper networking among AC CSOs. The project is also investigating ways in which longer-term financing of some CSO activities may be made available after ACTION is completed. With only a two-year project, expectations about how much the sector can accomplish in the country, especially at the national level, should be modest.

### **4.4. Investigative Journalism and Other Media Anticorruption Efforts**

#### **Design**

The ACTION design recognizes the media as a critical tool for anticorruption. The comprehensive design features:

- A training program for reporters and editors of major news organizations, along with awareness-building seminars for media owners, producers and editors;
- A journalist competition to promote greater investigative reporting and media coverage of corruption;
- Legal consultations for journalists available in ACTION's Regional Information and Resource Centers;
- A media advocacy campaign; and
- Support for the production and dissemination of innovative media products on corruption through a media grants program.

This is a diverse but internally-integrated set of interventions. They appear to be placed at a correct level of ambition, given the considerable constraints under which journalists work in Ukraine and the existing capacities of local and national organizations and media outlets.

#### **Implementation**

No significant issues appear to have arisen in implementing this subcomponent. ACTION's group of partners for this subcomponent appears to be experienced and effective. The campaign following the completion of the national baseline survey particularly highlighted the role of the public media in raising public awareness, and the overall number of stories produced through this component is larger than originally planned. Interviewees noted to us, however, that incentives to carry out investigative pieces continue to be skewed in favor

of more traditional, unassertive stories. ACTION recognized this challenge through discussions with its stakeholders in this area, and has reacted by working with editors, producers and owners to increase their interest in and comfort with investigative journalism.

## Impact

The media subcomponent, when working in cooperation with the monitoring and advocacy subcomponents, can powerfully leverage ACTION and other anticorruption efforts to prominence in the public vision. As with most media work, however, the need for media organizations to make money and the continually shifting interests of the media-consuming public direct the incentives toward only temporary prominence of most anticorruption stories. Results of this subcomponent, then, beyond production of media products and improved capacity of journalists, are not common or sustained. This problem represents a challenge for the entire media sector, not only projects such as ACTION.

What seems clearly to be missing, closer to the ACTION project level, is adequate follow-through or response by CSOs, the GOU and the international donor community to the AC-related products developed by journalists. The gap in this instance is made especially clear in the face of the demanding performance targets for this component of the project, which require additional investigation and then sanctions by the GOU as a result of the project's investigative journalism.

## Outlook

Opportunities are likely to continue to be available in coming years for journalists and others in the media to receive assistance and training in investigative reporting. Prospects for major impact of investigative journalism remain contingent, however, upon progress in the macro-level environment, including rights of access to public information (which some CSOs in the advocacy component are working on), economic incentives for investigative reporting, and readiness of CSOs, international organizations, and especially the GOU to follow through on stories with their own monitoring, invigorated advocacy, investigations and sanctions on corrupt behavior.

## 4.5. Summary

ACTION's accomplishments are impressive for having only been in active implementation for just over a year. Some aspects of the project's design have built-in weaknesses relevant to delivering desired effects, and there are minor implementation problems. Overall, however, the project has done a good job of preparing its partners and beneficiaries for higher levels of measurable impact in the future. The fact that Year 1 has been essentially a preparation phase signifies that Year 2 is the critical year for ACTION to be delivering on the impact, sustainability and Ukrainian ownership of anticorruption efforts. Sustainability poses difficult challenges for any civil society program, and these challenges are magnified by the two-year timeframe for the project, certain aspects of the ACTION design and characteristics of anticorruption work in general for Ukrainian CSOs.

## 5. CONCLUSIONS

Based on the findings presented in the previous chapter, we offer the following concluding interpretations and assessments. To facilitate reference, we have geared our remarks to the questions presented to the DI team in the Evaluation Scope of Work.

### **Is the approach on the right course?**

- **Are established performance targets for Component 1 reasonable, given the current project context? If not, how do they need to be modified?**

ACTION has already met, or is well on the way to meeting, the targets set for most of the thirteen Component 1 performance indicators (See Annex F: Statistical Tables, Table 1: Component 1 and TCP Targets). The Component 1 indicators track an appropriate mix of project outputs and outcomes that are direct results of ACTION activities, such as the number of focus groups held and more impact-oriented measures that are intended to reflect responses by people or institutions outside the project's direct sphere of influence, most critically the GOU.

The three Component 1 targets that have this latter characteristic include:

- Percentage of NGO advocacy campaigns that result in governmental reform;
- Increased percentage of media reports on corruption that were investigated; and
- Increased percentage of media reports on corruption that lead to sanctions.

Indicators such as these are especially challenging because the results they reflect are not under ACTION's direct control. To achieve the specified targets will require more focused, intensive work with civil society and the government than could reasonably be expected under a two-year timeline within the constraints of the Ukrainian environment.

At this stage in the life of the project, however, it is not advisable to make changes to the indicators. They continue to be highly relevant to Component 1 objectives, and can serve as incentives to ACTION and its partners to focus on these relatively difficult areas of accomplishment. In addition, it may be argued that these more challenging targets capture the more advanced levels of results expected in extended Year 2.

- **Are the goals and objectives of ACTION being achieved?**

As observed above, ACTION is generally on track regarding performance targets, with the exception of a few that concern results not easily attributable to ACTION activities.

More fundamentally, the overall expected result of Component 1, according to USAID's Strategic Objective Agreement with the GOU for the TCP, is "reduced opportunities for corruption by enabling civil society to be more effective monitors of government and advocates for reform." The project clearly is making civil society more effective in its monitoring and advocacy roles. Progress in reducing opportunities for corruption is also

evident, since governmental reforms in response to advocacy are being made in response to ACTION-supported civil society initiatives, especially from the political center.

ACTION contributes to two intermediate results in the USAID/Ukraine Strategic Plan: “availability of quality information is increased,” and “effectiveness of civil society organizations is increased.” Further, as part of the TCP, the project has an additional objective: “Citizen organizations and the mass media increasingly engaged in fighting corruption and demanding governmental accountability and transparency.” All of these planned results are being addressed through ACTION. Note that each of these objectives refers to desired events occurring on an increasing basis. Realistically speaking, achieving goals under ACTION is a matter of making notable progress in combating corruption, not in wholly eliminating it.

The project’s survey research products have helped put additional emphasis on anticorruption efforts, as evidenced by the clear perceptions and experiences of citizens. The survey work may help citizens realize that corruption is a two-way street—not simply an issue of corrupt officials extorting bribes but also one of citizens voluntarily giving bribes.

In advocacy, numerous campaigns from ACTION’s grantees have led to changes in government policies, procedures and outcomes. However, these developments, achieved predominantly at the local level, appear to have had little effect on grand corruption or the systemic administrative corruption problems noted in ACTION’s research activities. Nevertheless, these grantees and projects are critical in demonstrating to citizens that civic action can have some effect on corrupt practices in concrete ways. Absent this effort, citizens would be left with the preexisting sense, as seen in the survey work, that corruption is justified in most situations to get things done, and that it is the customary way to survive and get ahead in Ukraine. Research utilization and public outreach are systematically-required elements of the civil society grants, and grantees often have impressive public relations and outreach components in their work to raise public awareness and demonstrate that civic actions can make a difference. In addition, some CSO grantees conduct their own focused surveys and research geared toward expanding and improving public awareness, typically at the local or regional level.

In investigative journalism and other media anticorruption efforts, ACTION has again increased public knowledge regarding corruption and, perhaps at least as important, has strengthened public awareness of successful measures to combat corruption. In this area, to date journalists appear considerably more focused on the role of watchdog for corrupt practices than on the reporting occasional successes in anticorruption efforts.

The sustainability of AC results remains difficult to achieve in all of these three areas, taken separately or as an integrated whole. Overall, while the project is producing a virtual blizzard of anticorruption work, without assiduous effort in the remaining months of the project Ukrainian ownership of anticorruption civil society efforts is likely to remain weak and diffuse after the end of the project in April of 2009. From the beginning, the two-year timeframe for the project has meant that expectations would need to be modest for sustainability.

- **In what ways is ACTION designed to contribute to the objectives identified in the “Anticorruption Reforms” element of the US Foreign Assistance Program?**

To document the relevance of Component 1 to the United States Foreign Assistance Program, we can explore the Component’s linkages to the applicable part of the Program. Program Element 2.2.4 (Anticorruption Reforms) of the US Foreign Assistance Program promotes governmental and non-governmental institutions, processes and policies that are transparent and accountable across all development sectors.<sup>7</sup> In addition, activities associated with this Program Element support civic education and advocacy for reform of laws and practices that promote or directly improve accountability and transparency of governance processes. This Program Element features four Sub-Elements:

- Diplomatic Initiatives;
- Governmental Reform;
- Transparency and Oversight; and
- Anticorruption Enforcement.

ACTION contributes to US foreign assistance objectives in each of these areas. The project’s contribution to diplomatic initiatives is indirect, through its support of the GOU’s implementation of international agreements such as the Council of Europe’s Group of States Against Corruption (GRECO). The project’s support of the other three Sub-Elements, however, is more readily identifiable and, in areas such as civil society advocacy and corruption surveys, significant on a national scale. For details on the relationship of Component 1 to the US Foreign Assistance Program, please see Table 2 in Appendix F.

### **What are the impacts of ACTION?**

- **What impacts of ACTION are observable at this stage? What significant results are complementary to ACTION and TCP goals? What results are present that detract from forward progress toward these goals?**

While ACTION’s activities and outputs have been impressive up to this point, the project’s ability to create substantively significant, long-lasting changes in the corruption environment is less clear, and remains in large part unknown at this still early stage in the project. Impacts thus far, as detailed below, are to be found in the research and outreach areas, in local and regional-level CSO advocacy, and in enlivened investigative journalism. These areas are complementary to the objectives of the other components as well as to the overall TCP goal of reduced corruption in the public sector.

---

<sup>7</sup> US Department of State, Supplemental Reference: Foreign Assistance Standardized Program Structure and Definitions. (Washington, DC: October 15, 2007). <http://www.state.gov/documents/organization/93447.pdf>

ACTION has had a dramatic impact with its monitoring research work through the tremendous press coverage of the national baseline survey, as well as the strong dissemination efforts done with the sectoral surveys. These have stimulated a large response in the media in Kyiv and the regions. The monitoring research work has the potential to contribute to a more nuanced citizen understanding of patterns of corrupt practices, increased awareness of individuals' own roles in perpetuating these modes of behavior, and stimulated interest in anticorruption efforts.

The surveys also present a possibility for a more optimistic view towards civic activism against corruption: a third of the population asserts that they are ready to stand up for their rights in the face of opportunities for corrupt behaviors. Younger, urban and higher-income cohorts perceive the highest levels of corruption and indeed report experiencing the most corruption. These are also the cohorts most widely reached by ACTION's outreach efforts on successful anticorruption initiatives. Current survey research products do not explain whether it is these cohorts that are aware of ongoing NGO initiatives against corruption (12.7% of the population in the baseline survey), or whether they might now be more inclined to support these initiatives. The likelihood that Ukrainians would act to stand up for their rights under various situations when faced with corruption or opportunities to engage in corruption is a largely untested and underdeveloped concept in research.

In advocacy, the completed grants that we examined demonstrate that successful anticorruption work is possible in a wide variety of ways and that targeted grants are now beginning to complement the work of the other components. Yet the CSOs that work through ACTION in judicial reform, judicial monitoring, streamlining and enforcing regulations and higher education tend to have little capacity relative to the problems in these areas, their partners in component implementation, or their government and institutional targets for anticorruption reforms. To date, the potential for impacts complementary to the efforts of the other four TCP components has been far greater than the record of accomplishments.

Through its extensive training events, legal support to journalists, package of incentives for journalists to engage in investigative pieces, media grants program, and investigative journalism competitions, ACTION appears to have mobilized a significant number of journalists to produce responsible investigative stories, many of which have been published or aired in media outlets at the national and regional levels. Some interviewees suggested that the publication of more professional investigative journalism may stimulate receptivity to additional publications by editors and encourage imitation by other journalists; this would represent a multiplication of project impacts in this area. When commenting on the impacts of these efforts in the public media, some of our sources noted that the weakness lies in a low level of NGO and GOU responsiveness and follow-through regarding stories that are published or broadcast.

Overall, ACTION has a strong 1 year record of delivering on the project design. It has produced better data on corruption in Ukraine and wider understanding of the real state of corruption in the country; a wide variety of successful, local anticorruption actions by civil society organizations; and a substantial number of good investigative journalism pieces presented in the media to a diverse and large audience.

There have been some relatively minor challenges faced by ACTION in program implementation that appear to have detracted moderately from progress, but we observe nothing in the project's results to date that detract or undermine progress toward the goals of the TCP or of the other respective components.

- **Did ACTION yield results other than those planned? Are there any unexpected but important benefits or impacts of the project that should be documented?**

We have observed no notable unexpected results of the program to date.

- **What factors have hindered or assisted project performance?**

A major constraint on the achievement of substantial results has been the de facto non-participation of the central institutions of the Government of Ukraine in the project's on-the-ground activity. The discouragement of this problem initially was a major impetus for the design of the advocacy program to focus on local and regional-level activities. However, at the same time, Ukraine has a centralized political system, and legal and regulatory frameworks are developed and refined based on the capability of the central government to address these concerns. So in spite of the local emphasis of the program, GOU instability and lack of momentum has hindered progress toward ACTION's objectives.

While the financial, staffing and institutional resources at ACTION's disposal are not small, they have not been allowed the time to produce results commensurate with the problems addressed by the project. We have noted in the introduction that ACTION has not been in operation for long enough to provide sufficient evidence for a complete analysis of project impact. Similarly, approximately twenty-nine months is too short a time in which to expect that research, civil society and media institutions will improve their capacities and exercise new skills and new opportunities vis-à-vis the government to such a level that substantial changes in the corruption environment may result. If an initial assumption at the time of program design had been that substantial investment in NGO institutional capacity building would not be needed, our review of the status of ACTION grantees indicates that such an assumption would have been mistaken. While the civil society sector in Ukraine has delivered some impressive accomplishments in recent years, ACTION's difficulty in recent months in finding "champions" of anticorruption efforts appears to be a realistic indication of a lack of readiness among CSOs to take leadership roles in this area.

The TCP context, therefore, has hindered ACTION performance in at least one major way: Through the initial design, a great deal has been expected to be accomplished, in several AC sectors across the country and within a quite restricted timeframe, resulting in large quantities of project outputs but a lower-than-desired level of focus on key partners and results. A corollary result of the initial design context is that project investments, particularly in the advocacy subcomponent, have been notably diffuse, characterized by a large number of grantee organizations generally receiving modest levels of financial support and technical assistance. The project is making amends in a variety of ways in response to this recognized

need, but even with the extended time period the agenda for strengthening impact and sustainability is lengthy.

On a more positive note, the presence in-country of a number of Ukrainian organizations with impressive and substantial experience—in Citizen Report Cards and related forms of advocacy, investigative journalism and survey research, for example—has been a considerable asset to ACTION in its ability to identify strong partners and professionally carry out its work.

- **How effective have the project’s public education/outreach efforts been in informing the Ukrainian public about anticorruption?**

ACTION has had an effective public outreach, in particular around the results and analysis of the baseline survey. The fact that ten percent of the population has been exposed to the project through the media is impressive. Public awareness and education are promoted through a well-rounded package of techniques and channels, and this initiative seems to do an excellent job of collaborating with NGOs and journalists to maximize effective exposure. Preliminary data from one of ACTION’s research partners, InMind, indicate that awareness by the general adult Ukrainian public of ACTION’s activities is quite responsive to the major efforts the project’s Media Department have made, particularly in follow-up to the baseline national survey.

We did identify two areas in which there is room for improvement. First, some relatively less-experienced civil society organizations told us they could have benefited from more training or consultation in how to relate to and collaborate with public media. Secondly, ACTION’s practice of not using project financial resources for public service announcements (PSAs) could be addressed. This is a clear choice made by project management, in recognition of the expense of TV and radio air time. In a somewhat different context of Year 2, however, some limited investment in funding for PSAs may be needed if significant mass exposure to key project messages and accomplishments is not attained through the current implementation plan.

- **How effective are the CSO and media grants? Is there any evidence that these grants will lead to any significant change?**

In the advocacy area, it appears that most of the grants to civil society organizations have reached or exceeded their objectives. These grants sometimes conclude with a presentation and public relations campaign around a targeted research product, and sometimes they conclude with a targeted change in local procedures or practices. There is little evidence to date that the small CSO grants will contribute to national level changes, however, at least in the near-to-medium term. Even the largest grants to date, \$80,000 for targeted areas such as the hotline, would not reasonably be expected to lead to systemic changes in pervasive corrupt practices. In a two-year project, expectations for systemic change in these embedded practices should have been modest.

Media grants have been successful in encouraging and strengthening investigative journalism and encouraging publication of authentic investigative stories. In the Ukrainian context, it is difficult to effectively encourage authentic, professionally-prepared investigative journalism, because of a variety of factors, including the continuing inadequacy of protections for journalists and editors who take the risks associated with investigative journalism; weak financial incentives; limitations in levels of knowledge of investigative reporting methods; weaknesses in the legal and regulatory environment for obtaining access to public information; and the closed control of some major media outlets. The media grants do not play the central role in assistance to journalists on a scale equivalent to the importance of the civil society grants for NGOs; instead the media grants constitute one of several methods of ACTION assistance to investigative journalism.

The integration efforts of the project are important for linking civil society organizations with the research function as well as with the media and journalists. These three areas need to be able to work together on the local and national level to magnify the impact of their anticorruption work within each realm. In the previous section, we noted that one weakness in the overall effort lies in the tendency for investigative journalists to successfully complete their pieces and get them into the mass media without ACTION-supported NGOs successfully translating these contributions into more potent, focused advocacy with their constituencies. This remains an area for improvement in a generally very well-integrated project.

- **Are project beneficiaries (including CSOs, media and parties that are advocated/lobbied) adopting desired practices or behaviors?**

It is clear to us that beneficiaries (or target groups or institutions) are indeed adopting desired practices. Both CSOs and media reporters and editors are embracing the activities and approaches supported by the project. Our interviews, as well as the project's documentation and publicized success stories, evidence numerous examples of CSOs making use of survey research to expand awareness in their constituencies and communities, planning and carrying out often very creative awareness and advocacy campaigns, and applying pressure to authorities to carry out reforms. As we have mentioned, however, so far the prospects for longer-term sustainability of these practices look modest.

- **How is the GOU using Component 1 results?**

To date, the ACTION project has little interaction with the GOU, with the exception of the MCC TCP Secretariat, which will use ACTION research through the next national survey and sectoral surveys to track progress against some often difficult targets faced by the various components of TCP. We would assume that if the Secretariat and MCC Board were to engage directly with representatives of civil society on at least a monthly basis, as called for in the USAID-GOU Strategic Objective Agreement for TCP, the engagement of the GOU with Component 1 would be more diverse and fruitful than it has been up to this point.

### Can project implementation be improved?

- **Are there any significant or critical gaps in Component 1 implementation that require adjustment?**

The ACTION team has, overall, been strong in project implementation and has already demonstrated the capability to work with USAID management and other stakeholders to make adjustments in Year 1. At the same time, we have observed some clear areas remaining in which implementation may be improved. Areas for potential adjustment and improvement are suggested in the Recommendations section that follows.

### What opportunities may have been missed to achieve strengthened impact against corruption?

The ACTION project, because of its sweeping scope and range, intersects with many different areas relevant to anticorruption work in Ukraine. These connections have the potential to strengthen the impact of work against corruption. Because of the general lack of action over the past year and a half on the part of the GOU, many expected measures of state action to increase transparency and accountability did not arise. These weak efforts by the GOU have led to missed opportunities for greater successes to date in anticorruption.

Looking more internally at ACTION itself, we should consider design options not taken. In theory, Component 1 could have taken a more concentrated approach with the CSO grants program, providing more substantial assistance to fewer, relatively more experienced NGOs. However, the characteristics of the sector, including the continued absence of clearly-identifiable, leading CSOs that focus on anticorruption, suggest that the current approach was overall more prudent. It should be recognized, however, that costs resulting from this broad, “spread the seeds” approach include limited short-term impact restricted largely to local and regional levels as well as uncertain sustainability of interventions.

### What opportunities lie ahead for strengthening project impact?

- **How can the project collaborate better with other current MCC TCP projects?**

The four other TCP components have substantially different program designs and timelines compared to ACTION. ACTION’s challenge is to help support these other areas through NGOs that work with the project, as well as to monitor the attainment of TCP targets in these goals. Now that other components have been advanced, several envision engaging ACTION to support civil society engagement in dialogue on changed laws and regulations and outreach to the public.

- **Are there opportunities to further leverage MCC resources through increased/improved collaboration with other USG and donor programs?**

ACTION is already actively collaborating with many organizations and programs, but further opportunities can be explored, especially as the overall TCP effort deepens and intensifies in the coming months. ACTION intends during Year 2 to hold its own quarterly coordination forum to support key areas of work, such as the adoption of access to information legislation. In addition, AC advocacy may be further strengthened by closer linkages to business associations and other private sector entities as well as focused collaboration in this area with such groups as the East Europe Foundation, with its local economic development program.

- **How can the project collaborate better with the GOU?**

With a government in place and a Verhovna Rada functioning since early March of 2008, the GOU now has a clear opportunity to make progress on its commitments to the MCC, GRECO and OECD that establish areas and timetables for meaningful anticorruption reforms, including well-elaborated action plans to facilitate implementation. The MCC TCP Board may soon be reconstituted, and it must be revitalized to advocate for and support GOU reform and collaboration with the broad array of TCP-implementing organizations to fulfill the Program's ambitious agenda.

As ACTION proceeds toward its final months and focuses increasingly on greater and more enduring impact, we expect many opportunities to arise to collaborate with the various GOU institutional counterparts that are working with the other four components. Sectoral coordination sessions have become an ongoing routine method for collaboration between Component 1 and the other components. As the other components look to ACTION for assistance with civil society linkages and public outreach, this cooperation is likely to further evolve into (at least occasional) three-way coordination among GOU institutions, ACTION and another components in a way that leads to direct work with the government.

- **What is the potential for improved results from ACTION under conditions of additional time and/or funding?**

ACTION has received a no-cost extension for the project, carrying it to the end of April 2009, shortly after the planned termination of the other components of the TCP. ACTION has already reached or exceeded some of its performance targets for December 2008, while achievements of some others that are dependent upon GOU engagement are less certain.

ACTION, with additional time and funding, would be able to support further monitoring, additional advocacy, and even more investigative journalism and media action against corruption. Additional time alone would be unlikely to help, since the project already includes plans to use all resources. An additional year under the current design, with augmented funding, would likely produce only modest incremental improvement in results and sustainability.

As with almost all projects that have accomplished some success within a challenging country environment, more could constructively be done with the addition of both time and money, adding a bit of design modification for adaptation to a changed environment. For ACTION, a funded continuation to April 2010 or beyond could include:

- Continued monitoring and accompanying dissemination of these results in order to support the sustainability of anticorruption efforts in the other TCP components;
- Continued and expanded support to CSO sectoral champions, which would enhance the prospects for the sustainability of civil society advocacy in anticorruption. Champions under the current plan would be receiving only approximately one year of assistance from the project, which is likely to be far too modest and short to leave them as strong champions after ACTION concludes;
- Continued grants to a select, smaller group of CSOs, journalists and media organizations to support an active, diverse function of monitoring the progress of GOU reforms.

## 6. RECOMMENDATIONS

### 6.1. Overall Recommendations

1. Since the ACTION project is on track to meet the objectives of the design, and major shifts in the design are not possible with the short time frame remaining under the MCC TCP, this evaluation endorses the current approach planned for the final year of the project (through April 2009).
2. The MCC, US Embassy, and USAID should strongly reiterate to key GOU counterparts at the highest levels that they have committed Ukraine to the TCP and to other anticorruption efforts of the international community. To achieve TCP goals at this stage and after more than a year of mostly inaction, the GOU needs to create and support their own TCP Board, develop an action plan for how they will follow through on their commitments, and implement these critical anticorruption reforms. This will give ACTION's monitoring research, civil society advocacy, and media work additional resonance and may yet allow the project to meet the targets that depend on GOU investigations and sanctions.
3. ACTION should focus on increasing the sustainability of its partners' and grantees' work in anticorruption, which has always required more than a two-year project for monitoring research, civil society advocacy, and investigative journalism in the media.
4. USAID and ACTION should evaluate the legacy of an earlier project with methodologies and products that appear similar to the current effort in Ukraine: MSI's 2001-2006 Russian Anticorruption Partnership (RAP) program, which eventually came to link coalitions of civil society organizations in seven Russian regions. A team combining independent evaluators and project staffers may be able to extract and apply relevant lessons about longer-term impact and sustainability from these efforts. Some of the Russian oblasts were only part of the project for a year and a half, which would make it particularly interesting to see what remains in these three different regions where government collaboration, as in Ukraine, was also modest.

### 6.2. Monitoring

1. The project should continue its critical role of monitoring the progress of the overall TCP initiative and the other components through sectoral surveys, questions in KIIS omnibus surveys, and the second large national survey, which will produce data for comparison with the results of the baseline survey.
2. ACTION should further develop Ukrainian ownership and use of the monitoring research by providing incentives for think tanks and academics to use these data for their own research, which may produce more publicity for the effort, support for NGO activism, and GOU reform. To do so, ACTION should use its convening capacity to bring together university researchers and think tanks to discuss this idea

and to begin building a monitoring research community that could use, extend, and continue monitoring research anticorruption efforts after the project has concluded. Such a community could be supported initially with modest, competitively awarded stipends to encourage additional use of these data. In addition, ACTION should encourage KIIS to rapidly make all products of the monitoring, including the raw survey data, publicly available, preferably on the Web. This dissemination was expected in the project's fifth quarter and recently concluded. While a year is a brief amount of time in which to stimulate such a community and increase the prospects for sustainability, concern that the monitoring survey results will otherwise "sit on a shelf" also motivates this suggestion. Networking, modest stipends, ACTION help in dissemination and the broadened availability of survey data can encourage a Ukrainian anticorruption monitoring community to conduct secondary research and discussion, including discussion of anticorruption opportunities at the oblast level.

3. Based on our observations in the Findings chapter, we recommend that the MCC Secretariat, USAID and ACTION work together vigorously to clarify the boundaries of Secretariat involvement in ACTION's technical implementation, with the goal of an agreement by the Secretariat to assume a significantly more restrained role regarding the content and overall design of ACTION surveys.

### **6.3. Advocacy**

4. ACTION should continue to work to make reporting requirements more realistic and user-friendly for grantees, while continuing the strong emphasis on outcome and impact reporting.
5. ACTION utilizes a battery of surveys to systematically get feedback from grantees on types and levels of consultation and training needed. However, at the mid-point of the grant, additional focus group discussions with groups of grantees and individual consultations should be conducted to gather and discuss additional thoughts about next steps. The most effective approach for such an assessment likely would involve a high level of systematic input from users of the various training and consultation services supported by ACTION. In recognition of the overall project timeline, this evaluation should take place within the next few months if it is to be useful for program improvements. Based on findings from this evaluation, ACTION should make modest revisions and upgrade training and consultation approaches as needed. At this stage, as other components are preparing for civil society comments and expecting civil society advocacy in revision, passage, and implementation, ACTION should focus on making training and consultations better informed about and more directly connected to the overall AC strategy and the efforts of the other TCP components.
6. Civil society "champions" are critical to carrying this component forward, especially after the life of the project. ACTION, in collaboration with the other components and a broad segment of Ukrainian civil society leadership, needs to work hard to encourage the development of one or more issue-focused CSO coalitions, each to be lead by a champion organization. While it is tough to come up with champions for

some of the relatively technical, narrowly focused topics addressed by some components—and a year is a brief period to develop such substantial capacity—larger, more capable organizations are needed in civil society to carry on anticorruption work after the conclusion of ACTION. It may be the case that for some of the respective TCP component areas, a viable champion CSO is simply not present in the sector; in such instances our recommendation would be that ACTION should not artificially force the development of a champion but instead should invest more actively itself in support of networking and coalition building in these sectors.

7. If more resources were to be made available in future for civil society grants, we recommend that the structure of grants be substantially different from those made during the first year. A follow-on grants program should feature relatively larger grants to a smaller number of organizations to encourage concentration of support, expected results and sustainability.
8. As mentioned in ACTION's current Implementation Plan, encouraging the regional centers and working groups to collaborate with the sector champions once they are identified is crucial, as is offering structures through ACTION to facilitate this collaboration. The champions in time should take the leadership role in planning and guiding such coordination and cooperation. Networks that link regional and local NGOs with national counterparts in focused areas where anticorruption work has promise can be beneficial to both and can improve the prospects for a sustainable legacy from the project.

#### **6.4. Investigative Journalism and Other Media Anticorruption Efforts**

9. ACTION should continue grants to the media to support investigative journalism.
10. The project should continue to encourage editors and producers to use and commission solid investigative journalism themselves to develop the market for these products.
11. ACTION should consider changing its current policy of not funding public service announcements (PSAs). Using project funds (or funds raised through improved partnership with private sector firms and associations) to pay for PSAs may be a prudent investment approach if advocacy and investigative journalism are successful in the coming months, building momentum for more broad-based AC reform.
12. The project should strengthen the overall strategy and implementation approach to better link the media efforts of investigative journalists to the work of CSO grantees, TCP partners in other components, and partners in the GOU to better leverage AC-related media products into their own ongoing work. This should start through ACTION's strong convening experience, and should be developed through extensive stakeholder engagement within ACTION sub-components. Subsequently, ACTION and its leading advocacy partners could bring together the most interested

monitoring researchers and civil society activists with journalists and media management. More Ukrainian leadership and ownership should increase the prospects for collaboration in this important area after the end of the project.

## **7. LESSONS LEARNED**

While the planning and implementation of the overall Ukraine TCP is beyond the scope of this evaluation, based on our review of Component 1 we would offer that the Millennium Challenge Corporation and its country partners need to consider a Threshold Stage II arrangement for the Ukraine TCP, which would extend the period of work for the Program, including Component 1. The TCP addresses public sector corruption, a systemic syndrome of difficult, longstanding issues. We have noted that the achievements of ACTION thus far are considerable; at the same time we have also recognized in the Conclusions section that some of the formal performance targets for Component 1 appear unrealistic given the current timeframe. Targets that require increases in GOU investigations and prosecutions in response to NGO anticorruption work and the reports of investigative journalists are particularly ambitious, and the limited governmental follow-up to date suggests that these program targets are unlikely to be met. The overall TCP targets for levels of citizen experience and perception of corruption, as measured in the national survey, are also ambitious and may not be met.

Clarity of objectives would add substantially to the utility of the threshold approach. If the overall goal of the Ukraine TCP, for example, is actually to reduce corruption in the public sector, then the TCP needs to allow adequate time and resources to allow for such a result to be accomplished and subsequently verified by existing methods of applied social science research. To allow more time for such a result to occur does not reduce the aggressiveness of the effort; instead, it increases the likelihood for success.

### **7.1. Unresolved Issues**

The evaluation team identifies no unresolved issues. Recommended actions for program improvement are found in the Recommendations chapter.

## APPENDIX A - EVALUATION SCOPE OF WORK

### UKRAINE THRESHOLD COUNTRY PLAN (TCP) REDUCING CORRUPTION IN PUBLIC SECTOR COMPONENT 1: MONITORING AND EXPOSURE OF CORRUPTION (CIVIL SOCIETY)

#### I. Background

Corruption remains a significant obstacle to development in Ukraine, as confirmed by recent international indices. While Ukraine's leadership has recognized that corruption is a problem within government there had not been a comprehensive effort to combat it. International organizations and experts have repeatedly highlighted the targeted areas as significant sources of corruption, constraining economic investment and growth and limiting access to fair and equal opportunity and justice for the Ukrainian people. Initial steps for introducing reform in these areas have already been taken – including passage of the Concept of Judicial Reform, deregulation at the national and oblast levels, and passage and initial implementation of the Permit System Law. The 2006 free and fair elections to the Ukrainian Parliament firmly established a key element of anticorruption efforts, namely, an environment of free political competition. In addition to this, immunity from prosecution for local elected officials was also abolished.

Ukraine desire to strengthen international relationships and, more specifically, to build European alliances, has been a motivating factor that unites major players across the political spectrum in recognizing the need to combat corruption and agree on some level of “joint actions.” It remains the incentive and leverage for the appearance, if not the actual facilitation, of progress in the area of good governance and the development of anticorruption policies. The most evident examples of Ukraine's intentions and commitment to this path include the approval of an anticorruption Concept “On the Way to Integrity” (adopted by the Presidential Decree in September 2006); the Action Plan to Implement the Concept “On the Way to Integrity” through 2010 developed by the Cabinet of Ministers of Ukraine; the ratification of the main anticorruption conventions by the Parliament of Ukraine (the Council of Europe Criminal Law Convention on Corruption and its Additional Protocol and the UN Convention Against Corruption have been ratified by Ukrainian Parliament, yet their ratification instruments have not yet been forwarded to the Secretary General of the Council of Europe and UN); and the elaboration of the “anticorruption package” of three draft laws, which is currently under review by the relevant Parliamentary Committees.

Recently, Prime Minister Yulia Tymoshenko, asked Ukrainians to take part in improving the action plan of the new government, “The Ukrainian Breakthrough for People Rather than Politicians,” aimed at improving constitutional and legal reforms, combating corruption, and solving demographic and social problems.

Ukraine became eligible for the Millennium Challenge Corporation's (MCC) Threshold Country Plan (TCP) in 2005. The GOU's proposal for combating corruption was approved

## Ukraine MCC TCP Component 1 Midterm Evaluation Report

---

by MCC in 2006. The Strategic Objective Agreement to implement the \$45 million TCP was signed on December 4, 2006, between USAID and the Government of Ukraine (GOU). The TCP includes five distinct components:

1. Civil Society Monitoring and Advocacy;
2. Judicial Reform;
3. Government of Ukraine Monitoring and Enforcing Ethical and Administrative Standards;
4. Streamlining and Enforcing Regulations;
5. Combating Corruption in Higher Education.

USAID awarded the civil society and media program under Component 1 to Management Systems International (MSI) on December 5, 2006. The program envisions monitoring impact of the other four TCP components in addition to engaging citizen organizations and media in fighting corruption and by demanding governmental accountability and transparency. It is hoped that the TCP will:

- reduce the perceived level of corruption in all areas by 10 percent;
- reduce experiential corruption in all areas by 20 percent;
- and that 30 percent of NGO advocacy campaigns funded through the project will result in government reforms.

Assistance is being provided in the following main areas:

- Conducting national baseline survey of citizen perception of and experience with corruption in TCP target areas, followed by sectoral surveys. The national survey will be repeated at the end of the project to evaluate impact. The project supports Ukrainian NGOs in conducting surveys, disseminating results, and ensuring the widest possible access to and utilization of the data by Ukrainian civil society, mass media and the government.
- Strengthening civil society through small grant programs supporting a myriad of anticorruption activities.
- Developing investigative journalism capacity through training journalists and supporting “best investigative article” competitions.

Notable accomplishments to date include:

- Informational campaign on baseline survey results reached 1.73 million Ukrainians;
- \$1.1 million in subgrants issued to 70 civil society organizations nationwide for anticorruption activities;
- Support to 50 media organizations for legal support and resources for journalists, and establishment of national competition for best piece of investigative journalism.

## II. Evaluation Purpose

The principal focus of this midterm evaluation is to evaluate the impact of the work under Component 1 with respect to the overall goals of the TCP.

A secondary focus is to evaluate the project's;

- a) potential for achieving TCP goals by December 2008;
- b) potential for achieving TCP goals by April 2009;
- c) potential for greater returns with additional time;
- d) potential for greater returns with additional time and funding.

The USAID/Ukraine Mission – the primary audience for the evaluation – will use the evaluation to make management decisions with respect to its approach and its implementing partner's activities (such as funding adjustments and timeframe changes, as needed).

The evaluation team will not concentrate on MSI's performance in accomplishing the MCC TCP Component 1 objectives.

## III. Evaluation Questions

The evaluation team should use the questions listed below as a guide in formulating findings and recommendations as a result of this evaluation.

1. Is the approach to engaging citizen organizations and mass media in fighting corruption and demanding governmental accountability on the right course or should adjustments be made given changes in the overall assistance environment and country context?
2. Are the goals and objectives of the TCP approach being achieved?
3. How does the MCC TCP Component 1 contribute to the changes in the Program Element 2.4: Anticorruption Reforms of the USG Foreign Assistance Program?
4. Did the project yield results other than those planned? Are there any unexpected but important benefits or impacts of the project that should be documented?
5. What are the factors that hinder/assist the project performance?
6. What improvements can be made in the implementation of the project?
7. Are there any significant or critical gaps in Component 1 implementation that require adjustment?
8. Are established targets reasonable given the current project context? If not, how do they need to be modified?
9. How effective are the CSO and media grants? Is there any evidence that these grants will lead to any significant change?
10. Are project beneficiaries (including CSOs, media and parties that are/were advocated/lobbied) adopting desired practices or behaviors?
11. Are there opportunities to further leverage MCC resources through increased collaboration with other USG and donor programs?
12. How can the project collaborate better with other current MCC TCP projects?
13. How can the project collaborate better with the GOU?
14. How is the GOU using Component 1 results?

15. How effective have the project's public education/outreach efforts been in informing the Ukrainian public about the TCP?

#### **IV. Methodology**

The Evaluation Team is encouraged to propose its own approach for conducting the evaluation and seek the concurrence of USAID/Ukraine prior to the start of any work. The Evaluation Team will draw upon suitable evaluation methodologies that answer the evaluation questions credibly, subject to time and resource constraints. Once the basic methodology is selected and before actual data collection and analysis begins, the Evaluation Team will prepare a detailed data collection and analysis plan. The plan should address what will be the unit of analysis from which data will be collected; what survey, sampling, or focus group interview procedures will be followed; what instruments will be used to gather data and what methods of data analysis will be employed. The Evaluation Team shall develop a common list of questions modified as necessary for different types of interviews.

The information will be gathered via site visits, field interviews with project staff and recipients, and reviews of documentation. Both interviewing and surveying techniques could be used.

The Evaluation Team shall ensure that findings, conclusions and recommendations of the evaluation are based on data that is accurate, objective and reliable. Information gathered should be representative of and reflect results actually achieved. Emphasis will be on collection of reliable empirical data indicating success or failure and/or objectively verifiable evidence, as opposed to anecdotal evidence. Where surveys or interviews are used, appropriate sampling and questioning techniques will be utilized to ensure representative results.

The Evaluation Team will spend three days in US conducting a desk-top review of key documents:

- Government of Ukraine Millennium Challenge Corporation Threshold Country Plan, 2006;
- Cooperative Agreement between USAID/Ukraine and MSI;
- TCP Component 1 implementation plan;
- TCP Component 1 PMEP;
- MSI Component 1 quarterly reports;
- surveys prepared by the Component 1 project;
- Cooperative Agreements between USAID/Ukraine and Components 2-5 implementing partners;
- TCP Components 2-5 implementation plans;
- TCP Components 2-5 PMEPs;
- TCP Component 2-5 quarterly reports.

Other documents may be provided as needed upon the arrival of the team members from the U.S.

USAID/Ukraine shall provide the Evaluation Team with names and contact information for key individuals to be interviewed, including USAID/Ukraine staff, MSI professional staff, the project subgrantees and beneficiaries, and the GOU MCC Secretariat.

The Evaluation Team shall develop a work plan for the evaluation by the close of the second day in Kyiv, in consultation with USAID/Ukraine. The team will spend a total of eleven workdays in Ukraine conducting the evaluation.

Detailed schedules for all site visits and interviews should be developed by the Evaluation Team, together with the Kyiv-based project CTO, prior to the commencement of the evaluation in Ukraine. Logistical issues to be resolved in advance include host partner institutions to be interviewed, timing of visits to each office, and means of local travel and accommodations.

## **V. Team Composition**

The evaluation will be carried out by a two-person team of experts. One team member will act as a Team Leader.

### Team Members Qualification and Experience

Team Leader: Responsible for coordinating and directing the reporting effort, developing the research methodology and preparing and submitting the draft and final report. The team leader should have a professional background in development work in the NIS region and in the implementation of technical assistance in addressing anticorruption issues. The expert should have extensive overseas program evaluation experience, including USAID experience, preferably in the E&E region. He/she must be thoroughly familiar with organizational and teambuilding skills. Highly developed communication skills (both verbal and written), the ability to conduct interviews and facilitate discussions, and experience writing evaluation reports is required. Knowledge of USAID operation and principles would be helpful.

Team member: Must possess E&E experience and be familiar with implementing anticorruption programs. This consultant should have a professional background in development work in the NIS region and in the implementation of technical assistance in addressing anticorruption issues. Experience in evaluating effectiveness of measures to reduce corruption is critical. Regional experience and/or country knowledge is required. Good writing and presentation skills are required.

## **VI. Deliverables**

The Evaluation Team shall have the initial orientation meeting with relevant USAID/Ukraine staff.

The Team shall debrief the USAID/Ukraine at least twice (once midway through the analysis and again prior to departure) in order to keep them current on the progress of the evaluation and to resolve any issues that may arise. The Evaluation Team will debrief the

## **Ukraine MCC TCP Component 1 Midterm Evaluation Report**

---

Mission on its findings, conclusions and recommendations toward the end of the second week of its work in Ukraine.

The evaluation Team will prepare and deliver the following documents:

1. Draft Evaluation report:

A Draft Evaluation Report shall be submitted to USAID/Ukraine prior to the Evaluation Team's departure from Ukraine. USAID/Ukraine will review the draft report, give oral comments at the debriefing and submit written comments to The Evaluation Team.

2. Final Evaluation Report:

Once the Team Leader receives all written comments from USAID/Ukraine, he/she has one week to incorporate and respond to the comments from the Mission and other stakeholders; finalize and submit the Final Evaluation Report to the USAID/Ukraine CTO.

The Evaluation Team Leader has responsibility for ensuring that the Final Evaluation Report is complete, reads in a holistic manner, and follows the suggested below format.

The USAID/Ukraine CTO will be responsible for review and approval of the Final Evaluation Report.

NOTE: The Evaluation Report belongs to USAID, not to the consultants or contractors, and any use of the material in the report shall require the prior written approval of USAID.

### **VII. Time Frame**

The evaluation is scheduled to commence on/about February 27, 2008, and be completed approximately within one month including desk review and travel time. It will include approximately three days in US for documents review; three days for travel (US-Ukraine-US); two weeks in Ukraine for collecting and analyzing data and drafting Evaluation Report; one week from the reception of USAID comments for incorporating USAID comments and completing the Final Evaluation Report.

A six-day workweek is authorized for the Evaluation Team.

### **VIII. Logistics**

The Mission and USAID implementing partners will make available reports and other background documents. The Mission will assist in scheduling meetings and site visits. The Evaluation Team is required to provide all other logistical support, such as travel, accommodation requirements, translation, laptop computers, secretarial and other services. The Evaluation Team is responsible for hiring local driver with a vehicle.

### **IX. Workweek and Local Costs**

The Evaluation Team is authorized to work six days a week for this evaluation while in Ukraine.

NOTE: March 8th and 10th are local Ukrainian holidays. Contractor will be required to work on these days.

## X. Reporting and Dissemination Requirements

The final evaluation report shall document the important findings, conclusions, and recommendations of the evaluation. The body of the report should not exceed 40 pages, including an executive summary of no more than two pages; additional details and analysis, if any, should be placed in an appendix. The format of the final report should conform to the following format and guidelines, and contain the following elements:

### Table of contents

**Executive summary** — Concisely states the main points of the evaluation. Not to exceed two pages in length. Briefly presents major findings, conclusions and recommendations for changes and improvements.

**Introduction** — Summarize the evaluation purpose, audience, and questions.

**Background** — Summarize context in which the project and its components took place, problem addressed, and short description of the project to be evaluated.

**USAID assistance approach** — Describe the TCP program strategy and activities implemented in response to the problem.

**Findings** — Empirical facts collected by the evaluation team related to the evaluation questions. Findings must be supported by relevant quantitative and qualitative data. Not to exceed ten pages in length.

**Conclusions** — Evaluators' interpretations and judgments based on the findings. Not to exceed ten pages in length.

**Recommendations** — Proposed relevant and practical actions for management based on and clearly supported by conclusions. Not to exceed ten pages in length.

There should be a clear distinction in the evaluation report between findings, conclusions and recommendations. Making these distinctions enables readers to trace the reasoning used by the evaluators in reaching conclusions and proposing recommendations.

**Lessons learned** — Broader implications for similar programs in different settings or for future activities.

**Unresolved issues** — Review what remains to be done or examines unanswered questions.

**Annexes** — Include  
A. SOW

- B. Description of evaluation methods used,
- C. Data collection instruments,
- D. Schedules,
- E. Lists of persons contacted/interviewed,
- F. Statistical tables,
- G. Charts and/or graphs,
- H. Bibliography of documents consulted,
- I. Glossary of acronyms used.

## **XI. BRANDING STRATEGY (BS)**

The Evaluation of Ukraine Threshold Country Plan (TCP) Reducing Corruption in Public Sector Component 1: Monitoring and Exposure of Corruption (Civil Society) will be awarded under the Millennium Challenge Corporation Threshold Country Program will adhere to the requirements of the USAID “Graphic Standards Manual” available at [www.usaid.gov/branding](http://www.usaid.gov/branding), or any successor branding policy.

The Final Evaluation Report will be branded with the brand identity of the U.S. Agency for International Development (USAID), and will carry the message that assistance is provided by the American people. All such materials will jointly identify the U.S. Agency for International Development.

The Final Evaluation Report will also acknowledge and brand the Millennium Challenge Corporation.

## APPENDIX B – DESCRIPTION OF EVALUATION METHODS USED

### Introduction

This workplan details the approach to be taken by Democracy International, Inc. (DI) in conducting the evaluation of the Ukraine Threshold Country Plan (TCP) Reducing Corruption in the Public Sector, Component 1: Monitoring and Exposure of Corruption (Civil Society). The plan is presented in the following sections:

- Design;
- Data Collection Plan;
- Data Analysis Plan; and
- Grantee Sampling Plan

### Design

To evaluate the work done under Component 1 of the Millennium Challenge Corporation (CCC) Threshold Country Plan (TCP), the DI team has designed a study methodology that focuses on structured interviews of key informants from a wide variety of stakeholders in anticorruption work in Ukraine. By comparing and contrasting the varied views of diverse stakeholders, the team will be able to make and support sound judgments about the impact of the work of Component 1 (Project ACTION) to date and its potential impact in the future.

### Data Collection Plan

The team has used project documentation provided by Management Systems International (MSI) and USAID/Ukraine on the Threshold Country Plan and Project ACTION to design adaptable questionnaires for key informants in Ukraine. The team has begun to interview the relevant USAID/Ukraine and MSI staff, selected project grantees and beneficiaries, staff members of other donor agencies and experts engaged in civil society advocacy, and members of the GOU MCC TCP secretariat using these questions as guidelines to elicit information about project impact to date and potential impact in the future.

Most interviews will be conducted in person, with both specialists on the team present. In a few cases, for logistical efficiency the team will split to cover separate, simultaneous interviews. Also, some interviews of sources located outside of Kyiv will be done by telephone, using a speaker phone to allow both specialists to participate in the interview.

Interpretation from Ukrainian or Russian will be provided by the team as needed.

Since project ACTION has a large number of grantees and the time available for field data collection is limited, the team has selected a subset of grantees from each round of competitive grants to interview, choosing using additional selection criteria of grant size and geographic dispersal to ensure that a representative diversity of grantees are interviewed. A relatively large proportion of the grantee sample will include organizations awarded Round 1 grants, to allow the team more opportunity to gather perspectives from grantees with greater experience in implementation of Component 1 grants.

As methods to support data quality, the DI team has focused on the accuracy, objectivity and reliability of the information gathered through:

- Adequate substantive and methodological preparation by the team;
- Use of standard sampling techniques for selection of interviewees;
- Use of written interview guides, as described above, to reduce opportunities for interviewer or interviewee bias in collection of interview data;
- Triangulation of data sources, to strengthen overall reliability of findings and help guard against the influence of anecdotal evidence; and
- Deliberations within the evaluation team regarding reliability of findings and soundness of conclusions and recommendations.

### **Data Analysis Plan**

The Scope of Work for this evaluation calls for two main issues to be addressed:

1. The impact of the work of Component 1 with respect to the overall goals of the TCP; and
2. To evaluate the project's potential for achieving:
  - a. The goals of Component 1 by December 2008;
  - b. The goals of Component 1 by April 2009;
  - c. Greater returns with additional time; and
  - d. Greater returns with additional time and funding.

The first issue, analysis of program impact, is to be considered the primary substantive focus of the evaluation. In addition, USAID/Ukraine plans to use the evaluation to inform future management decisions with respect to its programming approach (in such areas, for example, as funding adjustments and timeframe changes, as needed). The analysis therefore needs to provide sufficient information about impact and the programming options available to the Mission and its partners so that the evaluation's conclusions are factually grounded and recommendations are practical.

#### **1. Analysis of Impact**

When addressing questions of project impact, the focus is typically on relatively longer-term, significant effects a program intervention may have had on the country, sector or beneficiary environment. An attempt is made to determine the extent to which the project or program may have been the causal source of observed results. In addition, an impact analysis should examine a project's performance with attention to both the areas in which progress has been weak or limited as well as those in which there are observed positive achievements. The analysis should consider any possible unexpected as well as planned results of the project. Finally, an impact analysis should consider counterfactual questions, such as what may have happened if the program had not been implemented or had been implemented in a different fashion.

Particular items included in our interview guides will allow the evaluation team to consider and analyze all of these elements of impact.

The reliability of an analysis of impact is enhanced to the extent that:

- Observed outcomes may reasonably be attributed to the program being evaluated;
- The impact evaluation is timed properly, to allow for observation of lasting and significant project results;
- Logistical factors, such as the time available for field data gathering, allow for collection of a representative sample of data sources that can provide in-depth analysis of cause-and-effect relationships.

In this evaluation, the impact analysis faces notable limitations in all of these areas. Perhaps the most important among these is that it may be too early to “capture” project impacts through our data collection. In addition, given that Component 1 has been in implementation for somewhat less than sixteen months, it is difficult to gain perspective on the substantive significance of results that may be observed. With the resources available to the evaluation, the DI team will respond to these challenges by applying the data quality assurance measures outlined above. In addition, we plan to make use of restrained professional judgment and “reality-checking” with knowledgeable sources in Ukraine as we develop our initial findings.

The primary mode of analysis will necessarily be qualitative, based on narrative information gathered from interviews and related documents. A small number of tables or graphs will also be included to present description of basic elements of the Component 1 program, including numbers of grants in sectoral theme areas, number of persons trained, etc.

## 2. Scenario Analysis

The second main issue the evaluation will address is that of the expected potential for Component 1 to achieve its goals under various time and budget circumstances, or scenarios. For this analysis, the evaluation team will collect information from documents and interviews of knowledgeable individuals concerning:

- The patterns of resource use in Component 1 to date;
- Observable relationships between resource investments of various kinds and project results;
- Elements of the current Component 1 Implementation Plan that may call for different project investment patterns from those in the past; and
- Factors in the project environment, such as shifts in partners’ capacities or changes in the national-level climate for anticorruption efforts.

The scenario analysis will utilize such information to support a structured narrative discussion of the reasonable prospects for Component 1 to reach its goals—or to deliver further achievements—under various time and resource circumstances.

## **Grantee Sampling Plan**

### First Round:

1. Olga Aivazovska and Tetiana Boyko, Opora
2. Iryna Movchan, Center for Ukrainian Reform Education
3. Svitlana Kas'yan, Cherkasy Regional Committee of Soldiers' Mothers
4. Natalia Drozd, Center for Social Welfare
5. Valentyna Lototska, Vinnitsa Regional Youth NGO "Nashe Podillya"
6. Lilia Guk, Center of European Youth Communication "For Common Future"

### Second Round:

1. Dmitro Lyapin, Institute of Competitive Society
2. Olena Gazizova, Pylp Orlyk Institute
3. Nelya Laika, Sumy Oblast Committee of Youth Organizations
4. Iryna Konchenkova, Kyiv School of Equal Opportunities
5. Anna Chalaya, The Support Association of Local Self-Government Development

### Rural NGOs:

1. Oksana Saneyeva, Union of Entrepreneurs in Khrystynivka District
2. Enver Vahapov, League of Crimean Tatar lawyers "Initsium"
3. Stanislav Ignat'ev, NGO "Department of Youth Initiatives"

### Report Cards:

1. Diana Bondar, Zhytomyr Municipal Relief Association of Mental Patients Relatives
2. Vira Popsuy, Severodonetsk Community Development Agency

### Innovation NGO grants:

1. Lyubomyr Chorniy, Center for Public Expertise
2. Olesya Aronets, Youth Public Center "Etalon"

### Media grantees:

1. Oleg Khomenok and Kateryna Laba, Regional Press Development Institute (media grantee)
2. Maryana Demkova, Center for Political and Legal Reforms

## APPENDIX C – DATA COLLECTION INSTRUMENTS

### Interview Questions for Civil Society Organization Grantees

#### Introduction

USAID has called upon Democracy International, a consulting firm located in Washington, DC, to carry out an evaluation of TCP Component 1. The principal focus of the evaluation is to assess the impact, so far, of the work under Component 1, especially in respect to the overall goals of the TCP. In addition, the evaluation will examine the project's potential for achieving the TCP goals under various timeline and funding scenarios.

As a grantee in this project, you have experience and perspective that can be very useful to our evaluation team in conducting this assessment. Thank you for your willingness to talk with us. Please understand that the information you provide us today will be kept confidential; none of the content of what you say will be associated directly with you or your organization in our report. We look forward to your honest comments and suggestions for improving the project.

If you have questions or further comments following our discussion, you are welcome to contact Mr. Jim Fremming, the Evaluation Team Leader, at [jim.fremming1@verizon.net](mailto:jim.fremming1@verizon.net).

#### Questions

1. Could you please describe for us briefly **how and why your organization came to apply** for a grant through Component 1?
2. Please outline for us the **program results** intended by the grant, and the **extent to which these results have been reached** up to today. If the results were greater than, or less than, originally expected, please tell us why you think this is so.
3. Please think for a minute about what your organization might have been doing if it had **not** been awarded this Component 1 grant. If it had not gotten the grant, would your organization have been able to achieve similar results? How would that have happened? Would you have been able to obtain funding from another source?
4. Looking back upon the **design** of the activities under this grant, would you say that the design was **appropriate** for the context (in your organization and in the community) in which the activities took place? Why do you give this answer?
5. Has your organization carried out any **related or follow-on activities** based upon your experience with this grant? *[If yes:]* What were these additional activities?

6. Did your work under this grant bring about or encourage any results—positive or negative—that were **not** intended as part of the grant design? *[If yes:]* Could you tell us about these?
7. Thinking now of project **implementation** under the grant, what factors were particularly **helpful or useful** in ensuring that the project would perform as planned? These factors might be related to characteristics of your own organization, relationships it may have with other NGOs or governmental authorities, the role of MSI, USAID or other organizations supporting the project, or other factors.
8. Continuing with regard to implementation under the grant, what factors may **not** have been helpful or hindered project performance? Again, the possible factors might be associated with characteristics of your own organization or with the roles of others.
9. Overall, based on your experience with Component 1 up to this point, **what improvements do you think could be made** in the manner in which the component is implemented? ...Why do you say so?
10. Based on your knowledge and experience, are there ways in which Component 1 might work more effectively with **Ukrainian government authorities**? *[If yes: Probe for details]*
11. How effective, in your view, have the Component 1 **outreach and awareness efforts** been, overall, in informing the general public about the TCP and its goals? Why do you say so?
12. Finally, do you have any other suggestions for how this program might be made more effective?

Thank you very much for talking with us.

## **Interview Questions for Project Staff and Management**

### **Introduction**

USAID has called upon Democracy International, a consulting firm in Washington, DC, to evaluate the TCP Component 1 program, civil society monitoring and exposure of corruption. The principal focus of the evaluation is to assess the impact, so far, of the work under Component 1, especially in respect to the overall goals of the TCP. In addition, the evaluation will examine the project's potential for achieving the TCP goals under various timeline and funding scenarios.

As the staff and management in this project, your experiences and perspectives are central to conducting this assessment. Thank you for your willingness to talk with us. Please understand that the information you provide us today will be kept confidential; none of the

content of what you say will be associated directly with you in our report. We look forward to your honest comments and suggestions for improving the project.

If you have questions or further comments following our discussion, you are welcome to contact Mr. Jim Fremming, the Evaluation Team Leader, at [jim.fremming1@verizon.net](mailto:jim.fremming1@verizon.net).

### Questions

1. To start the evaluation, it is important to understand the concepts behind the program. Why do you think engaging citizen organizations and the mass media in fighting corruption and demanding governmental accountability will reduce corruption in Ukraine? Please explain.
2. Is the program on the right course to reach the goals and objectives of the TCP? How do you know if it's on the right track or alternatively whether adjustments should be made in the project?
3. Has the project to date yielded results other than those planned? Have you or the project recognized there any unexpected but important benefits or impacts of the project that should be documented?
4. What factors do you see that hinder or assist project performance? Why?
5. What improvements would you suggest to the implementation of the project? Why?
6. Are there any significant or critical gaps in Component 1 implementation that you think require an adjustment in the program?
7. Are the established targets for the program reasonable given the current project context? If not, how should they be modified?
8. How effective do you believe the CSO and media grants are? What is the evidence to date that these grants will lead to any significant changes?
9. Are project beneficiaries (including CSOs, media and parties that are/were advocated/lobbied) adopting desired practices or behaviors? How do you know?
10. Do you know of any opportunities to further leverage MCC resources through increased collaboration with other USG and other donor programs?
11. How do you think that the project collaborates with other current MCC TCP projects? How could this collaboration be strengthened?
12. How does the project collaborate with the GOU? How could this collaboration be strengthened?
13. How does the GOU use Component 1 results?

14. How effective do you think the project's public education/outreach efforts been in informing the Ukrainian public about the TCP?
15. Finally, do you have any other suggestions for how this program might be made more effective?

Thank you very much for talking with us.

## APPENDIX D – PROJECT SCHEDULE

### Monday, March 10, 2008

**16:00 – 17:00** Meeting with Yuhani Grossmann, Chief of Party, MSI/ACTION  
Address: 16 Henri Barbusse Str. Office 78, 17<sup>th</sup> Floor; tel: +38 (044) 220-10-29;  
Yuhani's cell: 8 (050)446-43-20

### Tuesday, March 11, 2008

**09:00– 09:30** Meeting with NGOs, MSI/ACTION grantees at St. Petersburg Hotel, Kyiv

**10:00– 13:00** MSI/ACTION sectoral meeting  
Address: 4 Shevchenko Blvd; St Petersburg Hotel

Lunch

**14:00 – 14:30** In-briefing meeting with Peter Argo, Deputy Mission Director  
Address: 19 Nizhniy Val Str. tel: 537-46-00;  
Sveta's direct: 492-71-05; cell: 8 (050) 310-05-12

**15:00 – 16:00** In-briefing meeting with Judith Schumacher, Program Office  
Director, and TCP coordinators Roman Woronowycz, Program  
Office, Kerry Monaghan, Office of Democracy and Governance,  
Bohdan Chomiak, Office of Economic Growth (2<sup>nd</sup> Floor  
Conference Room)

**16.30 – 17.30** Meeting with Victoria Marchenko, CTO of TCP Component 1

### Wednesday, March 12, 2008

**9:00 – 10:30** Meeting with members of MCC Secretariat  
(Andrey Palyanytsia, Ivan Shvets)

**11:00 – 12:00** Meeting with Matthew Langhenry, Program Manager, DOJ/ICITAP

**12:00 – 13:00** Lunch

**13:30 – 14:30** Meeting with Yarema Bachynsky, COP, Christina Pendzola –Vytovych,  
Component 5 (USETI)  
Address: 63 Melnikova Str, 1<sup>st</sup> Floor, ACCELS, tel: 482-02-22

**15:00 – 18:00** Team works to finalize workplan

**Ukraine MCC TCP Component 1  
Midterm Evaluation Report**

---

**Thursday, March 13, 2008**

- 09:00 – 10:00** Meeting with Dmitry Liapin, Institute for Competitive Society, MSI grantee  
Location: “Coffee House”, opposite Radisson SAS hotel. Note:  
Dmytro’s cell is with Ilona. Interpreter needed.
- 10:30 – 11:30** Meeting with David Vaughn, COP, Chemonics International Inc.  
(Component 2 Combating Corruption and Strengthening Rule of Law  
in Ukraine)  
Address: 36 I.Franko Str, Office #3, 3<sup>rd</sup> Floor, tel: 581-33-03
- 12:00 – 13:00** Meeting with Andrey Astrakhan and Tanya Dudka, Strategic  
Communications Director for TIBA (Component 4 Streamlining and  
Enforcing Regulations)  
Address: 126 Ihorevska Street, tel: 490-33-50
- 13: 00 – 14:30** Lunch
- 15:00 – 16:00** Meeting with Inna Topol, TCP coordinator, (Component 2  
Enforcement of Judicial Decisions)  
Address: 13 Kruglouniversitetskaya, tel: 490-65-75

**Friday, March 14, 2008**

- 09:00 – 10:00** Meeting with Sarah Lord, Regional Legal Adviser, DOJ/OPDAT, at  
USAID
- 10:30 – 11:30** Meeting with Iryna Movchan, Center for Ukrainian Reform  
Education  
Address: 2B Mykylsko-Slobidska Str, Room 285, 13<sup>th</sup> Floor; 3  
Entrance; Iryna’s cell phone: 8 (050) 331-87-61 (interpreter needed)
- 12:00 – 13:00** Meeting with Roman Shlapak, the Council of Europe  
70a Bohdana Khmelnytskogo Street, 2 Floor  
Office: 234-61-40  
Roman’ cell: 8 (068)350-34-67 (no interpreter)
- Afternoon** Phone interviews of grantees
- 15:00** Center for Social Welfare “Dobrochyn”, Chernihiv (1<sup>st</sup> Round)  
Natalia Drozd: 8(0462)67-71-81
- 16:00** Meeting with Ilko Kucheriv, Democratic Initiatives Foundation
- 17:00** The Support Association of Local Self-Government Development  
(SALSGD)

Lugansk (2<sup>nd</sup> Round)  
Anna Chalaya: 8(0642)346061

**Saturday, March 15, 2008**

**12:00** Phone Interview with Diana Bondar, Zhytomyr Municipal Relief Association of Mental Patients relatives “Support”: 8(097)3528369

**13:00 – 14:00** Lunch with Yuhani Grossmann  
Address: “Repriza” in Bohdana Khmelnytskogo Street

**Monday, March 17, 2008**

**09:00 – 10:00** Meeting with Lyubomyr Chorniy, Center for Public Expertise + other representatives of the organization  
(At the Coffee House opposite the Radisson SAS hotel, Lyubomyr’s cell phone: 8 (093) 246-02-46) (no interpreter)

**10:30 – 11:30** Meeting with Kateryna Laba and Oleg Khomenok, Regional Press Development Institute (no interpreter)  
Address: 3 Pecherskiy Uzviz, office 404, tel: 8 (050) 351-41-79 (Katya)

**12:00- 13: 00** Meeting with Iryna Konchenkova, Kyiv School of Equal Opportunities  
Address: 23 Volgozradska Street, Office 32, tel: 240-43-26 (interpreter)

**13:30 – 14:15** Meeting with Maxym Latsyba, Ukrainian Center for Independent Political Research (UCIPR),  
Address: 4/26, Pyrogova Street, Suite 20, tel: 8044 599-4251  
Maxym’s cell: 80977864340 (interpreter)

**14:15 – 15:30** Lunch

**16:00 – 17:00** Meeting with Maryana Demkova, Center for Political and Legal Reforms  
Address: 8 Kostolna, office 24, tel: 278-63-87; 8 (067) 409-15-60 (interpreter)

**Ukraine MCC TCP Component 1  
Midterm Evaluation Report**

---

**Tuesday, March 18, 2008**

**09:00 – 10:00**

**10:30 – 11:30**

Meeting with Volodymyr Krutko, All Ukrainian Youth Non-Governmental Organization “Student Republic” (interpreter)  
Address: 107 Antonovycha (Gorkogo Street); cell: 8 (050) 533-69-63

**12:00 – 13:00**

Meeting with Yuriy Piskaliuk, Eurasia Foundation  
55 Velyka Vasylykivska, 3<sup>rd</sup> floor. Office: 8(044) 200-38-24

**12:00 – 13:00**

Meeting with Volodymyr Paniotto, Tatiana Petrenko, Kyiv Institute of Sociology (no interpreter)  
Address: 8/5 Voloska Street, building 4, 2<sup>nd</sup> Floor, left at the end of the corridor; Tetiana’s cell: 8 (050) 763-85-89

**13:00 – 14:00**

Lunch

**14:30 – 15:30**

Meeting with Olga Aivazovska and Tetiana Boyko, NGO Opora  
Address: 3/7 Mezhygirska, cell: 8(063) 617-97-50 (Olga); office: 425-31-55

**16:00 – 17:00**

Meeting with Oleksandr Sydorenko, Innovation and Development Center (IDC)  
Address: 28 Esplanadna Street office# 7,  
cell: 8(050) 3559511 (Oleksandr); office: 2467205 (no interpreter)

**Wednesday, March 19, 2008**

Report drafting

**Thursday, March 20, 2008**

Report drafting

**Friday, March 21, 2008**

**16:00 – 17:00**

Debriefing meeting on findings at USAID

**Saturday, March 22, 2008** Leave for Washington D.C

## APPENDIX E – INDIVIDUALS CONTACTED

| NAME                | AFFILIATION  |
|---------------------|--|
| Aivazovska, Olga    | Opora  |
| Argo, Peter         | USAID/Kyiv   |
| Aronets, Olesya     | Youth Public Center “Etalon”   |
| Astrakhan, Andrey   | TIBA   |
| Bachynsky, Yarema   | ACCELS   |
| Bondar, Diana       | Zhytomyr Municipal Relief Association of Mental Patients Relatives   |
| Boyko, Tetiana      | Opora  |
| Chalaya, Anna       | The Support Association of Local Self-Government Development         |
| Chlapak, Roman      | The Council of Europe/Kyiv   |
| Chorniy, Lyubomyr   | Center for Public Expertise  |
| Demkova, Maryana    | Center for Political and Legal Reforms                               |
| Drozd, Natalia      | Center for Social Welfare, Chernihiv                                 |
| Dudka, Tanya        | TIBA   |
| Enver, Vahapov      | League of Crimean Tatar lawyers “Initsium”                           |
| Gazizova, Olena     | Pylyp Orlyk Institute  |
| Grossmann, Yuhani   | ACTION   |
| Guk, Lilia          | Center of European Youth Communication “For Common Future”           |
| Ignat’ev, Stanislav | NGO “Department of Youth Initiatives”                                |
| Kas’yan, Svitlana   | Cherkasy Regional Committee of Soldiers’ Mothers                     |
| Khomenok, Oleg      | Regional Press Development Institute                                 |
| Kolos, Larysa       | Kyiv School of Equal Opportunities                                   |
| Konchenkova, Iryna  | Kyiv School of Equal Opportunities                                   |
| Krutko, Volodymyr   | All Ukrainian Youth Non-Governmental Organization “Student Republic” |
| Kucheriv, Ilko      | Foundation “Democratic Initiatives”                                  |
| Laba, Kateryna      | Regional Press Development Institute                                 |
| Laika, Nelya        | Sumy Oblast Committee of Youth Organizations                         |
| Langhenry, Matthew  | U.S. DOJ/ICITAP  |
| Latsyba, Maxym      | Ukrainian Center for Independent Political Research                  |
| Levchenko, Oleg     | OPORA and the Podil Agency of Regional Development                   |

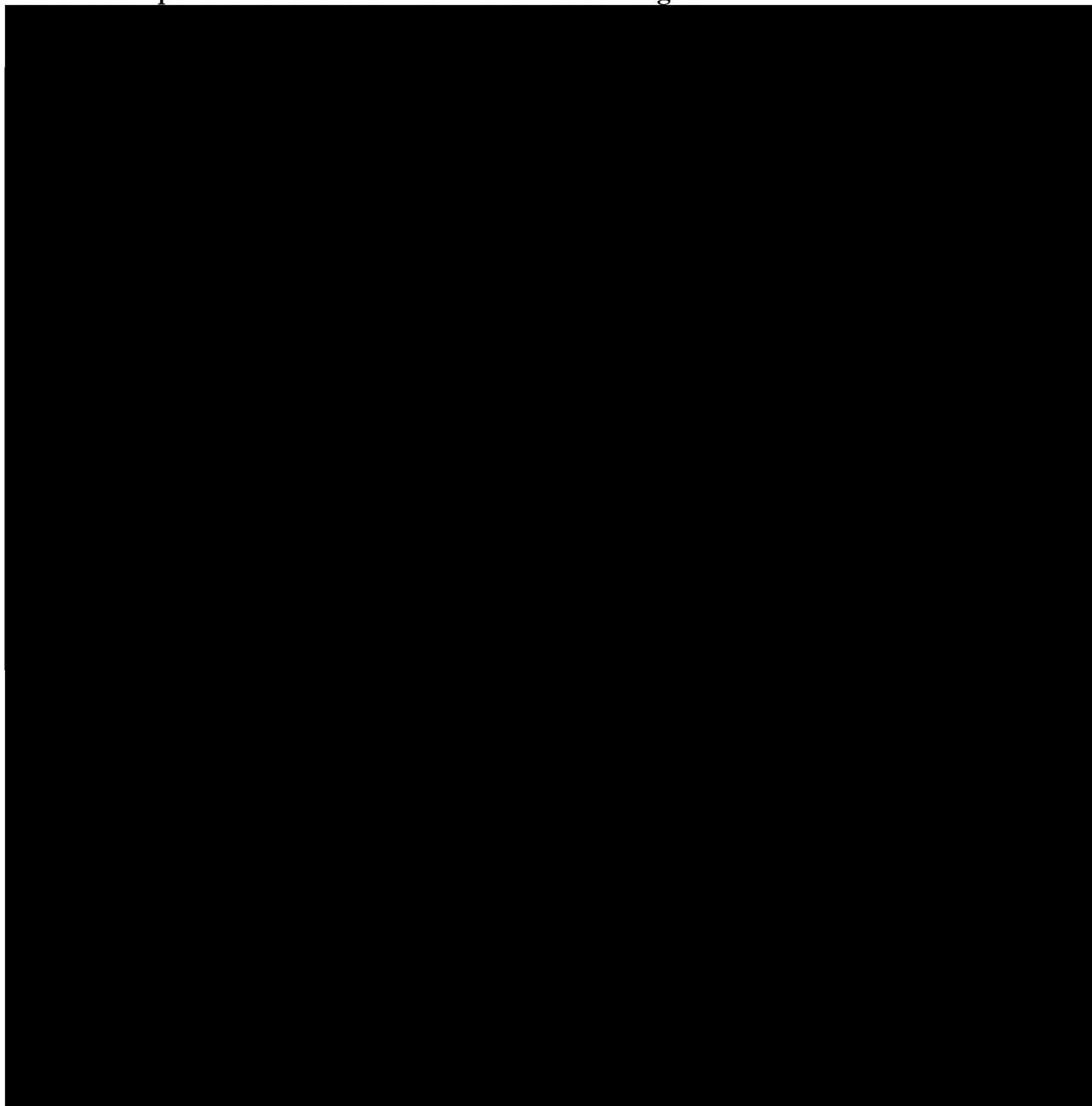
**Ukraine MCC TCP Component 1  
Midterm Evaluation Report**

---

| NAME                 | AFFILIATION   |
|----------------------|---|
| Lord, Sarah          | U.S. DOJ/OPDAT  |
| Lototska, Valentyna  | Vinnitsa Regional Youth NGO “Nashe Podillya”                                |
| Lyapin, Dmitro       | Institute for Competitive Society   |
| Marchenko, Victoria  | USAID/Ukraine   |
| Movchan, Iryna       | Center for Ukrainian Reform Education                                       |
| Palyanytsia, Andrey  | MCC TCP Secretariat   |
| Palyvoda, Lyubov     | ACTION  |
| Paniotto, Volodymyr  | Kyiv International Institute of Sociology                                   |
| Petrenko, Tatiana    | Kyiv International Institute of Sociology                                   |
| Piskaliuk, Yuriy     | East Europe Foundation  |
| Popsuy, Vira         | Severodonetsk Community Development Agency                                  |
| Shalimova, Anna      | Anticorruption Committee, Transparency International National Contact Group |
| Saneyeva, Oksana     | Union of Entrepreneurs in Khrystynivka District                             |
| Shvets, Ivan         | MCC TCP Secretariat   |
| Spector, Bertram     | MSI/Washington  |
| Sydorenko, Oleksandr | Innovation and Development Center   |
| Topol, Inna          | Commercial Law Center   |
| Vaughn, David        | Ukraine Rule of Law Project   |
| Wiebler, Peter       | USAID/Ukraine   |
| Winbourne, Svetlana  | MSI/Washington  |

## APPENDIX F – STATISTICAL TABLES

Table 1: Component 1 and Overall TCP Performance Targets

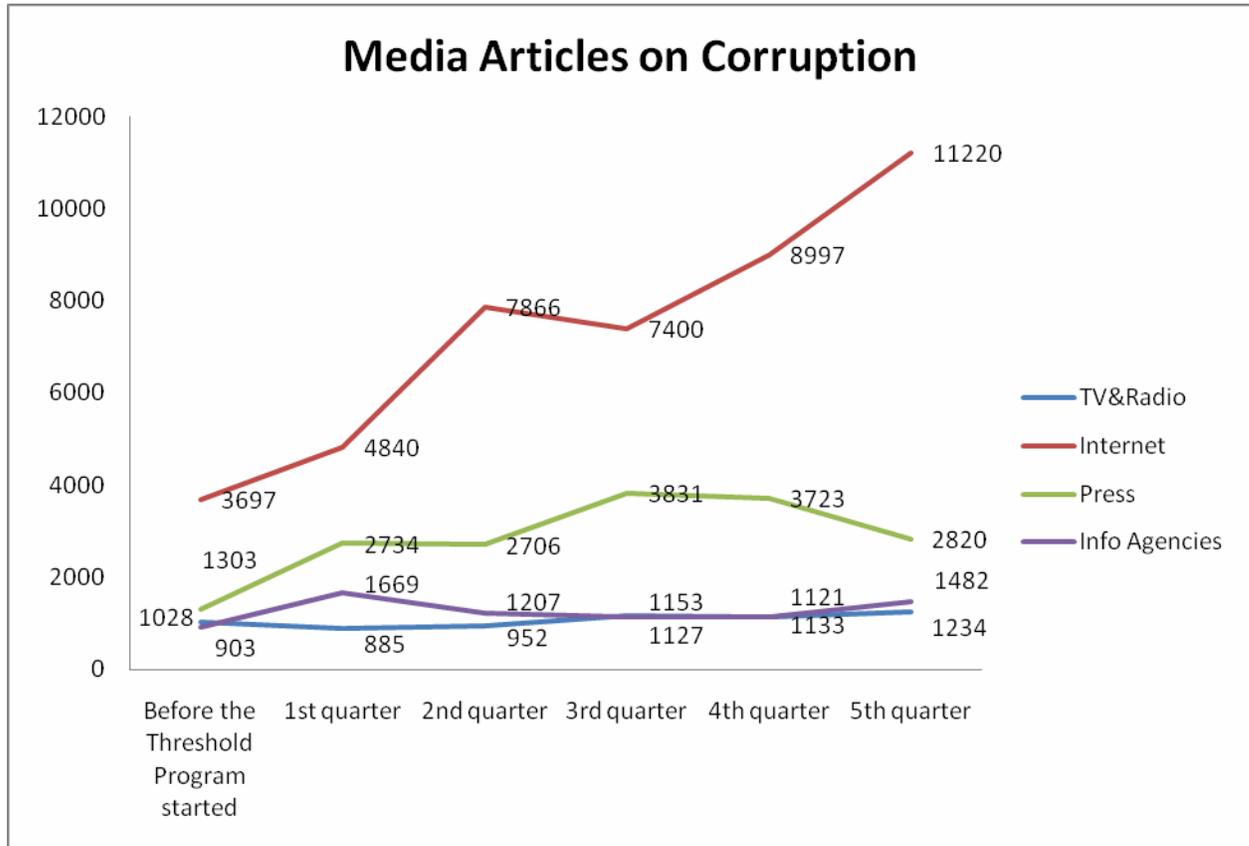


**Table 2: Sub-Elements of U.S. Foreign Assistance Program Element 2.2.4 (Anticorruption Reforms) and Associated ACTION Project Activities**

| <b>U.S. Foreign Assistance Program Sub-Element</b> | <b>Method(s) of ACTION Support</b>   |
|--|--|
| 2.2.4.1: Diplomatic Initiatives                    | Indirectly supports the GOU's implementation of related treaties and agreements, such as GRECO   |
| 2.2.4.2: Governmental Reform                       | Through monitoring, civil society advocacy and assistance to media anticorruption efforts, supports public administration reform, local government transparency, government ethics regimes, regulatory reform, administrative law reform, and customs administration to reduce corruption  |
| 2.2.4.3: Transparency and Oversight                | Through monitoring and civil society advocacy, supports development of internal investigation units and legislative oversight (particularly at local levels). Provides major support to civil society advocacy and oversight, corruption surveys, complaint mechanisms, access to information legislation, investigative journalism, open budget processes and public education campaigns. |
| 2.2.4.4: Anticorruption Enforcement                | Through monitoring and civil society advocacy, supports development and improvement of internal oversight mechanisms and improved transparency in customs enforcement.   |

## APPENDIX G – GRAPH OF MEDIA ARTICLES ON CORRUPTION

CHART 1: Number of Media Articles on Corruption, Autumn 2006 – Spring 2008



(Source: ACTION)

## **APPENDIX H – BIBLIOGRAPHY**

Cabelkova, Inna, "Perceptions of Corruption in Ukraine: Are they Correct?" . CERGE-EI Working Paper No. 176. Available at SSRN: <http://ssrn.com/abstract=288726>

Chebanenko, O. et. al. "Ukraine: Year After Elections." In Ukraine: Year After Elections - Regions Monitoring. Kyiv: Laboratory of Legal Initiatives, Civic Movement OPORA, and Committee of Voters of Ukraine. 2007.

Commercial Law Center, Performance Monitoring and Evaluation Plan (PMEP), USAID, November 2007.

Department of Justice (DOJ), ICITAP Performance Monitoring and Evaluation Plan (PMEP). ND.

DOJ, Ukraine TIBA Performance Monitoring Plan. ND.

Government of Ukraine. Istanbul Anticorruption Action Plan for Armenia, Azerbaijan, Georgia, Kazakhstan, the Kyrgyz Republic, the Russian Federation, Tajikistan and Ukraine: Monitoring of National Actions to Implement Recommendations Endorsed During the Reviews of Legal and Institutional Frameworks for the Fight against Corruption – UKRAINE Update about actions to implement the recommendations taken during December 2006-September 2007. Presented by Ukraine at the 7th Monitoring Meeting on 26-28 September 2007. 23 October 2007.  
<http://www.oecd.org/dataoecd/63/11/39527019.doc>

Group of States Against Corruption (GRECO). Joint First and Second Evaluation Rounds: Evaluation Report on Ukraine. Strasbourg: Council of Europe. 21 March 2007.  
[http://www.coe.int/t/Dg1/Greco/evaluations/round2/GrecoEval1-2\(2006\)2\\_Ukraine\\_EN.pdf](http://www.coe.int/t/Dg1/Greco/evaluations/round2/GrecoEval1-2(2006)2_Ukraine_EN.pdf)

IFES, Preliminary Findings: IFES November 2005 Survey in Ukraine.  
[http://www.ifes.org/publication/cbbe1bf1d5fcafe778b3785f3642b8d9/Ukraine\\_Public\\_Opinion\\_Key\\_Findings\\_2005.pdf](http://www.ifes.org/publication/cbbe1bf1d5fcafe778b3785f3642b8d9/Ukraine_Public_Opinion_Key_Findings_2005.pdf)

InMind, Analytical report on the first stage of the project: "Research of effectiveness of PACE Information campaign on National Survey of Corruption." ND.

InMind, Analytical report on the 2<sup>nd</sup> wave, 2<sup>nd</sup> subwave of the project: "Effectiveness research for the 'Promotion of public active participation in countering corruption in Ukraine.'" ND.

InMind, Analytical report on the 2<sup>nd</sup> wave, 3<sup>rd</sup> subwave of the project: "Effectiveness research for the 'Promotion of public active participation in countering corruption in Ukraine.'" ND.

InMind, Report on the project “Program efficiency research ‘Assistance in active citizens’ participation in corruption resistance in Ukraine.” July 2007

Kaufmann , Daniel. “Myths and realities about Governance and Corruption: Global evidence and lessons for Ukraine. Kyiv: ICPS. June 15, 2005.  
[http://siteresources.worldbank.org/INTWBIGOVANTCOR/Resources/ICPS\\_Kiev\\_0605\\_english\\_hndt.pdf](http://siteresources.worldbank.org/INTWBIGOVANTCOR/Resources/ICPS_Kiev_0605_english_hndt.pdf)

Kyiv International Institute of Sociology (KIIS), Corruption in the judicial system of Ukraine: thoughts and opinions of Ukrainian population. October 2007.

KIIS, Study of Corruption in Ukraine: thoughts and opinions of Ukrainian population. December 2007.

KIIS, Corruption in Ukraine – Survey Questionnaire. March 2007.

Management Systems International, Inc. (MSI), Promoting Active Citizen Engagement (PACE) in Combating Corruption in Ukraine: Implementation Plan, March 19, 2007.

MSI. Corruption Assessment: Ukraine – Final Report. PN-ADK-247. February 10, 2006. Washington: USAID. [http://pdf.usaid.gov/pdf\\_docs/PNADK247.pdf](http://pdf.usaid.gov/pdf_docs/PNADK247.pdf)

MSI. Public-Private Partnerships Against Corruption in Russia: Final Report. Washington: USAID. February 28, 2007. [http://pdf.usaid.gov/pdf\\_docs/PDACJ290.pdf](http://pdf.usaid.gov/pdf_docs/PDACJ290.pdf)

MSI. Assessing corruption & anticorruption programs in Primorskiy Krai : comparison of surveys, 2004-2006. Washington: USAID. December 10, 2006 .  
[http://pdf.usaid.gov/pdf\\_docs/PNADI687.pdf](http://pdf.usaid.gov/pdf_docs/PNADI687.pdf)

MSI, Promoting Active Citizen Engagement (ACTION) in Combating Corruption in Ukraine: Implementation Plan (December 5, 2007-December 4, 2008). February 19, 2008.

MSI, Promoting Active Citizen Engagement (PACE) in Combating Corruption in Ukraine: Performance Monitoring and Evaluation Plan, March 23, 2007.

MSI, Promoting Active Citizen Engagement in Combating Corruption in Ukraine (PACE): Quarterly Report: December 5, 2006-March 4, 2007. April 25, 2007.

MSI, Promoting Active Citizen Engagement in Combating Corruption in Ukraine (ProACE): Quarterly Report: March 5, 2007-June 4, 2007. July 4, 2007.

MSI, Promoting Active Citizen Engagement in Combating Corruption in Ukraine (ACTION): Quarterly Report: June 5, 2007-September 4, 2007. October 4, 2007.

MSI, Promoting Active Citizen Engagement in Combating Corruption in Ukraine (ACTION): Quarterly Report: September 5, 2007-December 4, 2007. December 19, 2007.

## Ukraine MCC TCP Component 1 Midterm Evaluation Report

---

MSI, Corruption in Ukraine: 2007 Baseline National Survey for the MCC Threshold Country Program. May 10, 2007

MSI, List of NGO Grantees, December 2007, ND.

MSI, Brief Information on Projects, ND.

MSI, Summary of Grant Programs, ND.

MSI, Action Grantee Reform Results, ND.

MSI, NGO and Combating Corruption: Role, Stage and Perspectives: Report on Study Results. March 2007. <http://www.pace.org.ua/content/category/1/20/53/lang,en/>  
(See also MSI. НУО ТА ПРОТИДІЯ КОРУПЦІЇ: РОЛЬ, СТАН, ПЕРСПЕКТИВИ ЗВІТ ПРО РЕЗУЛЬТАТИ ДОСЛІДЖЕННЯ. Березень, 2007 for the full study in the Ukrainian. <http://www.pace.org.ua/content/category/1/20/53/lang.uk/>)

MSI, Action Research, ND.

MSI, Monthly Public Activity Plan, March 2008.

MSI, Action weekly update 26 February -4 March 08.

MSI, Grantee Report: Public Recognition for Courageous Ukrainian Journalists. ND.

MSI, Grantee Report: Fighting Dragons in Vinnytsia. ND.

MSI, Grantee Report: Learning about the negative consequences of corruption inspires youth in Donetsk to seek change. ND.

MSI, Grantee Report: Eviction of artists halted on Andriivsky Uzviz. ND.

MSI, Grantee Report: “New generation chooses”... to combat corruption in higher education. ND.

MSI, Press Release: The Cost of Corruption. ND.

MSI, Press Release: Adult Population Distrusts Judicial System. ND.

MSI, Press Release: Ukrainians Consider State Authorities on Land Extremely Corrupt. ND.

MSI, Press Release: Who Benefits from Corruption in Traffic Patrol? ND.

Neutze, Jan, and Adrian Karatnycky. “Corruption, Democracy, and Investment in Ukraine.” Project Report. Washington: The Atlantic Council of the United States. October 2007.

Organisation for Economic Co-operation and Development (OECD) Anticorruption Network for Eastern Europe and Central Asia (ACN) Anticorruption Action Plan for Armenia, Azerbaijan, Georgia, the Russian Federation, Tajikistan and Ukraine. 10 September 2003. Paris: OECD.

<http://unpan1.un.org/intradoc/groups/public/documents/APCITY/UNPAN019118.pdf>

OECD ACN. Regional Anticorruption Action Plan for Armenia, Azerbaijan, Georgia, the Kyrgyz Republic, the Russian Federation, Tajikistan and Ukraine

Ukraine: Summary of assessment and recommendations

Endorsed on 21 January 2004 <http://www.oecd.org/dataoecd/51/21/37223884.pdf>

21 December 2004

OECD ACN. Istanbul Anticorruption Action Plan for Armenia, Azerbaijan, Georgia, the Kyrgyz Republic, the Russian Federation, Tajikistan and Ukraine

Ukraine. Monitoring Report. 14 December 2004.

<http://www.oecd.org/dataoecd/13/4/37296579.pdf>

OECD ACN. Istanbul Anticorruption Action Plan for Armenia, Azerbaijan, Georgia, Kazakhstan, the Kyrgyz Republic, the Russian Federation, Tajikistan and Ukraine: Monitoring of National Actions to Implement Recommendations Endorsed During the Reviews of Legal and Institutional Frameworks for the Fight against Corruption Ukraine-Monitoring Report. Adopted at the 6th Monitoring Meeting of the Istanbul Anticorruption Action Plan on 12 December 2006 at the OECD Headquarters in Paris. 14 December 2006.

<http://www.oecd.org/dataoecd/18/37/37835801.pdf>

Shelly, Louise I. "Organized Crime and Corruption in Ukraine: Impediments to the Development of a Free Market Economy." *Demokratizatsiya* 6:4. Fall 1998.

[www.demokratizatsiya.org/Dem%20Archives/DEM%2006-04%20shelley.pdf](http://www.demokratizatsiya.org/Dem%20Archives/DEM%2006-04%20shelley.pdf)

TNS Ukraine, Attitude of Ukrainian population to corruption: Analytical report on survey's results – Comparative analysis of 1<sup>st</sup> and 2<sup>nd</sup> waves. June 2007.

TNS Ukraine, Attitude of Ukrainian population to corruption: Analytical report on survey's results of wave 3. July 2007.

TNS Ukraine, Technical Report on Project Omnibus, May 2007

TNS Ukraine, Technical Report on Project Omnibus, June 2007

TNS Ukraine, Technical Report on Project Omnibus, July 2007

TNS Ukraine, Technical Report on Project Omnibus, August 2007

Transparency International. "Ukraine." In Global Corruption Report 2006, Special focus: Corruption and Health. Berlin: Transparency International. 2007.

## Ukraine MCC TCP Component 1 Midterm Evaluation Report

---

Ukrainian Centre for Economic and Political Studies (UCEPS) named after Olexander Razumkov. "Non-Governmental Think Tanks in Ukraine: Capabilities, Challenges, Prospects (Analytical Report of the Razumkov Centre)." National Security & Defense 6 (90) 2007. Kyiv: UCEPS. [http://www.uceps.org/additional/NSD90\\_eng.pdf](http://www.uceps.org/additional/NSD90_eng.pdf)

USAID, Cooperative Agreement 121-A-00-07-00702-00, December 5, 2007.

USAID, Amendment 1, Cooperative Agreement 121-A-00-07-00702-00, November 16, 2007.

USAID, Amendment 2, Cooperative Agreement 121-A-00-07-00702-00, February 25, 2008.

USAID, Department of Justice (DOJ) Program Description Threshold Country Program (TCP) Component 3 and 4. ND.

USAID. Commercial Law Center Program Description Threshold Country Program (TCP) Component 2. ND.

USAID, "Ukraine." In 2006 NGO Sustainability Index. Washington: Bureau for Europe and Eurasia. 2007.

[http://www.usaid.gov/locations/europe\\_eurasia/dem\\_gov/ngoindex/2006/ukraine.pdf](http://www.usaid.gov/locations/europe_eurasia/dem_gov/ngoindex/2006/ukraine.pdf)

USAID, Statement of Work, Component 5: Ukrainian Standardized External Testing Initiative

USAID, Statement of Work, Component 3: Streamlining and Enforcing Regulations

USAID, Statement of Work, Component 2: Combating Corruption and Strengthening Rule of Law in Ukraine Under the Millennium Challenge Corporation's (MCC) Threshold Country Program (TCP) for Ukraine. ND.

USAID, Millennium Challenge Account Threshold Program Strategic Objective Agreement (SOA) Between the Government of the United States of America and the Government of Ukraine for the Program to Reduce Corruption in the Public Sector, USAID Agreement No. 121-0002, December 4, 2006.

US Department of State, Supplemental Reference: Foreign Assistance Standardized Program Structure and Definitions. Washington: DOS. October 15, 2007.

<http://www.state.gov/documents/organization/93447.pdf>

Ukraine MCC Secretariat, Performance evaluation of Component 1: "Strengthening civil society advocacy and monitoring of corruption (ACTION)" of the MCC Threshold Program. ND.

Zhdanov, Igor. "Corruption in Ukraine: Essence, Scale, and Influence." Connections. Kyiv: UCEPS. 3 April 2002 <http://www.uceps.org/eng/show/114/>

## APPENDIX I – GLOSSARY

|        |  |
|--------|--|
| ACCELS | American Councils for International Education                    |
| AC     | Anticorruption   |
| ACN    | Anticorruption Network for Eastern Europe and Central Asia, OECD |
| CSO    | Civil Society Organization                                       |
| COP    | Chief of Party   |
| DI     | Democracy International  |
| DOJ    | Department of Justice (US)                                       |
| GOU    | Government of Ukraine  |
| GRECO  | Group of States against corruption, Council of Europe            |
| ICITAP | International Criminal Investigative Training Assistance Program |
| KIIS   | Kyiv International Institute of Sociology                        |
| MCC    | Millennium Challenge Corporation                                 |
| MOJ    | Ministry of Justice (GOU)  |
| MSI    | Management Systems International, Inc.                           |
| ND     | No Date  |
| NGO    | Non-Government Organization                                      |
| OECD   | Organisation for Economic Co-operation and Development           |
| OPDAT  | Overseas Prosecutorial Development, Assistance and Training      |
| TCP    | Threshold Country Plan   |
| TIBA   | Trade, Investment and Business Acceleration Activity             |
| US     | United States  |
| USAID  | United States Agency for International Development               |

**U.S. Agency for International Development**

1300 Pennsylvania Avenue, NW

Washington, DC 20523

Tel: (202) 712-0000

Fax: (202) 216-3524

**[www.usaid.gov](http://www.usaid.gov)**