UNITED REPUBLIC OF TANZANIA

PRESIDENT'S OFFICE
REGIONAL ADMINISTRATION AND LOCAL GOVERNMENT

GUIDELINES FOR PREPARATION OF ANTI-CORRUPTION ACTION PLANS IN LOCAL GOVERNMENT AUTHORITIES

P.O. BOX 1923
DODOMA

OCTOBER, 2004

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LIST OF ACRONYMS

CAG	Controller and Auditor General
CBOs	Community Based Organisations
CSOs	Civil Society Organisations
CHRGG	Commission for Human Rights and Good Governance
DED	District Executive Director
DT	District Treasurer
GGCU	Good Governance Co-ordination Unit
ICWG	Inter-Council Working Group
LGRP	Local Government Reform Programme
MDAs	Ministries, Departments and Agencies
M & E	Monitoring and Evaluation
NACSAP	National Anti-Corruption Strategy and Action Plan
NGOs	Non-Governmental Organisations
PCAC	Presidential Commission Against Corruption
PCB	Prevention of Corruption Bureau
PO-RALG	President's Office - Regional Administration and Local Government
RAS	Regional Administrative Secretariat
SMART	Specific, Measurable, Actionable, Realistic and Timely
VEO	Village Executive Officer
WEO	Ward Executive Officer

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INTRODUCTION

1.1   What is Corruption and why Action Plans?

The purpose of any government is public service, be it at the national or local level. All actions of government should be in the public interest. All resources and authority of any public office should be used for public rather than private purposes. Corruption is contrary to this purpose. Corruption and other bad practices tend to undermine the delivery of services to the public.

Much focus and attention has been given to the increasing problem of corruption in recent years because of its harmful effects on society. Corruption is when an individual uses his or her position to gain some personal advantage, and/or advantage for one's party, class, tribe, friend, family, etc. It undermines economic, social, political or cultural aspects of society and development, and the poor are especially hard hit. Inefficiency and lack of adequate knowledge of the rules and procedures in various government institutions can result in poor service delivery to the public and also increase chances for corruption.

These Guidelines for the Preparation of Anti-Corruption Action Plans have been designed to assist Local Government Authorities to take solid steps toward achieving good governance in the work place. An Action Plan is a practical, step-by-step tool that assists in the formulation of a strategy to fight corruption. The concepts and ideas in the Guidelines are based on the experience that has been accumulated through the processes of planning, implementing and monitoring of the National Anti-Corruption Strategy and Action Plans (NACSAP), which were approved by the Government of Tanzania in 1999. The NACSAP guidelines and operations have embraced the Ministries, Departments and Agencies (MDAs).

The government has made efforts to obtain a general view of corruption in the local authorities. The observations are summarized in the Concept Paper on Corruption in Local Government (2003). The paper underscores corruption as the major problem in local authorities that negatively affect people and development. This concept paper has guided the process of preparing the guidelines.

The Government of Tanzania has now decided to extend the anti-corruption strategy to Local Authorities. This document sets forth guidelines for the preparation of anti-corruption Action Plans in local authorities, at council level and below. The guidelines will assist the coordinators who will oversee the preparation of Action Plans and those who will implement the planned steps in the preparation of realistic and operational Action Plans.

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In order for all stakeholders to recognize and accept the Action Plans, stakeholders from the private sector, investors, non-governmental organizations (NGOs) and other actors are included in the participatory process. The participatory process allows for Action Plans to evolve from the community levels to the Council level.

1.2   Outline of the Guidelines Document

This document includes the following chapters: (1) introductory remarks and background; (2) the institutional arrangements for managing the process of implementing anti-corruption Action Plans; (3) Developing the skills of focal persons who shall oversee the processes of planning, implementing and monitoring good governance issues at local government level; (4) A participatory workshop process for designing the Action Plans; (5) Preparing an effective Action Plan; (6) Sample formats for the Action Plan document; and (7) The monitoring and reporting requirements. Two Annexes follow this to show: (1) Examples of Action Plan tables, and (2) Layout of the Action Plan document.

1.3   Background on Government's Efforts to Combat Corruption

Social action through co-operation among the government, civil society and the private sector can better attack corruption and result in good governance. The exchange of experiences between all these actors can improve the effectiveness of anti-corruption strategies - at local, national and international levels.

The determination by the Government to eliminate corrupt practices at all levels in Tanzania began with the appointment of a commission in 1996 to investigate such practices. An in-depth study of the causes and extent of corruption in the country was carried out by the Presidential Commission Against Corruption (PCAC), commonly known as the Warioba Commission. The Commission concluded its work and submitted a report on December 7, 1996, and the President made the report public. In tracing the root cause of the problem of corruption in the country, the Commission noted:

> *Corruption began to emerge in the late 1970s and ultimately became endemic in the late 1980s. At that point in time, corruption no longer was the domain of only the lower and middle grades of public service, but also began to engulf the politicians and chief Executive Officers in the Government and parastatals.*

At the local government level, the 'Concept Paper on Corruption in Local Government' has underscored corruption to be a major problem in the councils. Areas mostly affected, include:

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- Election processes where candidates offer bribes in the form of entertainment or small presents, e.g. household items, etc.
- Primary education, where parents have to offer bribes to have children enrolled in schools, or repeat a year, or even allow outsiders to do examinations on behalf of the candidates;
- Primary health care where the sick have to bribe the services providers for a host of reasons;
- Road works, where leadership demand bribes in lieu of getting an order to provided services;
- Procurement, where leadership demand a commission for orders given to a supplier;
- Issuing of licences of all categories;
- Plot allocation;
- Employment;
- Revenue collection;
- Administration in primary courts, etc.

The Tanzanian government's anti-corruption policy is that corruption cannot be tolerated at all in any branch of the government. The Government has therefore taken initiatives, to make it possible to combat such corrupt practices, through its demonstration of political will and support of all stakeholders in the government, the civil society, and the private sector to attack all forms of corruption. Transparency and accountability are crucial to good governance. This means conducting all business with honesty, integrity and openness to eliminate corruption. The government instituted the fight against corruption through measures such as:

1.4   The National Framework On Good Governance

The National Framework on Good Governance document (December, 1999) defines good governance as the exercise of official powers in the management of a country's resources in an effort to increase and utilize such resources. This calls for a system of transparent, responsive and accountable public management; and officials who are capable, efficient, ethical and professional public managers in the interest of the served public. Tanzania's good governance vision contained in the Government's Vision 2025 states that:

Tanzania cherishes good governance and the rule of law in the process of creating wealth and sharing benefits in society and seeks to ensure that its people are empowered with the capacity to make leaders and public servants accountable. By 2025, good governance should have permeated the national socio-economic structure thereby ensuring a culture of accountability, rewarding good performance and effectively curbing corruption and other vices in society.

1.5 The National Anti-Corruption Strategy and Action Plan for Tanzania (NACSAP)

To address corruption in the country following the Warioba Commission report, the government initiated a National Anti-Corruption Strategy that is intended to address the causes and types of corruption at all levels. To formulate NACSAP, each central government unit was required to prepare, in a very participatory approach, a strategic plan covering the next five years and an annual action plan for implementation.

The Government established the Good Governance Coordination Unit (GGCU) in July 2001 to support the Chief Secretary in his role as coordinator of GG programmes and in implementing NASCAP. An Inter-ministerial Committee was appointed as an integral part of GGCU to organize and co-ordinate actions and to work together with focal persons appointed from each ministry to co-ordinate NACSAP Programmes in their respective Ministries, Departments, and Agencies (MDAs)+

1.6 NACSAP Priority areas of intervention

The following priority areas were identified and have been guiding the implementation of NACSAP:

i. Improvement in the rule of law including review of outdated and conflicting laws.
ii. Improved financial disciplines and accountability.
iii. More transparency in procurement in the MDAs.
iv. Involvement and enhancement of the role of the Media in instilling good governance and exposing corrupt elements in both public sector and private sectors.
v. Capacity building and enhancing the role of the civil society in evaluation and monitoring the government Action Plans in the combating corruption.
vi. Capacity building and enhancing the role of civil society and the private sector to comply with corporate governance ethos
vii. Enhancing and capacity building of watchdog agencies e.g. CAG, PCB, Parliament, Human Rights Commission, Ethics Secretariat, etc.
viii. Involvement and enhancement of local government capacity to combat corruption in their respective jurisdictions.
ix. Educate the public with information aimed at minimizing corrupt practices.

1.7 NACSAP Implementation arrangements

i. At national level, the Chief Secretary is responsible for overseeing the implementation of NACSAP. The Chief Secretary is assisted by two units:
   1). The Good Governance Coordination Unit (GGCU), which coordinates the reforms addressed in the NACSAP and provides a link between the MDAs and other stakeholders, and the IMC and

the Chief Secretary.

2). The Inter-Ministerial Committee (IMC), which provides guidance on technical and financial matters relating to NACSAP implementation.

ii. At MDAs level, the Chief Executives are directly responsible for their units' action plans and are accountable to the Chief Secretary.

iii. MDAs will prepare, on an annual basis, respective sectoral action plans indicating priority activities and implementation work plans.

1.8 Some achievements of NACSAP

i. Efforts are in place to upgrade legal sector with modern infrastructure and provisions of legal instruments such as law reports and statutes. However, there is still much to be done.

ii. Enactment of Public Finance Act, 2001 is in place to further financial management and discipline.

iii. Enactment of Public Procurement Act, 2001 to implement the plain level field in tendering and procurements. There are consultations going on amongst the stakeholders to review the same in order to flash out weaknesses that have been identified in the course of its implementation.

iv. Awareness on the role of civil society as an important pillar in monitoring government service delivery promises. The media is quite vibrant in that regard though investigative journalism techniques are wanting to some journalists who report events on corruption. However, efforts are underway to introduce the Freedom of Information Act.

v. Initiatives have been put in place to use the Private Sector Foundation in collaboration with PCB to start working on the ethos of corporate governance and social responsibility of business.

vi. The local government sector has put in place anti-corruption guidelines to assist councils in the preparation and implementation of the action plans that are compliant to the "SMART" rule.

vii. Each MDA has prepared and implemented its Action Plan and submits quarterly progress reports. The MDA reports are submitted on a pre-esigned form that is consolidated into a single report by GGCU. The reports, under the authority of the Chief Secretary, are disseminated to the public.

viii. Capacity building has been a major feature of the NACSAP implementation. Continuous training, locally and internationally, has been undertaken for MDA staff. Special attention has been on the focal points, which in turn have used the acquired skills to sensitise fellow staff and promote anti-corruption activities in their organizations.

ix. Various seminars and workshops have been conducted for NGOs to enable them to participate in anti-corruption activities. The NGOs have prepared their action plans and are implementing them through the financial support of GGCU.

x. The Government has established a National Integrity Fund (NIF) to

implement NACSAP activities that are not funded by the regular government budget. The Chief Secretary controls the Fund, and the MDAs apply for the funds to implement their Action plans. Accountability for the fund is through the government financial systems.

xi.   The MDAs have established a monitoring system that includes appointing officers to monitor complaints from the general public and to liaise with the Ethics Section at CSD, the Prevention of Corruption Bureau, the Commission of Human Rights and Good Governance, and NGO/civil society on such complaints.

xii. Thousands of staff in the ministries and major government deportments have been either dismissed, or retired on public interest, or interdicted for being involved in corruption related activities.

xiii. The government has been improving on the processes for delivering services to the public.   The procedures to follow in offices are been made public by having them posted on notice boards, especially in sensitive offices and institutions such as the Immigration Department, the Tax Revenue Authority, the Office of the Commissioner for Lands, etc.

xiv. The society is becoming more aware of their rights when it comes to getting public services due to Ministries and Department being more open and transparent to the stakeholders. The public is continuously being educated on their rights.

xv.   Oversight institutions such as the Commission for Human Rights and Good Governance is more active following up cases of injustice reported to them, etc.

1.9   Monitoring and Evaluation and Oversight Institutions

Monitoring and evaluation (M&E) are management and accountability tools that are important to use in any process for change, more clearly defined below.

Monitoring is the process of maintaining regular watch over performance to enable management to decide where changes or other actions may be required, and reports any failure to reach intended results. **Evaluation** is a comparison of two or more pieces of information. Hence, the objective of an M&E system is to enable management to continuously examine (monitor) the performance of an activity. This allows assessment and comparison of actual performance (evaluation) with what was originally planned so that it is possible to take corrective action if needed in order to reach goals. M&E is essential in order to assess whether the NASCAP is on track and is having its intended impact. Thus, M&E can help to ensure that anti-corruption policies are operating; to see that resources are being used to best advantage; to maintain efficiency and cost-effectiveness in the use of public funds; and to reduce opportunities for corruption.

Oversight institutions carry out M&E. There are two types of oversight: internal

and external. Internal oversight includes internal audits, internal control management arrangements, and governing boards. Institutions such as Parliament, Ombudsman, Prevention of Corruption Bureau, The Media, Civil Society and the International Community exercise external oversight.

1.10   Reporting and Communicating with Stakeholders

Reporting and communication by the GGCU serves four objectives: 1) informs and educates the public about corruption; 2) shares with stakeholders information and knowledge about strategies, plans, progress, and outcomes in the implementation of NACSAP (for example, through Quarterly and Annual Reports); 3) keeps the Chief Secretary and the Minister for Good Governance informed of the developments and issues arising; and, 4) informs the international community about governance issues and developments in Tanzania.

INSTITUTIONAL ARRANGEMENTS FOR MANAGING THE ACTION PLAN PROCESS

2.1   Introduction

The structure of the government in Tanzania is such that adequate institutions are already in place to handle the anti-corruption programme. They will oversee the planning, implementation and monitoring of the programme in the Councils. The Action Plans will be mainstreamed, however, because the anti-corruption programme is being introduced in the Councils for the first time, some extra efforts are required to ensure that the kick-off is effective. The following offices and institutions will play a significant role in the success of the programme:

The Managements of:
  (i)   Mtaa/Kitongoji
  (ii)   Village government
  (iii)   Ward
  (iv)   Council
  (v)   Regional Administrative Secretariat (RAS)
  (vi)   PORALG (directorate/LGRP)

The various levels of governance in the Councils:.
  i.   Village Council
  ii.   Ward Development Committee
  iii.   Full Council (includes the standing committees)

The roles and responsibilities of each institution are as follows:

2.2   The Mtaa/Kitongoji

This is the lowest level of administration. There are no government employees at this level. The chairperson is to be relied upon for mobilization of other citizens to participate in the programme. The chairperson and the community will do the following:
  i.   Receive and use the guidelines distributed by the Council.
  ii.   Work closely with the villages and the ward officials for purposes of using guidelines properly.
  iii.   Mobilize the community to participate in the preparation of the action plan.
  iv.   Submit the proposed action plan to the village council.

2.3   The Village Management Team

The village management comprises of the village executive officer and other officers assigned to the Village Government. They are expected to ensure that the general public at the grassroots level participate effectively in the formulation of the action plans. The Village Management will be involved in the following specific tasks:

i.   Receive guidelines, distribute them to the kitongoji and help to interpret them.

ii.   Work jointly with the ward administration and the council and help build the capacity of the leadership at the mtaa/kitongoji level.

iii. Receive action plans formulated at the kitongoji level, consolidate the Kitongoji Action Plans and present them to the village council/ assembly for approval, and hence to the Ward Development Committee.

iv.   Oversee the implementation of approved plans, monitor and prepare reports for the council.

v.   Attend workshops organised by the council for purposes of preparing council level programme.

2.4   The Ward Management Team

The ward is the next level of administration from the council level. It has staff with basic administrative skills. Most wards have coordinators of sectoral activities who can play an important role in this programme. They have a responsibility to oversee activities that are passed down from the council. The responsibilities of the Ward Management Team are to:

i.   Ensure that the guidelines reach all village and mtaa leadership.

ii.   Work jointly with council management to develop leadership capacity in ward, village and mtaa/kitongoji.

iii. Mobilize the civil society organizations and private sector in the ward to participate in the anti-corruption initiative.

iv.   Collect action plans from the villages, consolidate them, table them before the ward development committee, and forward the approved version to the council.

v.   Attend workshops organised by the council for purposes of preparing council level action plan.

vi.   Ensure approved action plans are implemented at the ward level.

vii. Monitor the implementation, prepare reports and submit them to the council.

viii. Coordinate issues of funding of the action plans whenever necessary.

2.5   The Council Management Team

The management of the councils will play a decisive role in ensuring that the anti-corruption programme is planned, implemented and monitored effectively in all sections of the authority. The council is the link between the grassroots and the Ministry. It has to ensure that the programme requirements at both ends are met. Specifically, the council management will carry out the following roles:

i.   Receive guidelines and distribute them to all levels of governance.
ii.   Organize at all levels capacity building activities essential for effective planning, implementation and monitoring of the programme.
iii. Assign competent staff to work with the grassroots (mtaa/village/ward) in managing the programme.
iv.   Receive draft Action Plans from the grassroots level and synthesize to produce a consolidated Action Plan.
v.   Organize participatory workshops for producing a council level Action Plan.
vi.   Work with the Ministry to identify and mobilize financial resources required for implementing the Action Plan.
vii. Ensure that standing committees and the full council approve the Action Plan.
viii. Cooperate with the civil society organizations and private sector in managing the anti-corruption programme.
ix.   Ensure that the approved Action Plan is implemented and monitored at all levels of governance.

2.6   The Council Level

The full council is mandated to approve the Action Plan. The normal processes for approving plans will apply. The following is expected from the full council:
i.   Receive draft Action Plan for deliberation after examination by the appropriate standing committees.
ii.   Approve the Action Plan, while also considering the financial implications.
iii. Oversee the implementation.
iv.   Receive and discuss monitoring reports, and direct the management accordingly.

2.7   The Regional Administrative Secretariat

The Regional Secretariat will:
i.   Provide advisory guidance to the councils whenever required on all

aspects of planning, implementation and monitoring.

ii. Receive the monitoring reports, scrutinize them and provide comments to the councils and to the to the President's Office, Regional Administration and Local Government.

2.8 President's Office - Regional Administration and Local Government (PORALG)

The President's Office, Regional Administration and Local Government will have overall responsibility for the implementation of the anti-corruption programme in the councils. Specifically, the President's Office, Regional Administration and Local Government will:

i. Give policy directions concerning anti-corruption activities.

ii. Issue guidelines to the councils concerning the planning, implementation and monitoring of the initiative.

iii. Mobilize funds for funding the action plans.

iv. Receive council reports on implementation of the action plans, consolidate them and approve them for wider circulation.

v. Provide feedback to the councils on additional measures to be undertaken.

CHAPTER 3:

DEVELOPING THE SKILLS OF FOCAL PERSONS

3.1 Introduction

Each council will have at least one focal point as a representative of the council director. The focal Persons are important agents of change for enhancing good governance in the local government authorities. They will assist council directors in planning, implementation, monitoring and evaluation, and reporting on the Action Plans. In addition, they will be responsible for developing capacity for carrying out the Plans at ward, village and mtaa/kitongoji levels.

Who is likely to play the role of a focal person effectively? The council director should choose from among the senior staff. They should be senior persons in the councils who command respect but also carry some authority to demand accountability or to persuade officers to perform certain responsibilities and deliver the expected results. The issue of personal integrity is very important. The focal point must be a good example of a non-corrupt person, with exemplary character.

Given that the focal persons bear responsibility to assist the management in coordinating the council's Action Plan, their skills shall be developed so that they are capable to lead in the preparation of the Action Plans and to ensure that they are implemented, monitored/evaluated, and reported to the Office of the President. One expects them to really understand and accept the action plans better than anybody also in the council. The training of the focal persons will be done before any other activity takes off.

3.2 Programme for developing the skills of the Focal Persons

The training programme should enable the focal persons to understand:
- (i) The concepts of corruption, its forms, causes, impacts and potential intervening measures, and
- (ii) The basic processes of preparing good action plans
- (iii) How to prepare a work-plan for purposes of implementing the action plan, and
- (iv) How to monitor and evaluate, and reporting skills
- (v) How to facilitate other units within the council
- (vi) How to interact with other focal persons across the spectrum of councils and MDAs

The skills development of the focal persons is not a one-time event, but instead should be done continuously. Training will use a variety of techniques to impart the required skills. These techniques include holding specially designed workshops, and attending seminars and conferences with relevant themes on corruption. Taking a cue from the experiences of the MDA focal persons that have worked under the GGCU, the use of a variety of techniques has been very helpful in developing their capacity to effectively manage anti-corruption Action Plans in the MDAs, and to provide good linkages nationally and regionally.

To ground focal Persons in aspects of good governance, the initial training should cover the following aspects:

i.   Good governance - concepts, principles and institutions
ii.   Frameworks for assessing good governance/transparency in public institutions
iii. Accountability aspects in good governance
iv.   Coalition building: role of civil society and private sector in combating corruption
v.   Public service reform programmes, client's service charters, addressing transparency and implications for ethics and corruption
vi.   The local government reform programme; experiences on service improvements
vii. Understanding the meaning, causes and consequences of corruption
viii. Guarding public property: the role of oversight and watchdog institutions in detecting and preventing corruption
ix.   Improving service delivery: the quickwin experience through the PSRP
x.   NACSAP experiences in improving good governance and reporting
xi.   Improving transparency- some regional experiences
xii. Familiarization with formats for developing action plans
xiii. Familiarization with reporting forms
xiv. Accessing and accounting for internal and external resources for the Action Plans

A major aspect of combating corruption and instilling good governance in the councils is holding sensitization and awareness workshops for employees and other stakeholders in the councils. The skills of the focal Persons will certainly count towards the success of such meetings. The focal Persons will therefore require initiation in the ability to organize, coordinate and manage workshops by:

i.   Confirming and getting clearance for the workshop from top leadership
ii.   Identifying target groups and themes for the workshops

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iii. Identifying and employing resource persons, facilitator and reporter
iv. Planning workshop dates and identifying financial resources
v. Preparing required logistics (venue, facilities, support materials, etc.)
vi. Preparing workshop timetable
vii. Communicating to workshop attendees and getting confirmation
viii. Managing the workshop
ix. Preparing workshops reports

CHAPTER 4:

PARTICIPATORY PROCESS OF PREPARING THE ACTION PLANS

4.1   Introduction

The most important element of each Action Plan will be the extent to which there is coalition-building beforehand, agreement and consensus reached among the stakeholders, and the extent to which each Council "owns" or accepts and takes responsibility for its Plan.

It is, therefore, very important to ensure that all stakeholders agree in order to write an Action Plan that will be feasible and will provide mechanisms for monitoring and evaluation by government and civil society. The Council and the focal persons chosen within each Council will have the final responsibility to prepare, implement and monitor the Action Plan and report to PO-RALG. The focal persons also will help guide, monitor and assist the development of the Plan.

This chapter discusses the workshop format to make certain there is wide participation in the preparation of the Action Plans. The next chapter outlines a specific step-by-step process for preparing the Action Plans.

4.2   An inclusive process of preparing the Action Plan

Preparation of the Action Plans shall take advantage of the accumulated knowledge and experience of people who are familiar with processes in the authority, corrupt practices and their perpetrators, and the actions required to correct the situation. Involving people of all positions and segments in the Council and some closely related stakeholders helps to widen the ideas base, and anchor the whole programme in the organization. Ownership will be enhanced significantly when people and stakeholders at all levels are able to contribute to writing the Action Plans.

It is assumed that an Action Plan for combating corruption will be prepared at the Council level to embrace all levels of administration, i.e. the Council, the ward and the village. In this way, implementation can flow to all three levels. To have a comprehensive Action Plan at the Council level, participation must take into consideration the interests of all the constituencies of the Council. There must be sufficient representation of the village, ward and council.

4.3   National Framework For Participatory Planning and Budgeting

The participation of stakeholders in the preparation of the Action Plans will follow the prescribed procedure in the 'National Framework for Participatory Planning and Budgeting'. This Framework provides the bottom up approach in planning. In this context preparation of Action Plans starts at the lowest level of public administration, the Mtaa/Kitongoji. From this level the plans move upwards to the next levels of governance. These levels include the village government, the ward administration and the council itself. At each level the plans are discussed, enriched with additional inputs and consolidated before being moved to the next level.

The approval process must also take into consideration the procedure in the Framework document, as follows:

Level of governance	Approving body
Mtaa/kitongoji	Mtaa/Kitongoji Meeting (chairperson and stakeholders)
Village	Village assembly meeting (facilitated by VEO and Village Council)
Ward	Ward Development Committee (facilitated by WEO and ward technical personnel)
Council RAS Advisory Services)	Full Council (facilitated by the Council Director, Standing Committees, and

At each level, the officers responsible, working with stakeholders, do the technical groundwork of preparing the drafts, which are then presented to the approving authority. It is important to note that because we are dealing with corruption, and corruption is associated with individuals to a large extent, we also expect the Council Management to prepare an Action Plan focusing on its own activities, which will combine with plans coming from the Wards to form the consolidated Action Plan.

The selection of stakeholders to participate in the preparation of the Action Plans at all levels (Mtaa/Kitongoji/Village/Ward/Council) must take into consideration the diversity of interests in the area. In addition to officials, businesspeople and ordinary citizens, it is important to have participation of NGOs, CBOs, Faith-based Groups, as well as the private sector, given their activities in the councils.

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The Action Plan to be prepared at each level will eventually be implemented at that level. Therefore, the people who have prepared it must fully accept it. However, these Plans will be consolidated at council level in order to have a consolidated programme that will assist in the following:

i.   Determining the funding requirements at Council level
ii. Agreeing on monitoring mechanisms at Council level
iii. Systematizing the Action Plan in terms of setting priorities, programming the implementation, identifying functional responsibility, agreeing on timeframes, etc.

4.4 Participation through a workshop at Council level

The ultimate Action Plan to be funded is the one that shall be approved by the Full Council. This is the Action Plan that brings together Action Plans prepared by council administration, the ward, the village and the mtaa/kitongoji. The consolidation at the council level has to make sure that the problems and issues identified at the lower levels are not lost in the process of consolidation. To ensure that the consolidated Action Plan covers adequately all problems identified, there shall be held a workshop with a good representation from all levels that shall work on the final Action Plan. The following modalities should be followed to prepare the consolidated Action Plan;

4.5 Workshops for preparation of Consolidated Action Plan

Two workshops shall be organised to prepare the consolidated Action Plan. The size of the first workshop shall be of varying numbers (up to about 70) with the following suggested composition, and allowing for appropriate gender balance overall:

i.   The council director
ii.   Chairpersons of standing committees
iii. All heads of department in the council
iv.   The trade union representative in the council
v.   Three representatives from non-managerial positions.
vi.   The ward executive officers
vii. About three representative village chairpersons
viii. About three representative Mtaa/Kitongoji chairpersons
ix.   Three village executive officers
x.   Representatives of business organizations and trades
xi.   Five independent small businesspersons
xii. A member of PCB

4.6   Modalities for the First Workshop

The Council shall set aside two days for conducting the workshop. The workshop shall have both plenary sessions and small group working sessions. The plenary sessions shall be chaired by the Council Director. The Secretary shall be appointed by participants in plenary session. The Focal Point should handle coordination activities. A small technical team shall be selected to ultimately be responsible for producing the Action Plan document. The Focal Point shall be a member of the team. Small groups of no more than 10 people each shall be selected in such a way that they represent diversity among the various levels of participants. Each small group shall elect a chairperson and reporter. Experts familiar with such processes will facilitate the workshops.

The suggested workshop programme is as follows:

Day	Activity	Rationale
Day 1	The participants are sensitised about issues of good governance. This should include expert delivery on issues such as: • Nature of corruption with coverage on issues such as transparency, accountability, involvement of NGOs, CBOs, business organizations, communities,etc., in combating corruption.	A good background is important for undertaking self-assessment on issues of corruption. Resource persons with the required knowledge on these issues must be engaged to deliver presentations.
	Explaining the process of preparing an action plan and doing it 1. Introduce the process, followed with a discussion (1 hour) 2. Summarizing from the submissions from the lower levels and the council management the problems identified signifying potential areas of corruption. (prepare list) Participants should split into small groups to carry out the assignment (1.5 hours). 3. Summarizing for each problem, the indicated reasons for the tendency to corruption and suggest broad possible solutions to the problems identified in 3 above (prepare list) (1.5 hours).	Work to be done in small group sessions

Day 2	1. Presentations from Day 1 Afternoon session activities • List of problems • List of reasons and suggested solutions	
	1. Identify the activities to undertake to implement the suggested solutions and to identify inputs required and their costs.	At this point the objectives and goals of the Action Plan are decided upon
Next two weeks	The technical team and focal point sit to finalize on the report.	The Output of the workshop should be a draft of an Action Plan

4.7 Modalities for the Second Workshop

The purpose of the second workshop is to go through the draft Action Plan document prepared during the first workshop, to amend if necessary, and approve for forwarding to the Council Standing Committees, which will deliberate on the draft before it is tabled before the Full Council. The composition of participants is the same as in the first workshop, but the second workshop takes one day. The draft document shall be introduced in a plenary session and later discussed in small groups. Each group shall present its observations in a plenary session. The team shall collect the views/observations and include them in the draft report and finalize the report.

Planning and implementation measures during the introduction of the programme.

During the first year (2004/05) the Mtaa/Kitongoji, the Village Government and the Ward may not have the capacity to prepare Action Plans of the required standard as has been described in this guidelines.

It is in recognition of the fact that it will take some time before the councils develop that capacity. Due to this shortcoming, the levels mentioned above shall not be required to prepare a full set of Action Plan. However, it is expected that each level will be able to identify problems that exist that give rise to corruption in the locality. Also, these levels will be required to suggest or identify the reasons for such problems to occur. Finally, they will be required to suggest the measures that need to be taken to solve the problems identified. In short each level will try to answer the questions as outlined in the process in chapter 5:.

---

1. Describe any problem of corruption that exists in these areas:

i. education
  ii.   health
  iii. agriculture
  iv.   livestock
  v.   water
  vi.   roads construction
  vii. licensing
  viii. courts
  ix.   policing
  x.   tax assessment and collection
  xi.   general administration
  xii. environment
  xiii. employment issues
  xiv. working relations within the organization, etc.
  xv.   land
  xvi. forestry
  xvii. gender
  xix. markets

2. For each problem identified above, what do you think is the cause? Give some explanation as to why the problem occurs:
  Problem 1:
  Problem 2:
  Problem 3:
  Problem 4:
  Problem 5:

3. For each of the problems identified above and taking into consideration the causes identified above, what remedies should be taken?
  Problem 1:
  Problem 2:
  Problem 3:
  Problem 4:

The information generated by the various levels would then be tabled at the council workshop. Such problems and ideas would form the basis of preparing the details of the action plan vis-a-vis the activities, the indicators, means of verification, assigning of responsibilities, identification of inputs and costs, and identification of expected outputs.

4.8   Approval of Action Plan by Full Council

The draft action plan endorsed by the second workshop shall then be sent to the appropriate standing committee(s) before being tabled at the Full Council for approval and implementation clearance.

CHAPTER 5:

PREPARING AN EFFECTIVE ACTION PLAN

5.1 Introduction

As the previous chapter has shown, Action Plans at the Council, Ward, Village, Mtaa/Kitongoji levels should be prepared in a participatory manner. That is, through the workshops, individual councils will select the particular objectives they feel should be targeted in order to combat corruption, to reflect the situation in their own local context. The workshop process can accomplish this when local officials, Council or Department personnel, elected leaders and other stakeholders come together to collaborate, as discussed in Chapter 4.

The following sections describe a step-by-step process that will guide local level stakeholders through the formulation of an Action Plan.

5.2 Identification of areas prone to corruption: Self-assessment

First, a working definition of "corruption" needs to be formulated by each Council or Department. Corruption is defined broadly as:

The abuse of public office for personal gain. Corruption occurs when the conduct of public officials deviates from the formal rules, values and ethics.

This can include such activities as embezzlement of public funds, fraud, demanding unofficial payment when rendering public service, providing biased services to friends and members of family, demanding unofficial discounts on public procurement, colluding with taxpayers to defraud the government, tendering for public procurement where one is an employee, favouritism in employment, or any use of public office or assets (vehicles, houses, machines, etc.) for personal advantage.

It could also be seen generally as:

*Any practice or act or omission - by a public official or private individual or company - which violates or deviates from usual or generally accepted norms, rules, procedures and principles governing the expected performance of official duties, with the **expectation** or intention of gain or advantage for oneself or one's group (could be family, friend, clan, tribe, race, club, association, etc.).*

In order to formulate a definition of corruption that will be meaningful to each Council, Ward, Village or Mtaa/Kitongoji, it must clearly describe how that office should be used in the public interest. To have an effective system, all must show their commitment to reject corruption and to continue fighting it.

Once there is agreement on a working definition for their own purposes, stakeholders must undertake a rigorous assessment of local issues raised for possible action - as problem areas. They do this in a participatory manner at all levels. Finalization takes place at the two workshops to be conducted at Council level, as previously described, to get all ideas about problems, deficiencies and areas needing correction for consideration.

5.3 Identification of causes of problems and formulation of objectives and goals

It is crucial to identify the underlying causes of the problems, existing deficiencies and areas where corruption is present. For example, if only one person is responsible for collecting money and reporting on the receipt of property taxes, or plot allocation fees, or landed property sale fees or contributions towards schools or health facilities, there are no systems for verifying what has been collected. Such a system would need to be reviewed and amended to include procedures that would assure accountability for the money received and reported on. Or possibly, it would be necessary to require that another officer in the Department would check and countersign all receipts; or that copies of each receipt be filed in two offices.

In another example, the Village Executive Officer is responsible for collecting fees from sale of landed property in the village. If the village council has not developed Forms for recording the sale of the property and if also the receipts book used by Village Executive Officer (VEO) is not printed and numbered, this creates an opportunity for the VEO to under-declare collections. He or she can also collude with the seller/buyer of the property to defraud the village government of the appropriate revenues.

Any problems identified as causes of corruption or inefficiency could potentially involve wrong uses (or misuse) of any of the following:

i.   Endorsement of various Forms e.g. business registration, school registration, health centre registration, etc.
ii.   Collection of license and permit fees
iii.   Issuing of permits for various activities e.g. holding civic meetings
iv.   Settlement of disputes in the villages
v.   Passing of court judgements

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vi.   Mobilisation of community contributions for public works
vii.   Sale of taxable landed property in the villages
viii.   Allocation of surveyed and un-surveyed plots in the councils and villages
ix.   Award of tenders for public procurement
x.   Execution of CAG activities such as arrests
xi.   Providing witness evidence in courts
xii.   Assessing poverty status for staff to benefit from exemptions
xiii.   Appropriation of land, etc. for use of public services such as building a
        school, a hospital, etc.

Once underlying causes of problems in each area have been identified, it will then be easier to plan objectives, goals and outcomes; to assign responsible persons; and to decide on what tasks or activities, indicators, means of verification, and resources are needed to correct the problem.

5.4   An Action Plan to Fight Corruption: the format

The format of an Action Plan is a simple chart or matrix that lists all the immediate objectives that a Council agrees to target. An objective is the statement by the Council (or other political body) that there is an identified problem in functioning or procedures that needs a solution. For each Action Plan, first the objective is chosen, then 7 additional and essential elements should be developed to set out what steps will be taken in order to eradicate the problem. The elements are outlined and explained below, and a sample matrix format follows:

    i.   Objectives
    ii.   Activity/Activities
    iii.   Indicators
    iv.   Means of verification
    v.   Responsible office/person
    vi.   Cost
    vii.   Time frame
    viii.   Expected output

Objectives state what will be accomplished. They will result from a local participatory examination of the areas that are prone to corruption at the Council level and/or Department level, as well as the underlying causes of corruption, as explained further in the following sections.

For example, if it is determined that, a) a district land officer demands money to allocate plots, or b) the VEO colludes with land sellers to defraud the village government of its revenues, two sample objectives might be as follows:

Objective a: To eliminate corruption in plots allocation in surveyed and un-surveyed areas.

Objective b: To eliminate corruption in collecting fees related to sale of land in the villages.

Activity is the action chosen that seems to best achieve the given objective. For objectives (a) and (b) above, a sample action could be stated as:

a) To establish a district committee to allocate plots

b) To develop a Form that will be used in documenting the sale of land and collection of fees due to the village government.

Indicator is the method that enables us to see what progress is being made. It could be a procedure put into place, a report, a specific action completed, or a series of periodic reviews by certain officials, for example. It depends on each given objective. Indicators can simply identify information to be collected to determine the results of a strategy or action taken. They can be processes or results and can be quantitative or qualitative; but should be comparable over time. Stakeholders should agree on their importance and be committed to using them. Using the two examples above, the indicators could be:

i.   Committee established by July 20

ii. Forms prepared and in place by September 30

Means of Verification is the way the indicator is evaluated or assessed perhaps through reports, or the installation of computer software to establish a database.

Responsible Office or individual for each objective. Staff should be assigned and agree to have overall accountability for given activities.

Cost if any involved - some actions will not need any funds to carry them out. If cost is required, sources of financing need to be identified in advance.

Time Frame is setting a target date to complete the steps in order to accomplish the objective.

Expected Output will be the result desired toward the objective, for example, better quality service delivery, or a certain percent reduction in fees being charged, an end to shortages in accounting of funds, etc.

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A SAMPLE ACTION PLAN FORMAT

Objectives	Activities	Indicators	Means of Verification/ Time Frame	Responsible Dept / Person	In-puts/ Cost	Expected Output
1) Eliminate corruption in plots allocation	Set up a district committee to allocate plots	Committee established by July 20	Management Quarterly progress report	District Executive Officer	None	Fairness in plot allocation
2) Etc.						

Additional 5.5 Identification of broad actions, tasks/activities to undertake as interventions

After goals (or Objectives) are defined, actions or tasks to address them must be planned for each one. Interventions to correct or solve problems identified might be a single action, taken only once. Or alternatively, interventions or actions could take the form of an on-going programme within the Council or Department (or Ward). Each action or intervention, of course, depends on which objectives (or problems) have been identified by the workshop group discussion.

Addressing any given objective may require a sequence of actions or activities, rather than just a single one. It may be helpful to break down each task or activity into smaller tasks. All possibilities should be identified in advance.

5.6 Identification of indicators for tasks/outputs

Indicators assist stakeholders to see that progress has been made towards the goal of solving the identified problem. In the sample chart shown above, the indicator could be a report showing what has been achieved through the activity in the previous column.

5.7 Identification of means of verification/timeframe

The indicator is measured or verified through some obvious change that addresses the objective. In the example above, the means of verification were management quarterly reports, or forms that have been prepared to address the problem.

5.8 Identification of target dates for each task

In order to make progress along the road to eradicating corruption and inefficiency, it is important to set a target date for each activity to be completed. The target dates should be clearly stated at the outset. The time frame set should take into consideration the resource requirements and the possibility of

those resources being available within that time frame. If the two are not matched, the timeframe will not make sense.

5.9 Identification of resources/inputs for implementation of Action Plans

Most tasks or activities will require some type of resources, infrastructure, labour personnel (or perhaps consultancy services) or finances, or otherwise may require only a brief time investment to carry them out. The resources required for each task, taking into account the target date for its completion, should be clearly identified. It may be necessary to hire outside assistance to help develop and put in place a new system, or to purchase new equipment to improve services or implementation of processes, and so on.

5.10 Identification of unit cost of inputs and sources of funding

If there is any cost entailed for such inputs, they must be reasonable, manageable, and made specifically clear to all stakeholders. It may be necessary to ascertain price quotations, check price catalogues for government activities, possibly even put certain tasks out for tender, etc. One person alone should not make the decision on how much to pay for any planned service or purchase; decisions should be made in a participatory manner within the Council.

Once costs have been identified, sources of funding must also be found and agreed upon. Costs should be allocated for periods involved. Some actions may cost more and therefore need to be spread out over a longer time period one or more quarters or a year.

5.11 Identification of responsible offices/officers

The responsible offices or persons to take the lead for actions identified toward any goal will need to be identified. It is critical for all responsible parties to take "ownership" of the tasks assigned, to perform the tasks in a transparent manner, and to be accountable to all stakeholders for such tasks.

5.12 Identification of expected outputs

As each goal or objective is addressed through a planned set of actions and indicators, specific outputs or results will be expected. An output might take the form of a single or several periodic reports, or may even be a disciplinary action taken. The most important factor is that all stakeholders agree on what outputs are to be expected from a given set of actions in the plan.

PREPARATION OF ACTION PLAN DOCUMENT

The Council shall finalize the Action Plan in the form of a document that is comprehensive and is linked to the other major policy/strategy documents of the Council. The document must have a proper title page with an appropriate title. The document shall also have a table of contents, a list of abbreviations, followed by the main text. The main text should start with an introduction. A good introduction to the Action Plan is important because through this introduction one is able to link the Action Plan with other policies or plans of the Council.

The introduction shall, among other things, highlight the process of preparing the Action Plan with a narration of the various steps taken to bring the Action Plan to its finality. After introduction, the next section shall relate the Action Plan to the development plan of the Council. This is to relate the Action Plan to what the Council has committed itself to do. That section shall review issues such as the Council's vision and mission, and the weaknesses and strengths identified by the Council when preparing the development plan. Also, issues relating to good governance can be brought in.

The next section of the document shall summarize the problems identified during plenary/ group sessions or discussions; the causes of such problems and then the interventions identified to tackle the problems.

The next section will comprise of the Action Plan itself.

The outline of the document is as shown in the following box:

Box 1: Outline of the Action Plan document

---

i.   The front page of the document
ii. Table of contents
iii. List of abbreviations
iv. Introduction
   • The process of preparing the action plan
   • The long-term council plan
   • The council action plans in the context of the national anti-corruption programme
v.   Areas prone to corruption and proposed interventions

(Table 1: areas prone to corruption and proposed interventions)

vi. Action plans for anti-corruption and good governance
(Table 2: action plans for the identified problems)

An example of the Action Plan document layout is presented as Annex No.4.

MONITORING, EVALUATION AND REPORTING ON COUNCIL ACTIVITIES

7.1   Introduction

The flow and sharing of relevant information and knowledge are crucial to effective coordination. Information is relevant if it can guide users in planning, implementation and control processes. Monitoring and evaluation (M&E) generates such information and thereby enables programme stakeholders to assess and determine if and what progress is attained and which approaches yield the desired results. It can also be argued that the real product of M&E is not the reports of fact per se, but a higher quality of decision making. In this regard, the M&E must bring out data or information that can really make a difference in the decision making process. This also implies that the quality of the Action Plans prepared, the activities, outputs and indicators set, will ultimately influence the quality of information generated through the M&E process.

The councils will prepare consolidated monitoring quarterly reports. The reports will be consolidated because they will summarize the reports prepared at the lower levels - wards and villages - in the implementation of the Action Plan.

7.2   Responsibility for monitoring and evaluation

The local authorities will ultimately monitor their own implementation of the Action Plans they prepare. This is an activity that is mainstreamed and it becomes part and parcel of the M&E processes of the Councils' development plans. Nonetheless, given the importance of the undertaking to fight unethical practices, the Councils will identify individuals whose duty is to follow up on the implementation of the Action Plans. The role of the Focal Person remains critical. Local Authorities will need to ensure that the focal persons work diligently.

PORALG has an overarching role to coordinate issues of good governance in the local authorities. A comprehensive system of coordination is critical to ensure there is adequate control over what happens in the many units of local authorities. Such coordination will further contribute towards the preparation of a consolidated report to the President that elaborates on the performance of the Councils in promoting good governance. Giving guidance on the M & E processes from time to time will become part of the overall coordination.

7.3   The monitoring and evaluation process

Each level of implementation of the Action Plan will collect information, which will eventually be consolidated into one report at PORALG level.

7.4   Reports at ward and village level

At the lower levels, namely the ward and village level, the form to be used has been simplified in recognition of their decision mandates.   The information collected at village level will constitute also a summary of activities at kitongoji level, and this shall be forwarded to the ward for further consolidation into a ward report. The Ward report shall be forwarded to the Council where it will be consolidated into the Council report. Form R2 shall be used for Village reporting, while Form R3 shall be used for Ward reporting.

7.5   Reports at Council level

Each Council shall collect data and information relating to the implementation of its Action Plan. The data/information to be collected will be of three types, summarized below and on Form No.R1.

The first type of information to be collected relates to monitoring of external complaints about individuals in a Council or the Council itself on matters relating to unethical behaviour. The information will be gathered from sources such as the Parliament, the Full Council, mass media, and/or the general public, in the form of a written letter, or through the oversight institutions (Controller and Auditor General (CAG), PCB or Commission of Human Rights and Good Governance) and Civil Society Organizations.

The second type of information relates to disciplinary actions taken against employees for unethical behaviour. The actions range from reprimands, dismissal/forced retirements, and referrals to oversight institutions (CAG, PCB) for further investigation.

The third type of information or data relates to measuring performance on the various activities falling under the Action Plans. For this to take place, the Annual Action Plan activities are to be spread among the four quarters, and performance is thus measured quarterly. Moreover, each Council will be required to indicate in advance what activities it intends to implement in the coming quarter.

The three types of data collected and the activities identified for implementation in the subsequent quarter will be summarized in Form No. R1 The first and second type of information will be summarized in numbers. The forms will be signed by the Council Director, implying that he/she will check the information for completeness, and take responsibility for its accuracy. The signed form will be forwarded to RAS for noting and comments where necessary, and the RAS shall forward them to PORALG. A copy of the form shall be retained at RAS's office, and where possible, a summary of the same can be prepared for sharing with the regional administration (The Regional Commissioner, the District Commissioners etc.). Sharing of the information with such officials is important because they are involved in mobilising the society to address issues such as HIV/AIDS, Gender, Environment, etc. Corruption has impact on all these sectors.

The signed form shall be received by PORALG where a synthesized report will be prepared. The Permanent Secretary or his appointee will take whatever action is deemed fit. This could entail asking for further clarification from the Director or giving instruction for certain specific actions to be taken by the Council. The Permanent Secretary has the prerogative to take any reasonable action that will promote good governance in the Councils.

7.6 Compilation of report from proformas completed by the Councils

A single report will be compiled by PORALG. The contents of the report shall follow the current monitoring report prepared by GGCU. This allows for easy compilation of the national report if need be. The summarized report can then be disseminated to stakeholders and the Councils for use in decisions relating to promotion of good governance.

The Quarterly Report form to H.E. the President and Notes to Guide its Completion are presented on the next page.

7.7 Dissemination of Information to the Community

The communities will be informed about the results of implementation of the action plans on anti - corruption. The reports prepared at all levels will be communicated back to the communities during the routine meetings. Reporting on corruption matters should be incorporated in the agenda for the public meetings at community levels.

The chairman of the village council will report to the General Assembly meeting on a quarterly basis, events recorded at the council level. Likewise, at the same meeting, the ward councilor will be invited to report on reports compiled at the ward level and at council level. The latter reporting allows the communities to get aware of issues of corruption being dealt in the council.

The WDC and the councils shall summarize the reports in Kiswahili to allow wider circulation. These reports can be posted on notice boards at the council, ward and village government offices for the community members to read.

Report format	
ISSUE OF CORRUPTION DEALT WITH	ACTION TAKEN BY COUNCIL
EXAMPLE: Two teachers caught receiving bribes to allow cheating during examination session.	• One dismissed from public service • One interdicted while further investigation is in progress.

REPORT FORMAT

FORM NO. ...R1....

....,COUNCIL

(COUNCIL EMBLEM)

GOOD GOVERNANCE REPORTING
QUARTERLY PERFORMANCE REPORT TO THE PRESIDENT

NAME OF COUNCIL	DATE:
NAME OF OFFICER REPORTING	TITLE:

A. ADMINISTRATIVE MEASURES TO IMPROVE SERVICE DELIVERY AND COMBAT UNETHICAL BEHAVIOUR

1. Number of public complaints against the Council or its staff recorded by the Council in the previous quarter for corruption or unethical behaviour (see note 1)

Number

(i)	Summary of cases reported by wards (summary of ward, all villages and mitaa
(ii)	Number of cases raised in the Full Council
(iii)	Number of cases reported in the mass media (newspaper, radio, TV, etc.)
(iv)	Number of letters received directly
(v)	Number of cases referred to oversight agencies (PCB, CHRGG, CAG etc.)
(vi)	Number of cases reported by NGOs/CBOs/Faith Groups/other Civil Society Organizations/the public

2. Administrative measures taken against errant staff for corruption or unethical behaviour (including staff at ward and village levels)

Number

(i)	Number of employees issued with reprimand/ warning letter
(ii)	Number of employees interdicted (suspended from employment) pending investigation
(iii)	Number of employees dismissed or retired in the public interest
(iv)	Number of cases referred to CAG or PCB for investigation/ Prosecution

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B.   SUMMARY OF ACTIVITIES IMPLEMENTED DURING THE QUARTER RELATED TO THE ACTION PLANS

(i)	
(ii)	
(iii)	
(iv)	
(v)	

B. Summary of explanations for failure to undertake any activities during the quarter

(i)	
(ii)	
(iii)	
(iv)	
(v)	

C. CURRENT QUARTER PLANS:

C.	List high priority activities/outputs for this quarter (see Note 4)
(i)	
(ii)	
(iii)	
(iv)	
(v)	

Signed by Director:	Name:	Date
Remarks by RAS		
Remarks by PORALG		

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Box R1: Notes to Guide Completion of the Quarterly Performance Return to H.E. the President

1.   Every Council should have an Officer(s) dedicated to monitoring complaints from the general public, and to liase with PORALG, PCB, CHRGG, NGOs/ Civil Society Organizations on such complaints.

2.   Explanations provided for the less than full achievement of objectives/ outputs should be concise and clear.

3.   Reports on activities implemented should specify the extent of results, e.g. the number of people trained, number of leaflets distributed, number of meetings held with community for sensitisation purposes, number of posters placed in different places to sensitise the public, number of forms changed to simplify processing of service to the public.

FORM No. R2
(For use at Village/Mtaa level)

.... COUNCIL

(COUNCIL EMBLEM)

GOOD GOVERNANCE REPORTING
QUARTERLY PERFORMANCE REPORT TO THE COUNCIL DIRECTOR

NAME OF VILLAGE   DATE:
NAME OF VILLAGE EXECUTIVE OFFICER

A. Number of Complaints against Village/Mtaa Administration and its Staff on Corruption in the Previous Quarter

		Number		
		Male	Female	Total
	Complaints received by village/mtaa directly			
	Complaints reported by Mtaa/Kitongoji against corrupt staff			
	Total for the village/mtaa			

B. Summary of activities undertaken by village/mtaa to combat corruption as per Action Plan

i	
ii	
iii	
iv	
v	

C. Activities planned to be undertaken in the next quarter as per Action Plan

i	
ii	
iii	
iv	
v	

Signed by Village/Mtaa Executive Officer:		Date:	
Countersigned by Village/Mtaa Chairman:		Date:	

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FORM NO. R3
(For use at the Ward level)

... . COUNCIL

(COUNCIL EMBLEM)

GOOD GOVERNANCE REPORTING
QUARTERLY PERFORMANCE RETURN TO DISTRICT EXECUTIVE DIRECTOR

NAME OF WARD   DATE:
NAME OF WARD EXECUTIVE OFFICER

A. Number of Complaints against Ward Administration and its Staff on Corruption in the Previous Quarter

		Number		
		Male	Female	Total
	Complaints received by Ward directly			
	Complaints reported by Village (total from Form R2)			
	Total for the Ward			

B. Summary of activities undertaken by Ward to combat corruption as per Action Plan

i	
ii	
iii	
iv	
v	

C. Activities planned to be undertaken in the next quarter as per Action Plan

i	
ii	
iii	
iv	
v	

Signed by Village/Mtaa Executive Officer:	Date:
Countersigned by Village/Mtaa Chairman:	Date:

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Annex 1: Examples in Tables

Example of Table 1:

Areas prone to corruption and proposed interventions

Area Prone To Corruption	Underlying Reasons	Measure To Remedy The Situation
1. Revenue Collection Points Licensing Persons	• Collusion between officers and businessmen • Possibility for collusion with license inspectors • Possibility for using forged licences • Theft for lack of trustworthiness	• Tackle inadequate supervision and dishonest and incompetent staff. • Tackle inadequate incentives and improvement of staff remuneration. • Regular internal transfers of licencing staff • Avoid dealing with hard cash at collection points
2. Procurement Delays	• Collusion with suppliers on price, quality and quantity • New procedures too bureaucratic that tempt bribery to speed up the process • Maximum amount set for institution too low	• Control and monitoring of prices, quality and quantity. • Minimize the length's procedures. • Increase the amount of maximum amount (upper limits).

Example of Table 2:

Anti-Corruption Action Plan

Problem 1: Loss Of Revenue Resulting From Weak Oversight/Control Systems

Objective	Activity	Indicator	Means of verification	Person responsible	Time Frame	Inputs
	1. To train/recruit 50 competent staff	50 staff recruited/ trained	Training /recruitment report	Council Treasurer	Continuous	Funds from regular budget
To develop a system that will ensure prompt and efficient collection of revenue (taxes, fees, fines and penalty) at cash collection points.	2. Intensify inspection and checking of licenses	Inspection schedules in place	Quarterly reports	Council Treasurer	By 2005	Vehicles and fuel
	3. Review procedures on charging, verifying and collecting fees	Revised procedures in place	Copy of procedures	Council Treasurer	By end of 2004/05	
	4. Supply 2 double lock safes to ensure keys are kept by two persons	2 New safes in place	New safes	Council Treasurer	By end of 2004/05	Equipment (safe and vehicle), manpower
	5.					
	6.					

Problem 2: Market Stalls Are Contributing Little Income To The Council

Management of Market Stalls to be improved including rearrangement of the stalls to boost Council income.	1. Reorganization of market stalls operations	Manual for reorganisation of market stalls in place.	Copy of manual	Council Treasurer	By 2004/05	Quickwin
	2. Ensure that receipts are issued for every transaction	System for issuing receipts in place	Internal audit reports	Council Treasurer	2004/05	Quickwin
	3. Proper record keeping of market stalls transactions	Record keeping system in place	Management monitoring reports	Council Treasurer	By 2005/06	Funds for developing system
	4. Diversification of market stalls activities.	Diversification guidelines in place	Copy of guidelines	Council Treasurer	2004/06	Consultancy funds for expei on diversification

Layout of Action Plan Document

(i)   The front page:

UNITED REPUBLIC OF TANZANIA

PRESIDENT'S OFFICE

REGIONAL ADMINISTRATION AND LOCAL GOVERNMENT

(ENTER THE NAME OF COUNCIL)

GOOD GOVERNANCE

AND

ANTI-CORRUPTION ACTION PLAN

(ENTER DATE OF APPROVAL)

–(ii) The Table Of Contents

(iii) List Of Abbreviations:

DED	-	**District Executive Director**
DPO	-	**District Planning Officer**
DT	-	**District Treasurer**

(iv) Introduction

(v) Background

The Council undertook a self-screening process to identify governance issues in the organisation that needed to be addressed as part of its strategy to enhance good governance and improvement in perceived areas of weaknesses, especially those relating to corruption and other unethical practices/conduct, etc.

(vi) The Process of Preparing the Action Plan

(vii) The role of the sensitization seminar

..................(write a short paragraph)

The process of preparing the Action Plan

The assessment process first started with the participants being divided into small groups that reflected a good blend of people from each functional area. The first exercise done by each group was to identify areas prone to corruption in each functional area. For each prone area identified, the group then established reasons for the proneness. This was then followed by suggestion of measures to take to remedy the situation. The group's work was shared in a plenary session where the participants discussed the presented proposal, asked for clarification of issues which were not clear, and eventually reached a consensus on proposal and on further work.

Using the endorsed ideas as a basis for further work, the groups moved into the next stage of preparing Action Plan. The Action Plan revolved around the suggested remedies to the identified problems.

The Council's Development Plan

The Action Plan was prepared taking into consideration the already existing Development Plan covering the period.........   This means that the vision, mission and objectives of the Council as stipulated in the Council's Development Plan provided guidance to the workshop in addressing the issue of good governance. These are reproduced below:

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Vision of Council

The vision of Council is ......

Mission Statement

The Council mission is to ....

Objectives

The objectives to achieve the above mission are:
- **Weaknesses of Council**
- ....
  Threats to Council
  ....

The Council Action Plans in the context of the National Anti-Corruption Programme

The Council's plan to enhance good governance and fight corruption should be seen to be part of the wider national anti-corruption programme. It has to be perceived in this way because the issue of good governance and the fighting of corruption is a national issue. The government and the ruling party are both committed to fight corruption. Appropriate policies, legal framework and strategies to fight corruption are in place.

The Council has to link with the parent Ministry's goals that are summarized in its Client Services Charter, and the National Goals, which are enshrined in the National Anti-Corruption Strategy and being implemented under the National Anti-Corruption Strategy and Action Plans (NACSAP). To highlight a few important issues articulated at national level, the National Anti-Corruption Strategy aims at improving the quality of public service delivery through:

(i)   An effective and transparent system of procedures and regulations/ guidelines,

(ii) Enhanced institutional capacity and organizational capacity to deliver high quality standard of services to the public, and

(iii) Public awareness on procedures, standards of services, code of conduct and their rights in general.

The Strategy identifies seven problematic areas that contribute to worsening of good governance creating possibilities for corruption and unethical practice if appropriate measures leading to transparency and accountability are not taken. These include:

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(i)   Rule of law and legal framework
(ii)   Financial discipline and management
(iii) Procurement procedures
(iv)   Public education, awareness and sensitization of people's rights
(v)   Public service reform
(vi)   Protection of whistle - blowers
(vii) Use of the media

Undoubtedly, the issues raised above will inform the process that Council is undertaking to enhance good governance in the organization.

Areas prone to corruption and proposed interventions
Council identified a number of areas that were considered to be prone to corruption or unethical practices. Besides identification, the institution endeavoured to establish the reasons for the exposure to corruption or unethical behaviour. For each identified problem, the Council has determined interventions for remedying the situation.

The table 1 presents a summary of the areas prone to corruption, the reasons thereof, and the proposed interventions:

Action Plans for anti -corruption and good governance
The participants to the workshop worked on most of the problems identified and the proposed interventions to develop an Action Plan whereby they identified activities that were thought necessary to tackle the individual problems. The Action Plan is presented as Table 2.

A WORK PLAN TO IMPLEMENT ANTI-CORRUPTION PROGRAMME IN THE COUNCILS

1. Introduction

The councils will be implementing the anti-corruption programme for the first time. According to the guidelines, many of the activities will be implemented from the grassroots level through the participatory approach. This widens the scope of activities and puts more pressure on the resources (both human and physical) available. The work plan is prepared bearing in mind the multiple levels of implementation.

Inevitably there will be a gap in human resource capacity and necessary experiences to put the programme on track. Given the potential shortfall in human resources, it will be necessary for PORALG and the councils to make full use of available capacity within and outside the Ministry. This implies that it will provide adequate technical assistance to help in putting the programme in place, and outsource services to implement some of the activities from the market where necessary, allowing the Ministry and the councils to concentrate on activities that cannot be contracted out.

2. Strategies for the work plan

The work plan concentrates on the following:

i) Fast development of the unit that will be responsible at PORALG for co-ordinating the implementation of the programme. This means training its staff through short-term courses including study tours, seminars on anti-corruption, etc. Learning from the experiences of the MDAs will help in this process.

ii) Fast development of focal Persons from the councils who will lead in preparing, implementing, monitoring and reporting on the anti-corruption activities. Training is to be done both locally and externally as opportunities arise. Local training will be through specially designed workshops. Focal Persons will also attend external conferences and seminars relevant to their work as opportunities and need arise.

iii) Fast development of assistant focal persons at ward and village levels through special workshops.

iv) Empowering CSOs to help in the implementation of the programme at grassroots level. This includes providing financial support where

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necessary. Such CSOs will participate in grassroots level research and studies on anti-corruption. These activities will help councils understand the dynamics of corruption in their localities.

v)   Making sure guidelines are understandable, and ensuring that copies are provided to all levels of implementation levels.

vi)   Quickly identifying technical assistance to help develop the required capacity in the early stages of the programme.

vii)   Providing necessary physical resources for shuttling around the country, especially of the technical assistance and the co-ordinating staff at the Ministry.

The work-plan focuses on both short-term and long-term actions:

i)   The short-term actions are those intended to make sure that the councils will have draft action plans within six months after approval of the guidelines.

ii)   The long-term actions are those that focus on strengthening the councils to be efficient and effective in action planning, implementation, monitoring and reporting.

3.   Activities to be undertaken

The actions to undertake include the following:

i)   Printing and distributing the guidelines. The guidelines should reach all levels of plan implementation including the grassroots.

ii)   Undertaking capacity building measures. This calls for implementation of a number of activities:
    •   Training of focal persons as soon as the guidelines are approved. This training should also include the council directors to encourage ownership. The training should cover what has been identified in chapter 4.
    •   Appointing and training the coordination team at the Ministry.

iii)   Identifying and recruiting short-term consultants with appropriate expertise and experience to handle training and other functions of jump-starting the programme.

iv)   Strengthening and enhancing operational capacity. This includes procuring equipment such as vehicles, computers etc. to equip the coordination office in the PORALG. The equipment will be helpful also in the management of the training and the movement of technical assistance between training centres within the country.

v)   Establishing a fund to carry out most of the initial activities under PORALG and also providing funds to councils/wards/villages and mtaa/kitongoji to implement the action plans.

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