

# Incorporating Social Accountability Monitoring

## PROPOSED ADDENDUM TO POLICY FORUM STRATEGIC PLAN- NOVEMBER 2007

### i. Table of Contents:

|                                                                                                      |    |
|------------------------------------------------------------------------------------------------------|----|
| PROPOSED ADDENDUM TO POLICY FORUM STRATEGIC PLAN- NOVEMBER 2007 .....                                | 1  |
| i. Table of Contents: .....                                                                          | 1  |
| ii. Abbreviations: .....                                                                             | 1  |
| 1. Overall Issue: .....                                                                              | 2  |
| 2. Specific Problems relating to Policy Forum Strategy: .....                                        | 2  |
| 3. Objectives: .....                                                                                 | 2  |
| 4. The Social Accountability Cycle: .....                                                            | 3  |
| 5. Rationale: How will Social Accountability Monitoring contribute to Policy Forum objectives? ..... | 5  |
| 6. Methodology: .....                                                                                | 7  |
| 7. Additional Resource Requirements .....                                                            | 12 |
| 8. Monitoring and Evaluation .....                                                                   | 17 |
| 9. Assumptions .....                                                                                 | 17 |
| Annex 1: How does the Social Accountability Cycle Work? .....                                        | 19 |
| Annex 2: New Budget for Strategic Plan 2008-2010 .....                                               | 23 |
| Annex 3: Policy Unit Managers - Core Job Functions .....                                             | 24 |

### ii. Abbreviations:

|          |                                                                                                                 |
|----------|-----------------------------------------------------------------------------------------------------------------|
| BWG      | Budget Working Group (Policy Forum)                                                                             |
| CSC      | Client Service Charter                                                                                          |
| CSO      | Civil Society Organisation                                                                                      |
| CWIQ     | Core Welfare Indicators Questionnaire                                                                           |
| DHS      | Demographic and Health Survey                                                                                   |
| HR       | Human Resources                                                                                                 |
| LAAC     | Local Authorities Accounts Committee (Parliament)                                                               |
| LGA      | Local Government Authority                                                                                      |
| LGWG     | Local Governance Working Group (Policy Forum)                                                                   |
| MDA      | Ministry Department or Agency                                                                                   |
| MKUKUTA  | Mkakati wa Kukuza Uchumi na Kupunguza Umaskini Tanzania – National Strategy for Growth and Reduction of Poverty |
| MTEF     | Medium Term Expenditure Framework                                                                               |
| NAO      | National Audit Office                                                                                           |
| O and OD | Obstacles and Opportunities for Development                                                                     |
| PAC      | Public Accounts Committee (Parliament)                                                                          |
| PCCA     | Prevention and Combating of Corruption Act                                                                      |
| PCCB     | Prevention and Combating of Corruption Bureau                                                                   |
| PETS     | Public Expenditure Tracking Systems/Surveys                                                                     |
| PPRA     | Public Procurement Regulatory Authority                                                                         |
| REPOA    | Research on Poverty Alleviation (Research Institution)                                                          |
| SAM      | Social Accountability Monitoring                                                                                |
| TSED     | Tanzania Socio-economic Database                                                                                |

## **1. Overall Issue:**

Despite Government, Development Partners' and Civil Society efforts to reform and reorganise our development strategies and their implementation over the last 10 years, progress has been slow and is yet to translate to substantive improvement in service delivery at community level. Efforts still fail to link up and follow-up in terms of domestic accountability is still weak.

## **2. Specific Problems relating to Policy Forum Strategy:**

1. The Policy Forum strategic approach is at times inconsistent with its Mission and Vision for the following reasons:
  - a. It claims to be bottom up but activities are mostly top-down
  - b. It claims to be strategic and selective but the criteria for selecting the for a and issues on which issues to engage is not clearly articulated.
  - c. Monitoring of accountability mechanisms is uncoordinated and often reactive. This makes it easy for the network to be dismissed by government and hinders its ability to effectively hold government to account.
2. There have been repeated calls by member organisations that the Secretariat needs to focus more concretely on supporting work by members based outside of Dar es Salaam. This has not been prioritised in the past due to staffing constraints within the secretariat. Now that the Secretariat is expanding, the network has the opportunity to rethink its approach and to reorganise itself to proactively and concretely support the advocacy, governance and accountability work already happening in non-urban parts of the country.
3. Civil Society needs to find a way to reverse the power balance so that it becomes necessary for Government to listen to civil society and difficult to be ignored for substantive reasons.

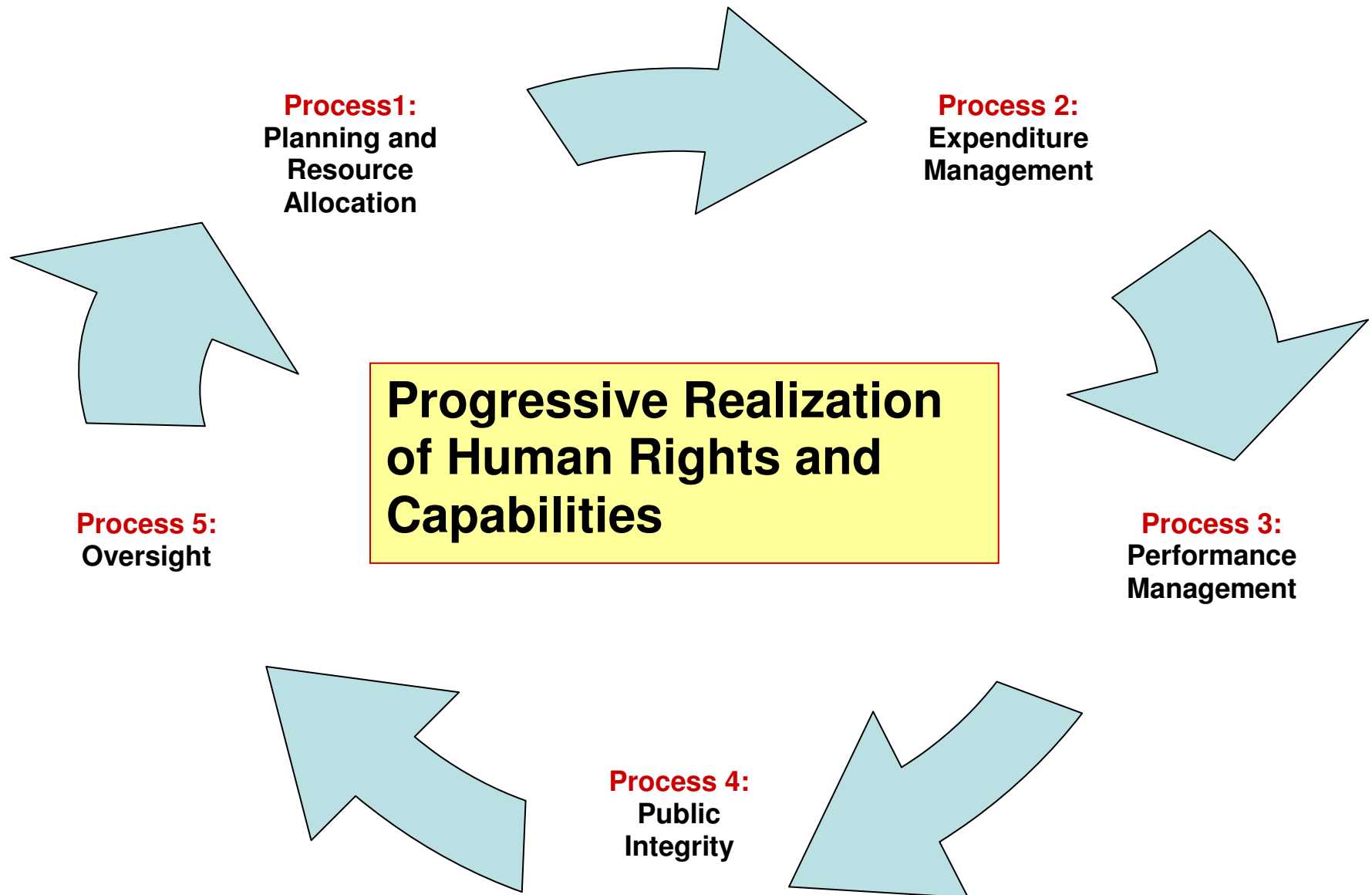
## **3. Objectives:**

1. Poverty reduction, greater equity, and democratisation by progressively enhancing the capability of CSOs to influence 'bottom-up' accountability through more effective monitoring of the social accountability cycle<sup>1</sup> over the next 3 years by:
  - a. Better supporting the work of Policy Forum members and partners working in non-urban areas who seek to influence social accountability in the acquisition and use of public resources for the progressive realisation socio-economic rights of Tanzanians through a focused and targeted capacity building strategy over the next 3 years.
  - b. Enabling CSOs to monitor this cycle in a holistic and integrated way that links the various elements of the process and covers resource allocation, implementation and results.
  - c. Advocating for universal access to relevant information and to the opportunity to hold public bodies and individuals to account.
2. To progressively increase CSO leverage in the policy dialogue over the next 3 years through:
  - a. More rigorous and truly bottom-up analysis giving a stronger legitimate basis for our advocacy claims from the community level.
  - b. A broader and deeper understanding of the formal and informal structures of governance across the levels of government.
  - c. More targeted and specific advocacy messages.

---

<sup>1</sup> Tool obtained from Centre for Social Accountability, Rhodes University, Grahamstown SA. (2007) and adapted to suit local environment.

#### 4. The Social Accountability Cycle:



Monitoring the Social Accountability Cycle consists of:

1. The realisation of basic socio-economic rights and capabilities by monitoring five major processes for governance and accountability

- **Process 1: Planning and Resource Allocation**
- **Process 2: Expenditure Management**
- **Process 3: Performance Management**
- **Process 4: Public Integrity**
- **Process 5: Oversight**

2. Follows the annual planning, budgeting and monitoring cycle of government.
3. Monitors the systems and their integrity rather than isolated events or individual actions in order to identify weaknesses in the system and to advocate for their being addressed.
4. Specific rights relating to Policy Forum Mission and Vision include:
  - i. The right to the progressive realization of socio-economic well-being.
  - ii. The right to information about decisions and actions taken by public bodies on our behalf to achieve this.
  - iii. The right to obtain explanations and justifications for these decisions and actions.
  - iv. The right to express an opinion regarding these decisions and actions to any audience of his/her choice.
5. Social Accountability Monitoring (SAM) is a natural way of concretizing the Policy Forum Strategy as depicted in the diagram below since it addresses Policy Forum's three primary areas of focus in a systematic and integrated manner. [Annex 1](#) explains the SAM tool in greater detail, listing the types of analytical questions examined, the information required and the actions taken.



*Making Policies Work for People in Tanzania*

## 5. Rationale: How will Social Accountability Monitoring contribute to Policy Forum objectives?

Social Accountability Monitoring would not be effective as a tool if it did not assist the Policy Forum network to meet its strategic goals. This section explains how the tool will support the achievement of the Policy Forum Vision, Mission and Objectives for the next 3 years.

### **Vision:**

*Policy Forum is an independent body that envisages a future where policy processes are participatory and involve the broad-based engagement of all sectors of society, including NGOs and the people they work with, in an accountable, empowered, informed and informing manner, at all stages in the policy process and at all levels of society.*

### **Mission:**

*Policy Forum will encourage NGOs to work together to open up and influence policy processes that improve the lives of all people, especially those who are socially disadvantaged and impoverished, in order to empower them to self-organize and become part of a social movement for change.*

Policy processes will not be truly participatory until people understand how they work, are informed about how decisions are made and how those decisions translate into the services they deliver. Social Accountability Monitoring provides a systematic framework for building this understanding as far down as the community level. It also empowers people to monitor accountability from a rights based perspective, which is in keeping with the Policy Forum mission. Despite the fact that Policy Forum is a member-led network, the capacity of members to engage proactively and effectively with the work it does is quite diverse. In order to increase the prevalence of proactive engagement by a wider group of members, there is a need for the secretariat to build the capacity of more members who have traditionally not been in the driving seat to do so more by developing our collective capacity to engage with policy on a substantive level through the use of simple tools that do not require a high level of expertise. The social accountability tool provides a simple way of doing this. More specifically, social accountability monitoring can have a direct impact on the achievement of all four Policy Forum objectives in the following ways:

**Objective 1:** *The implications and impact of policies and their implementation are analyzed, monitored independently, and the resulting information is used by a broad base of civil society and advocacy groups to improve the effectiveness and quality of their advocacy.*

So far, while rigorous monitoring of policy processes and of resource allocation within civil society has improved in the last few years, much of this monitoring that has focused on certain parts of the processes, such as expenditure tracking or poverty monitoring or monitoring service delivery in a certain sector. Consistent, systematic and long term monitoring of the social accountability cycle has not been something that most civil society organizations and networks, including Policy Forum, have had the capacity to do. At the same time this cycle is the framework within which policies are made, resourced, implemented and monitored. While there is some systematic monitoring that is taking root in some communities, such as the PIMA card methodology undertaken by HAKIKAZI Catalyst in Arusha, it tends to be confined to one or two districts and has mostly focused on the expenditure management aspects rather than looking at the system of resource allocation and its impact on service delivery and public accountability in a holistic manner throughout the levels of government. If social accountability monitoring is able to take root in several districts in the country over a number of years, this will generate valuable lessons to be learnt about how the accountability cycle manifests itself in Tanzania and one will be able to identify where specifically systemic failures occur and why. This tool will enable Policy Forum to members and partners to improve the credibility of their

advocacy and will empower citizens' groups to contribute concretely to the realization of the socio-economic rights and capabilities of Tanzanians.

**Objective 2:** *Analysis and monitoring information produced by Policy Forum is widely used in targeted advocacy strategies to policy makers, the media, civil society, the academic community and the general public in a manner that is accessible, interesting, relevant and useful to the intended target audience*

Adoption of the Social Accountability Monitoring (SAM) tool would enable Policy Forum to be much more focused and targeted in terms of its public engagement and advocacy work. Advocacy would be generated from the lessons learnt through monitoring the Social Accountability cycle. Engagement with civil society groups and the general public would focus on improvements in the effectiveness of the cycle to deliver socio-economic rights and capabilities. This would provide a basis for tailoring messages to suit specific audiences.

**Objective 3:** *The capability of civil society organizations to understand, to monitor, and to strategically, proactively and effectively engage with and influence national and local policy processes is progressively enhanced.*

The biggest advantage of the SAM methodology and how it will be applied in this case is that because implementation cannot be undertaken by the secretariat alone, SAM would be undertaken primarily through partner networks outside of Dar es Salaam and will require the secretariat to be more proactive in delivering results for this strategy through member organizations. It will also require the proactive inclusion of members not based in Dar es Salaam in monitoring core Policy Forum activities. Since one of the most persistent weaknesses of Policy Forum as identified by members has been that it is too Dar es Salaam-based, this approach would be a deliberate and proactive move to address this issue. Advocacy strategies of partner networks would be more targeted and focused. Not only would the Policy Forum network be strengthened but also the other participating networks to become stronger institutionally, and their ability to leverage the skills and knowledge gained to sustain their institutions would be enhanced.

**Objective 4:** *Active participation by Policy Forum as a network in national policy processes is selective and strategic in order to enhance the quality of engagement and to engage where impact is most likely to be achieved.*

SAM not only provides a basis that can be used to better focus Policy Forum engagement with national policy processes, but it can also increase its leverage in the dialogue process. If Policy Forum brings substantive and integrated knowledge of the accountability system, which is not currently monitored by government in a holistic manner, this type of substantive input will be difficult to ignore or dismiss on the grounds of irrelevance. As a result, it is anticipated that Policy Forum will increase its leverage in terms of access to policy dialogue space. It will be important, however, to continue to assess critically which spaces or which means of influencing is most likely to yield the desired result in terms of actual change in service delivery and the realisation of socio-economic rights and capabilities.

It should be noted that the actual activities in the Policy Forum Strategic Plan are unlikely to change substantially. Almost all activities undertaken by Policy Forum in the last 2 years, at least can easily be categorised into one of the five processes in the cycle. It is the systematic coordination of these activities in order to have a systemic impact that has been weak. Therefore activities in the Strategic Plan are generally still relevant to this new approach and many of these same activities, as far as possible, will be reoriented towards the achievement of social accountability outcomes.

## 6. Methodology:

As stated in the rationale, while the proposal is that Social Accountability Monitoring takes a central role in the implementation of the Policy Forum Strategic Plan, it will be integrated into the programme itself and will not be a separate project within the plan. In this section, a methodology is outlined that aims to ensure this integration.

In order to be able to monitor accountability across the levels of government, a three-pronged approach will be adopted as follows:

1. SAM at central level
2. SAM at local level
3. Sustaining the approach
4. Consolidation and targeted dissemination of findings and lessons to strengthen advocacy

### Central Level

The Accountability cycle at central level will be monitored primarily by the two Policy Forum Working Groups, the Budget Working Group (BWG) and the Local Governance Working Group (LGWG) and will be coordinated and facilitated by a Policy Unit within the Secretariat. Each of these groups has a strategic plan that includes one or more components of social accountability monitoring. However, this is a key area in which there will be close collaboration and complementarity between the two groups.

The BWG is primarily concerned with creating a common in-depth understanding of the budget process among interested Policy Forum members. The group leads on the budget analysis work done by Policy Forum and provides the analytical basis for advocacy by Policy Forum and its members regarding resource allocations and the systems that form the budget process.

The LGWG is primarily responsible for monitoring the decentralisation agenda. This includes the legal and policy framework for local governance and decentralisation, monitoring the framework for delivery of MKUKUTA outcomes, including service delivery in priority sectors, and Public Expenditure Tracking (PETS).

Until recently, the 2 working groups worked primarily independently of each other. However, a recent review of the BWG and progress against its strategic plan recommended greater linkage between the two groups. Over the last few months, the two working groups have been exploring ways to link their work better. The social accountability framework was seen as a way of starting to do this and 2 initiatives are emerging.

1. To better link the work that is done by Policy Forum and its members at the central level whereby the BWG would spend more time analysing and unpacking where the money disbursed to local level actually goes, including the many sub-votes that can be attributed to a single sector.
2. For learning purposes, to follow the social accountability cycle in one district close to Dar es Salaam on a particular issue for one year. The purpose of this is to enable those doing central level analysis to better understand how certain decisions translate at the local level. This would enable them to better understand the social accountability cycle and its real-life manifestation which should result in more informed analysis of the cycle at central level.

In this proposal, the working groups would progressively use the SAM tool so that the monitoring work done at central level can be consistent, proactive and progressive rather than piecemeal and reactive. It would also facilitate closer linkages in the work of the two working groups and would provide an avenue for the SAM work done by partner networks to feed into at central level to enable a more comprehensive analysis of social accountability systems across the different levels of governance.

Specifically, the BWG and LGWG, in collaboration with the Secretariat Policy Unit, would during 2008 focus on compiling accessible information and analysis that will facilitate SAM at local level. This will include simplified, accessible versions of relevant laws, policies, a citizen's guide to the budget process and other key information required, in Kiswahili wherever possible. A comprehensive list can be found in [Annex 1](#). The information will be compiled into 4 resource packs, each covering one of the first 4 processes in the social accountability cycle and shared with partner network members and those community groups conducting SAM during the quarterly training sessions. The tools will be reviewed and refined on an annual basis with a view to fine-tuning their relevance to the needs of those performing SAM and to take account of the changing environment in which accountability occurs. The development of these tools will also serve as a learning opportunity for the working groups to better understand the cycle and the context within which social accountability can be influenced. During this time, the secretariat and the working groups will also begin to compile information on the various processes in the social accountability cycle and their implementation at the central level focusing on sectors that are of interest to working groups members. This monitoring will continue on an annual basis throughout the life of the current strategic plan.

The working groups and the secretariat will also be responsible for leading targeted advocacy strategies regarding policies, bills, and laws that may affect SAM at central government level. Examples of this are the Proposed Freedom of Information Bill, the Media Bill, and the Constituency Development Fund Act. In addition to a more strategic and selective dialogue with the executive arm of Government, Policy Forum will use its collaborative initiative with the Office of Parliament to jointly strengthen capacity within Parliament and civil society in the budget process to influence change that will support SAM at all levels. It will also use its considerably larger public engagement and media strategy to develop and disseminate targeted public messages to influence change in social accountability at local level. These groups will be responsible for proactive monitoring, raising awareness of the implications, and strategic lobbying to promote the view that all Tanzanians should have a right to information, explanations, and justification for public decisions made on their behalf.

### **Local Level**

At local level, one partner network will be assisted initially with tools and information that will strengthen their engagement in existing statutory processes for participatory planning, budgeting and monitoring. These include Village Assembly Meetings, Ward Development Committee meetings, District Development Committees, making presentations at full Council Meetings (where local by-laws allow for this, public hearings etc). Policy Forum Support will focus on civil society groups. While constructive interaction with local government is necessary, there must be a clear separation of roles, which is currently not always the case, to safeguard the independence of the process and to guard against cooptation. Therefore the primary aim of Policy Forum support will be to help civil society better monitor the local government in performing its role. Once the pressure is felt, the highly resourced capacity building mechanisms within government will have to orient themselves towards meeting this demand. The support is aimed at empowering and enabling people at community level to ask the right questions in order to sustainably influence the systems that affect social accountability in their own communities. To facilitate this, Policy Forum will enter into a collaborative agreement with one partner network working at regional level outside of Dar es Salaam for 2 years with the aim of supporting its SAM work. At the end of the first cycle, undergo a social learning process whereby members are facilitated to assess how the process has worked and to learn from the experience of those who have undergone this process. If at this time, this approach is assessed to be useful, Policy Forum will consider the possibility of adding an additional partner network during 2009 to work with for a further 2 years. We foresee that each party to this agreement will have the following basic responsibilities.

Policy Forum will:

1. proactively seek and provide (in accessible formats wherever possible) information and analyses to be used for SAM that is difficult to access at local level. This will be done through the provision of one resource pack per process for the first 4 of the 5 SAM

processes. The fifth process evolves from the information collected during the other 4 processes and is done throughout the cycle.

2. provide a trainer/facilitator to train and mentor trainer/facilitators within district networks 4 times per year at strategic points in the accountability cycle.
3. coordinate inputs into, produce and publish a written report in accessible language after each learning session to be used primarily for learning and advocacy at the level at which the monitoring is done. These reports will also be used to compile and package the final product into a comprehensive 'state of governance' report, consolidating key issues arising and lessons from the local and central level monitoring. It will also inform strategic advocacy messages to be used in a joint communications and advocacy strategy of both Policy Forum and the partner networks through the national media, the policy dialogue structure and other avenues.
4. produce a 'State of Governance' report on an annual basis compiling the results of SAM work throughout the year. Since the report will be produced on an annual basis, it will be possible to track any changes in performance over time. This report will be launched publicly in the press and will be shared widely with other key development stakeholders.
5. assist and support partner networks in the use of local FM radio to raise awareness of and promote SAM in an interesting way throughout the community.
6. assist in linking partner networks with potential sources of technical or financial support for SAM work. This will include identification of potential sources, introductions, references and commenting on funding proposals as required.
7. assist in linking partner networks with any opportunities that may arise for sharing lessons from this initiative locally and internationally.

Partner networks will:

1. provide up to 10 members with an interest in monitoring budgets and service delivery either generally or in a particular sector to become community facilitators of SAM work in a particular district or village.
2. host and meet the all logistical costs (venue, food, any relevant participant reimbursements or allowances etc) for training and mentoring session that takes place in their home territory.
3. identify interested community groups and work with them to identify specific sectors/issues/problems to be monitored throughout the cycle.
4. coordinate and facilitate actual SAM at community level and compile lessons and issues to be shared and addressed during the learning/mentoring sessions.
5. proactively contribute to the production of radio messages for community radio to promote SAM and its use in promoting accountability at local level
6. If additional resources are required, prepare viable proposals for submission to relevant sources, enter into agreements with any such sources, and ensure that the resources are properly used and accounted for as per respective agreements.
7. proactively contribute to and comment on the reports produced and the media messages.
8. engage in lesson-learning and sharing at local, national, regional and international levels.

## **Sustainability**

After 2 years of close collaboration, it is assumed that the network will take the lead in continuing this work with minimum support. However, Policy Forum will continue to collaborate with this network in terms of resource material provided, advocacy messages, inputs into the Annual State of Governance Reports, and learning and sharing of lessons locally and internationally. It will also assist in sharing with them any updates to the resource pack and whatever additional information that would be useful to them in continuing their work in SAM. Therefore after year one, Policy Forum anticipates to have a maximum of 2 partner networks and will work with them on a rolling 2-year basis. Identification of partner networks will be very much dependent on already demonstrated interest in accountability monitoring and on the compatibility of this type of work with the network's long-term strategic goals as stated in its planning documents.

### **Advocacy and Strategic Use of Media**

Marketing of the social accountability monitoring approach will be supported through a radio soap opera and radio magazine currently sponsored by Policy Forum. This will be incorporated into the story line and Policy Forum will eventually identify interviewees to elaborate on its benefits and challenges in the Radio Magazine that supports this Radio Soap Opera. As the issues become apparent, some of the key findings of the monitoring can be written into the plot to build public understanding of and interest in this type of monitoring at local level. Policy Forum will also sponsor targeted radio and television spots which will aim to highlight any findings or key systemic issues that need to be addressed either locally or at central level. In addition, Policy Forum will take advantage of media spaces provided by members, for example the Feature article spaces provided by HakiElimu in the *Citizen* and *Mwananchi* newspapers, to write short articles on the issues raised.

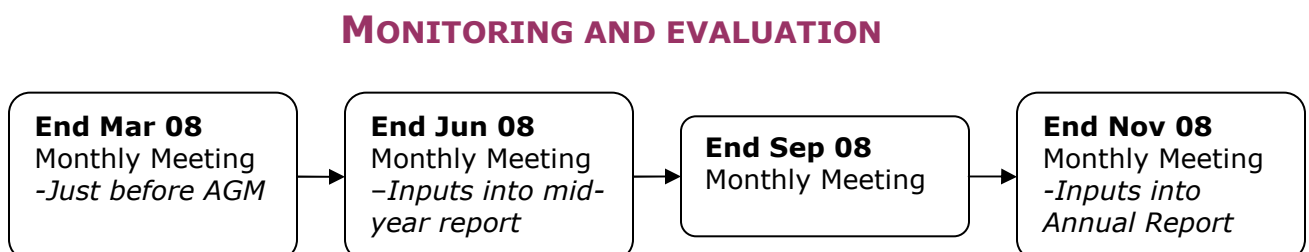
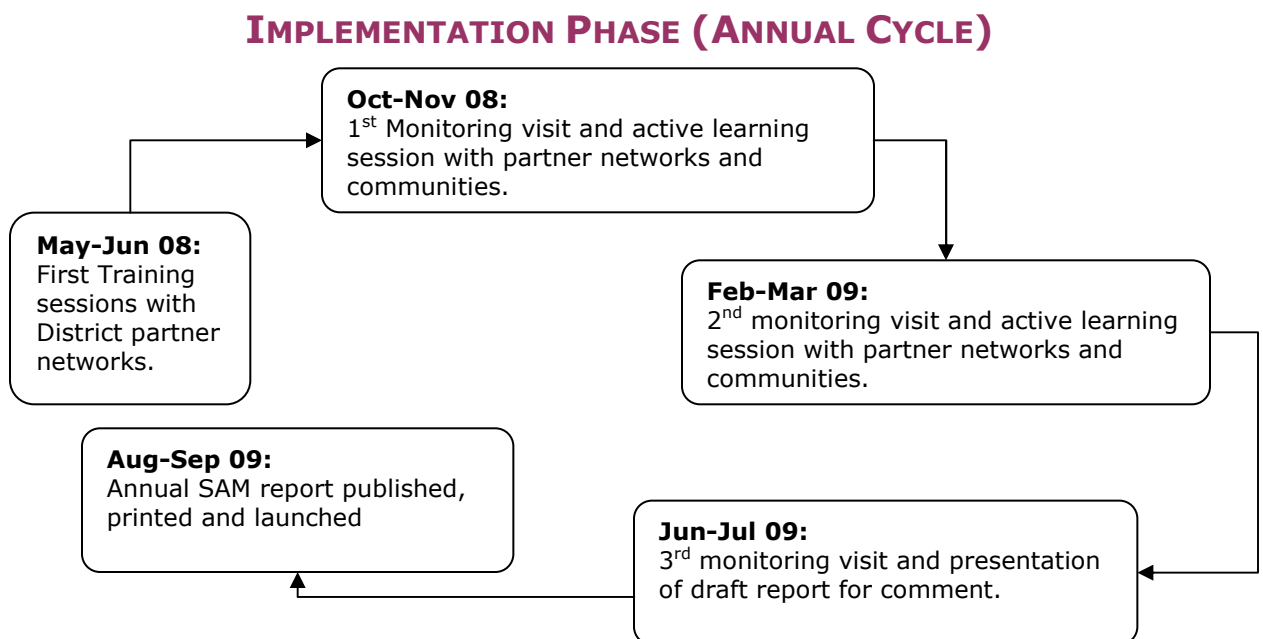
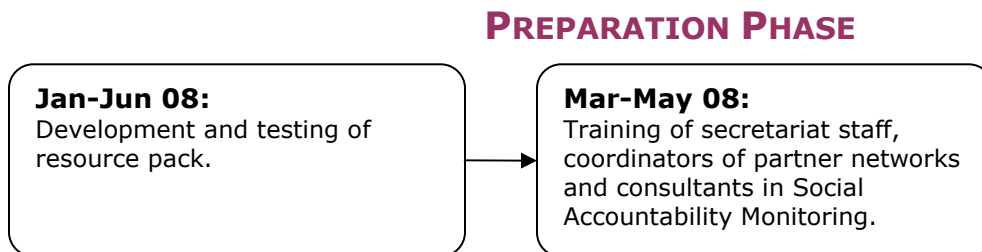
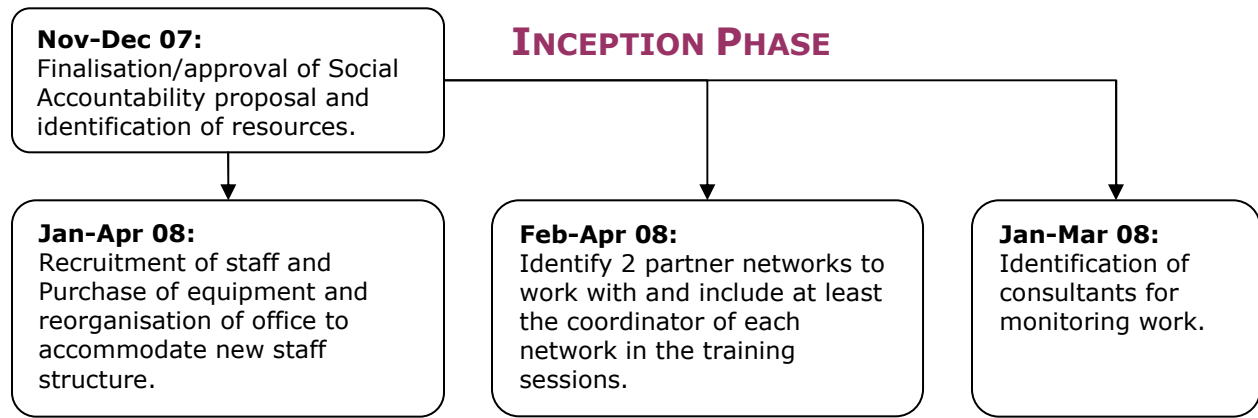
The Annual State of Governance Report will be launched jointly by Policy Forum and its Partner network(s) in a public event.

### **Key Outputs:**

The following outputs will be produced:

1. A resource pack for each learning session containing general SAM material and tools as well as material directly relevant to monitoring in the identified location. This includes analyses laws, policies, simple guides (eg. To the budget process) budget information at central and local level, monitoring information (eg. HBS findings, MKUKUTA Monitoring system etc.)
2. Simple tools, including forms for analysis and collection of SAM information where appropriate. These will be included in the resource packs.
3. Local SAM reports to be produced on a quarterly basis prior to each learning session.
4. Annual 'State of Governance' Report to consolidate findings across locations and across levels of government and to reflect systemic strengths and weaknesses at sector and institutional levels and across the stakeholder groups.
5. Targeted marketing of the approach through a radio soap opera and radio magazine broadcast on Radio Tanzania and various regional FM stations.
6. Radio and Television spots at national and local level with targeted advocacy messages arising from SAM outputs and findings.

# Cyclical Action Plan for Social Accountability Monitoring



### Expected Outcomes:

In the long term, the ultimate result is expected to be the realization of socio-economic rights and capabilities through a social movement for positive change in accountability for public decisions and actions. However, this is a long term goal. In the interim, the following outcomes are anticipated:

1. The capacity of networks and civil society groups to hold local institutions to account by monitoring social accountability processes at local level consistently over the long term will be enhanced.
2. Information produced will be comparable across different communities in Tanzania and can be tracked over time.
3. The institutional capacity of these networks to plan strategically, to mobilize and to manage resources for budget and service delivery monitoring work will be enhanced.
4. The systemic strengths and weaknesses of social accountability processes in Tanzania will be brought to the attention of decision-makers, the Tanzanian public and other development stakeholders so that they can be addressed.
5. Civil Society Groups will be empowered with pragmatic tools to monitor accountability at community level.
6. Increased coverage of social accountability issues in the press at national and community levels.
7. Enhanced debate in Parliament and in local Councils on the issues raised in SAM work.
8. More and more informed public debate on social accountability issues.
9. Decentralisation by Devolution will be strengthened due to strengthened demand for bottom-up accountability. As civil society gains a better understanding of governance systems, it will become more difficult for top-down directives to overrule decisions made by communities on the ground.
10. Since accountability monitoring will be systematic and outcome-focused, it will highlight areas where the government is not results-oriented in a public way. Eventually, the government will have to focus on achieving these results due to public pressure. This is a long term aspiration.
11. As this process is repeated over several years a body of information will be collected that will inform any potential interventions to address any systemic weaknesses that hinder social accountability at national and local levels.

## 7. Additional Resource Requirements

1. **Human Resources:** This new approach would also have *human resource* implications that would need to be addressed if it is to take effect.

**Option 1 (continuation of old HR Structure):** A possible option could be to work within the current staff establishment and then outsource most of the social accountability component to one or several consultants. This would mean that the staff establishment remains as is and a long term periodic consultancy arrangement is entered into with one or two consultants who would facilitate the outreach work on an as-needed basis. This is probably the simplest option to set in motion and would not require additional financial resources since it would be possible to reallocate from within our current budget (particularly Objective 3 and Output 1.6 where there is a tradition of underspending) to meet the additional consultancy costs. However, this approach also has limitations:

- a. It would put a considerable strain on the human resources in the current staff establishment. The strategy is already ambitious as it is and this has meant that the secretariat has not been able to devote adequate time to establishment and embedding of management systems and the provision of on-the-job learning and mentoring required to make the secretariat effective in the delivery of the programme.
- b. The purpose of this new approach is for the Secretariat to be more proactive in addressing the issue of underspending and slow member uptake of activities by

assuming a more proactive role in understanding our members and supporting their policy and budget advocacy work in a facilitative way. Outsourcing would not enable this to happen and would make it easy for an already overstretched secretariat to take a hands-off approach the social accountability component, thus endangering its integration with the rest of the programme.

- c. To gain maximum benefit from this new approach, social accountability must be at the core of the network Strategic Plan. This means that the work done under Objectives 1, 2 and 4 would also feed into and/or derive their content from the social accountability monitoring work. This level of coordination would require that jobs within the Policy Unit be rewritten/or at least amended to support this new approach.

**Option 2 (Proposed new HR structure):** A preferred option would be to acknowledge that additional human resources will be required to fulfil the requirements of the proposed new approach and to provide support that enables the programme to be effectively delivered. For this we propose the addition of one long term programme post, one interim management post (for one year at the end of which its relevance will be reviewed), and one driver, also long term, to the Secretariat staff establishment. The proposed new secretariat structure is visually presenter in the organogramme below and is justified as follows:

**Policy Unit:** While a portion of the additional capacity, such as actual participatory training and to facilitate actual sessions which is likely to be undertaken by either one or several consultants who would each be responsible for a particular process depending on their area of expertise; the management of the accountability monitoring component of the annual plan in a way that integrates it with the rest of the work done by the network will require that the Policy Unit to be proactively involved in the planning, implementation, monitoring, and evaluation of the new approach This means the unit will need to be strengthened with one additional post at Manager level.

It would be appropriate at this stage to re-write the job descriptions of the Policy and Advocacy Officers so that each of them requires distinctly different set of skills. This would enable the secretariat to make better use of the specialist skills possessed by its staff and to be more targeted in its recruitment strategy. One way to do this would be to separate the tasks in the job descriptions for the Policy and Advocacy Officers and to classify them by function. The posts would be renamed and they would become Managers to emphasise the supportive and facilitative leadership role they would be assuming. An additional Manager post would be added to specifically take forward the social accountability work outside of Dar es Salaam and to link this up with the work taking place in other parts of the programme. The new Manager would have in-house responsibility for the coordination of outreach work and would work with the other managers on the consolidation of findings.

When it was first agreed that long term interns would be hired, the rationale was that this would be a one-year internship and after the year was over that these people would be absorbed into the Policy Forum membership. At that time, Policy forum would recruit two other interns for another year. However, the length of the internship and the uncertainty of obtaining a better position within a member organisation has meant that retention for these positions has proved to be difficult. An alternative that may address this would be to turn the internship post into a fixed term employment contract for one year at the Programme Assistant level. Towards the end of that year, proactive efforts would be made to place the intern in a member organisation. If no position becomes available and if the Secretariat chooses to do so, the position could be renewed for another year, in which case there would be no recruitment for that post. However, the understanding would be that members would be given the opportunity to recruit someone with some experience in this type of work. However, the final choice would

remain with the postholder and the member organisation concerned. During their stay at Policy Forum, the programme assistants would have all the benefits of an employee and would be paid at Grade 4A of the salary scale. If this is not acceptable, an alternative would be to shorten the length of the internship and/or to reduce the qualifications required, both of which could have negative implications on usefulness to Policy Forum and productivity.

**Deputy Coordinator:** The new approach will require that the Coordinator's Office be strengthened during the first year until the systems are in place for the Policy Unit to take an active lead in this work more independently. After this first year, the need for this post on a more long term basis will be reviewed. The first year will require proactive guidance and support on the programme side in order to provide the required mentoring and transfer of skills to the new team. to ensure that rigorous systems are in place on the management and administration side and are consistently followed.

It was also agreed by the Steering Committee in January 2007, that the secretariat would use this year to finalise a succession plan for the post of Coordinator. This is important for the health and sustainability of the institution. A Deputy Coordinator with management experience, who has or can develop an understanding of the governance environment and of the context in which CSO advocacy occurs in Tanzania, who can provide supportive and facilitative leadership for the network, who can make constructive management decisions, and who has the capacity to solve problems would assist the Coordinator in establishing an efficient administrative support structure that ensures that the programme activities run smoothly and are effectively supported.

The Secretariat therefore proposes the establishment of the post of Deputy Coordinator for one year, initially. At the end of the year this post will be reviewed to ascertain whether or not it is still required after the postholder assumes the role of Coordinator. The purpose of this role will be to fulfil the following responsibilities:

- i. To take proactive responsibility for the development of his/her skills and competences in order to progressively assume the responsibilities of Coordinator over a maximum period of one year. The coordinator will provide any guidance, mentoring or training required for this objective to be fulfilled, however the primary responsibility for the development of these skills rests with the post-holder.
- ii. To lead in the development and strengthening of management, administrative and financial systems that ensure the effective governance of the institution and that effectively support the efficient delivery of programme outputs.
- iii. To lead in the development and implementation of a rigorous continuous plan for monitoring and evaluating the delivery and effectiveness of the 3-year strategy this new approach. This work would be supported by the rest of the programme team. It will also be a good way for him/her to learn about the programme side of the organisation in a holistic manner which should help in enhancing the capacity for strategic oversight once the post-holder assumes the role of Coordinator.
- iv. To coordinate the timely production of quarterly, half-yearly and annual reports with inputs from the rest of the secretariat team and to take responsibility for the timely production of these reports.
- v. To provide effective backstopping to the Coordinator and to perform the duties of the Coordinator in her absence.
- vi. To network effectively in order to develop and sustain productive professional relationships with other development stakeholders within and outside of civil society.

- vii. To manage the performance and professional development of a Finance and Administration Officer (as line manager) and an Office Assistant and Driver (as countersigning officer)

It is anticipated that by the end of 2008, the post-holder would be able to replace the current Coordinator. This is therefore an opportune time to consider adding the post of Deputy Coordinator to act as an understudy. Time would also be freed up for the Coordinator to take a more proactive role in developing the new focus of the programme, strategic oversight of the programme, managing team performance, to strengthen the strategic policy advocacy capacity of the programme staff, and to develop and implement effective orientation, mentoring and on-the-job training. Ample time could be scheduled for the Deputy Coordinator to develop and in-depth understanding of the network and the context in which it operates. Finally, the additional capacity would provide an opportunity for the secretariat to establish and institutionalise systems that ensure optimal productivity.

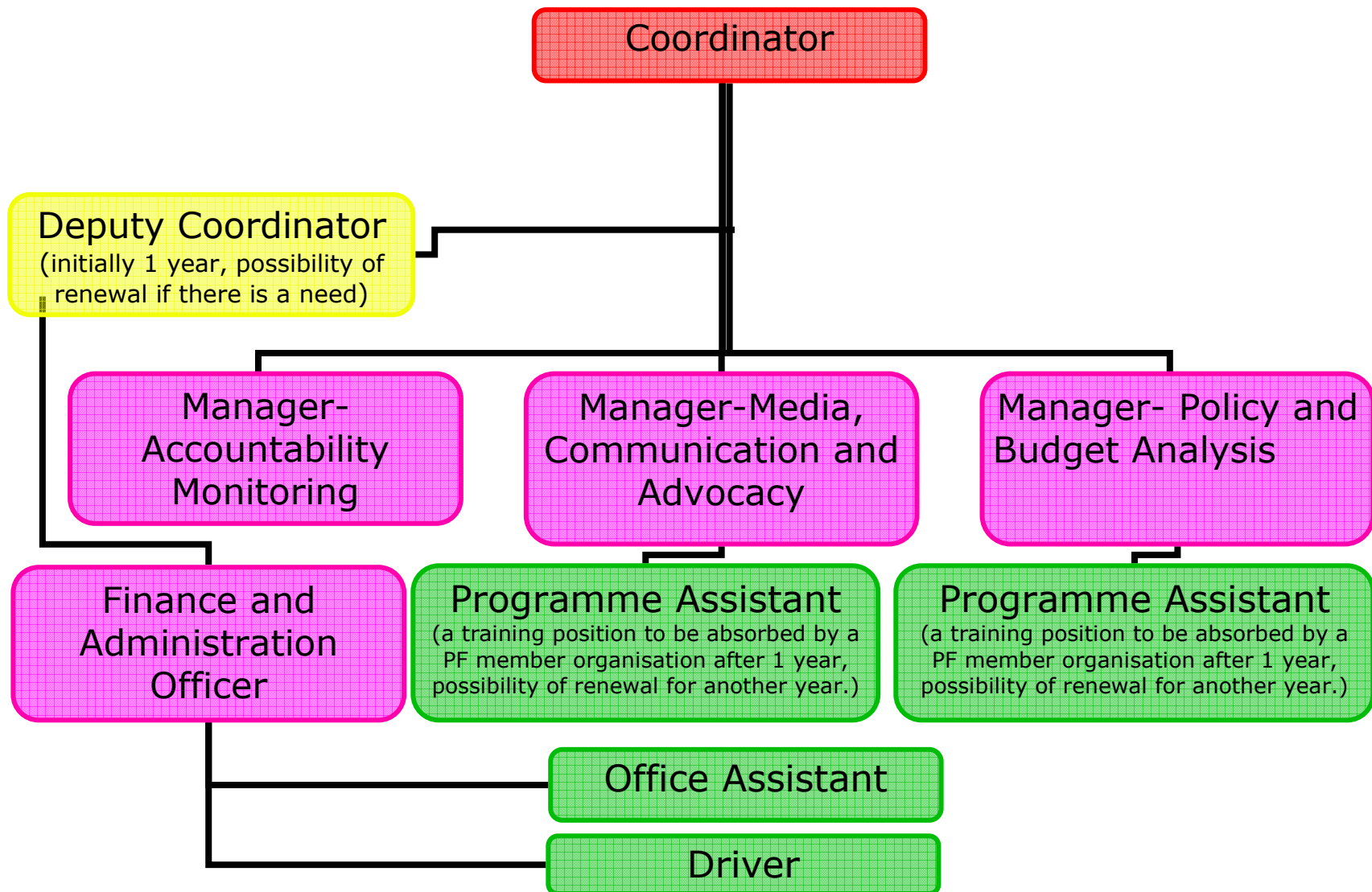
**Driver:** Currently Policy Forum has neither a vehicle nor a driver. We have managed to operate in this way so far because most of our activities have been occurring in Dar es Salaam and any outreach work was primarily undertaken by members. It is also true that the consistent use of taxis, particularly when performing banking activities is a risk in terms of the safety and security of Policy Forum staff and resources. Finally, now that we have moved to a location that is further from the city centre and the essential services we use, the use of the bicycle can no longer meet most of our transport needs and requires, that the Office Assistant, who also has a number of in-house duties, is away from the office for long periods of time.

In order to support the increased outreach work and the increased numbers of people within the office producing work and requiring dispatch support, we propose the purchase of a vehicle that is appropriate for travel to rural locations and the hiring of a driver. The driver would also serve as back-up support to the office assistant post. This would be the only long term addition to the non-programme staff establishment.

The requirements of each post are listed in [Annex 3](#).

2. **Financial Resources:** The additional *financial resources* required for this adjustment to the Policy Forum Strategic Plan are included in a revised Budget for 2008, attached as [Annex 2](#). The new approach incorporating social accountability monitoring, an expanded and more mobile secretariat, intensified media advocacy, and member-led quarterly monitoring of the Plan are expected to increase the current 3-year budget from about 1.1 million Euros during 2003-2006 to approximately 1.5 million Euros during 2008-2010. This takes account of the expanded secretariat office, the increased outreach and media work, the deepened involvement of members outside of Dar es Salaam in planning and monitoring of Policy Forum's work, and the new focus on social accountability monitoring. To raise these funds Policy Forum will have to hold discussions with those development partners who have expressed an interest in funding the network to determine whether the additional resources required for this change are likely to be forthcoming. Preliminary discussions with development partners indicate that there is a willingness to fund this type of work. The final budgets will need to be discussed and agreed before disbursements are made.

**Alternative staff establishment beginning 2008:**



## 8. Monitoring and Evaluation

A rigorous and comprehensive monitoring and evaluation plan will be developed by the Secretariat team for the entire Strategic Plan, including the social accountability component. This will be led by the Deputy Coordinator and will be completed before the end of November 2008. At the end of 2008, Policy Forum will undergo an extensive evaluation of its evolution and work over the last 5 years. This will also provide input into the future monitoring and evaluation approach implemented by Policy Forum. In the interim, quarterly progress updates will be shared and discussed with members at quarterly monitoring meetings in addition to the required Mid-year report and Annual Report articulated in the Strategic Plan.

## 9. Assumptions

1. Success is dependent on public access to information relating to decisions and actions taken on the use of public resources and the resulting effect on public service provision. This requires that this access is truly public and not discriminatory or restricted to a small group of individuals.

**Mitigation strategy:** Intensify advocacy around the Freedom of Information Bill and the type of public information whose access will be guaranteed. Continue focused advocacy around the availability of information publicly. Advocate for greater transparency and accountability within civil society to set an example to others from whom we demand transparency.

2. Interested regional networks with the institutional capacity to partner with in taking this forward will be available and ready to partner with us in 2008.

**Mitigation strategy:** There is already interest from networks to work with us on these issues. We have yet to assess capacity and organisational commitment to carry out this work in a sustainable manner.

3. Suitably skilled and interested people are identified to fill the additional posts required to undertake this additional work.

**Mitigation strategy:** Various alternative methods of recruitment will be used, including advertising, headhunting and whatever method is assessed to be suitable.

4. The additional resources (beyond the original budget) are approved by the Steering Committee and funding is sourced to meet this increase.

**Mitigation strategy:** The proposed new social accountability focus was introduced at the Policy Forum Development partner Meeting on 20 September 2007. The idea was well-received. Development partners have already begun to hint that additional funding would be required for this change and there are development partners who have expressed an interest in funding larger amounts than those we were requesting due to the transaction costs of managing the grants. We will begin to have conversations with potential development partners next week now that we have a clearer idea of what the increase in budget will be.

5. Partner Networks will continue SAM after the one-year agreement is over.

**Mitigation strategy:** This cannot be guaranteed. However, Partner networks will be identified on the basis of compatibility of this approach with their longer term strategic plan and demonstrated interest in this type of work. Partner networks will be assisted to include this work in future strategic planning and in the identification of potential funding partners.

Limited technical support (nature to be determined and agreed) will continue beyond the life of the agreement.

6. Government does not resist or threaten groups seeking accountability at local levels.

**Mitigation strategy:** While it is possible that there will be resistance to this type of work at local level, there is increasing support for expenditure tracking and accountability monitoring work in the Prime Minister's Office – Regional Administration and Local Government. Policy Forum will use its central level advocacy to support more open local government. Since this is monitoring systems more than individualised cases, the outcome of such monitoring may also be beneficial to local governments that are burdened with structures that are sometimes not conducive to output oriented management and yet results are expected from them. Greater transparency in such cases enables civil society to point out issues that they are not empowered to point out themselves.

## Annex 1: How does the Social Accountability Cycle Work?

**Key Question - Process1:** What public funds/resources are available to officials/service providers? How do they plan to use them?

### Analysis:

1. Has there been a comprehensive needs analysis?
2. Was this needs analysis informed by baseline data (eg. CWIQ survey data, previous audit recommendations etc)?
3. Is there a Strategic Plan that is consistent with related laws and policies? (This may include several divided by sector, issue or levels of government. Sometimes the Medium Term Expenditure Framework (MTEF) –district and sector level – or the O and OD plans – at village level - serve as the strategic plan.)
4. To what extent is the Strategic Plan for the year informed by the needs analysis?
5. Are the activities in the Strategic Plan costed?
6. Is there an approved budget and is this budget known to all relevant stakeholders at the level of implementation?
7. have the strategic plan and the budget taken account of audit recommendations from the previous year?
8. Is the approved budget consistent with the costing in the Strategic Plan?
9. Has the budget taken adequate account of inflation projections?
10. If the proposed budget and approved budget are different, did the relevant MDA or LGA rewrite the strategic plan in order to reallocate priorities based on the available resources?
11. At LGA level, were any adjustments to the plan and/or budget brought back to the full Council for debate and approval?
12. Is the budget consistent with the resource envelope? If not, why not and what measures will be taken to address any shortfall or what will be done with excess resources?

### Information required:

1. Needs Analysis
2. Strategic Plan and/or MTEF
3. Approved Budgets
4. Relevant laws and policies eg. MKUKUTA, Public Finance Act, Local Government Finance Act, sector strategies, council development plans etc.
5. Approved standards and specifications eg. For hospital or school buildings, for vehicles allocated to specific tasks, essential health package, required books for school curricula etc).
6. Budget Books
7. Citizen's Guide to the Budget Process
8. Alternative National Budget (if available)
9. Budget speeches
10. Oversight Committee minutes

### Actions taken:

1. Strategic Plan and budget analysis
2. Report completed.

**Key Question – Process 2:** How effectively are public funds spent?

### Analysis:

1. Was the money in the approved budget actually available and when did it become available?
2. Was the money disbursed to the relevant implementing body?
3. Was the money received by the relevant implementing body?
4. Was the money received used according to the approved strategic plan? If not, why not?
5. Were the required expenditure procedures followed in implementing the strategic plan?
6. Was there any overspending or underspending?
7. Was any reallocation of resources within the plan or virement within the budget approved by the relevant oversight body?
8. Were internal audits undertaken? If so, to what extent were the recommendations followed?
9. To what extent were the recommendations from last year's NAO and PPRA audit reports addressed this year?
10. To what extent is the analysis from this process incorporated into the needs analysis for the following year.

**Information required:**

1. Quarterly expenditure reports
2. Public Finance Act
3. Public Procurement Act
4. Procurement audit findings
5. NAO Audit report
6. Internal audit reports (if available and if they are for public consumption)
7. Policy Forum PETS Source Book.

**Actions taken:**

1. Obtain and/or complete the form used by REPOA in the PETS Source book.
2. Use this form to analyse expenditure and make recommendations.
3. Compare expenditure information with regulations from the relevant legislation
4. Obtain district audit report for the previous year and analyse expenditure information in the light of audit findings.
5. Obtain internal audit recommendations and analyse expenditure information against them.
6. Compare final expenditure report at the end of the year with approved budget

1. **Key Question – Process 3:** How do service providers perform in implementing their plans? Are quality public services delivered?

**Analysis:**

1. Do service level agreements, eg. Client Service Charters (CSC), exist for the key poverty reducing services?
2. Are the terms of these Service Level Agreements and the required standards known at the service delivery points?
3. Are the Service Level Agreements and the means of recourse available in case they are not followed to the required standard known to the general public?
4. How is the implementation of service level agreements monitored. Is there any analysis of feedback and is this available to the public?
5. Are service providers adequately resourced to perform their duties to the standards agreed in the Service Level Agreements?
6. What is the vacancy rate for the sector and/or district and/or service delivery point?
7. Is this vacancy rate addressed in the strategic plan and budgets?
8. Are quarterly/ annual reports produced. If so, are they publicly available?

9. Does the NAO Audit report form the financial section of the annual report?
10. To what extent are the projects in the strategic plan completed, according to the annual report?
11. If there are differences between what was planned and what was completed, are these explained?
12. Do the relevant oversight committees monitor performance? Are the minutes of these meetings public?
13. How do the completion rates for planned projects compare with the expenditure rates. If there are discrepancies, are reasonable explanations given?
14. Has there been any improvement in service delivery reported in the monitoring system against the baseline data provided in the short, medium or long term?
15. To what extent is the analysis from this process incorporated into the needs analysis for the following year.

#### **Information Required:**

1. Strategic plan
2. Quarterly performance reports (if they exist)
3. Annual Report
4. Service Level agreements
5. HAKIKAZI - PIMA card results
6. Oversight committee minutes
7. Audit reports
8. HR plans and reports
9. CWIQ survey reports
10. TSED
11. Service Delivery Surveys
12. Poverty and Human Development Reports
13. DHS

#### **Actions Taken:**

1. Compare annual report with strategic plan.
2. Analyse feedback from service level agreements against the strategic plan and annual report.
3. Analyse changes in quarterly and annual reports against changes in Human Development Indicators.
4. Monitor vacancy rates and compare these to performance against indicators in strategic plan.
5. Analyse oversight committee minutes against the issues identified from points 1 to 4 in this section. Note the relevance of the discussion.

– **Key Question – Process 4:** What mechanisms exist to prevent & what corrective measures are taken in response to misuse and abuse of public resources?

#### **Analysis:**

1. To what extent is there a credible separation of powers within and among the three arms of government?
2. Are public officials and legislators required to declare their assets and interests? If so, how often?

3. Are these declarations accessible to the public?
4. Do codes of conduct exist in the 3 arms of government?
5. Are they easily accessible to the public?
6. What are the disciplinary procedures within the public service?
7. What legal recourse does a citizen have if offered or requested for a bribe?
8. Are the criteria for appointment, discipline and dismissal within the public service widely known by citizens?
9. How many cases of misconduct and impropriety have been reported and what action has been taken?
10. Are the levels of accountability for the different types of public resources clear to everyone within the government? Is this information proactively available to the public?
11. What options for recourse does a citizen have if service level agreements are not adhered to? How easy is it for citizens to use these options to take action? What happens when action is taken?
12. How accessible are public integrity oversight bodies eg. PCCB, Commission for Human Rights and Good Governance etc.
13. To what extent is it possible for government to interfere in the work of these public integrity oversight bodies?
14. To what extent is due process followed by our legal system? What is the case backlog? On average, how long does it take for a case to go to trial, how long is the trial, and how long between the end of the trial and sentencing?

#### **Information required:**

1. Legislation and policies relating to declaration of interests and assets.
2. Code of conduct for public servants
3. Parliamentary Standing Orders
4. Prevention and Combating of Corruption Act (PCCA)
5. Laws establishing public integrity Oversight bodies.
6. Laws/policies governing Declaration of Interests/Assets
7. Generic disciplinary data (if accessible)
8. Organisational structure of the MDA, LGA or village government
9. Terms of reference/job descriptions for all public posts.
10. Court Caseload records (not sure if these exist)

#### **Action Taken:**

1. Analyse public integrity systems based on the information acquired.
2. Refer questions to the relevant bodies for further clarification
3. Write report.

– **Key Question – Process 5:** Are officials/service providers called to account by oversight bodies for their performance?

#### **Analysis:**

1. Is civil society enabled and empowered to hold public officials to account?
2. Is civil society held to account in performing this role?
3. Is there freedom of the press, particularly when reporting is critical of government and/or government officials?
4. To what extent do media reports hold public officials to account through responsible and investigative reporting?

5. To what extent is public information accessible to the public?
6. To what extent does the public use this information to hold public officials to account?
7. Are the NAO reports and the reports of the Public Accounts Committee (PAC) and Local Authorities Accounts Committees (LAAC) debated by the full Council at district level or by a plenary parliamentary session at national Level?
8. Is the implementation of these recommendations monitored by these committees throughout the year?

**Information Required:**

1. Media Regulations and rules governing self-regulation
2. Code of Conduct for CSOs
3. PAC and LAAC Reports on the NAO Audits
4. PAC and LAAC committee minutes
5. Legislation governing access to public information
6. Media reports
7. Hansard

**Actions Taken:**

1. Monitoring and analysis of media reporting on social accountability issues.
2. Advocacy relating to Freedom of Information Bill.
3. Analysis of PAC and LAAC reports and minutes against plenary parliamentary discussion of the allocation and use of public resources.
4. Developing strategic media messages to increase public access to public information and the findings of social accountability monitoring.
5. Monitoring progressive adherence to the Code of Conduct within civil society.
6. Monitoring advocacy action and lessons around social accountability within civil society.

|                                                         |
|---------------------------------------------------------|
| <b>Annex 2: New Budget for Strategic Plan 2008-2010</b> |
|---------------------------------------------------------|

## **Annex 3: Policy Unit Managers - Core Job Functions**

### **Manager – Policy and Budget Analysis – Grade 2**

#### **Functions:**

1. Proactively identifies potential issues that may have an effect on poverty reduction, equity and or democratisation. Researches these issues, highlights potential areas for concern and entry points for advocacy, and ensures that members are kept informed and advised as required. (20%)
2. Analyses public policies, bills, legislation and resource allocation with a primary focus on empowering and enabling the socially and economically disadvantaged to influence resource allocations and service delivery. Conducts and presents this analysis with a view to promoting social accountability from a rights-based perspective by producing succinct (no more than 2500 words) and accessible issue papers and/or briefs to be shared with members and partners. (20%)
3. Convenes and facilitates the work of the Budget Working Group and the Local Governance Working Group; coordinates individual and joint activities; facilitates complementarity between the working groups and cross learning; provides facilitative leadership within the 2 groups. (25%)
4. Proactively identifies ways in which the Secretariat can improve its relevance by supporting the policy objectives of its members and works with the rest of the secretariat team to incorporate this into the work of the Secretariat. (15%)
5. Promotes organisational learning by developing and maintaining a database of case studies that documents lessons learnt from civil society engaging in policy and budget advocacy in Tanzania. This database is to be shared on the Policy Forum Website. (5%)
6. Proactively networks with other development stakeholders in Tanzania, regionally and internationally to build constructive and productive relationships that further the objectives of the Policy Forum network and the policy priorities of its members. (5%)
7. Line manages an intern by building a productive team through effective performance management, supportive supervision and output-based personal development. (10%)

### **Manager – Media, Communication and Advocacy – Grade 2**

#### **Functions:**

1. Develops and implements an effective communication strategy for the achievement of Policy Forum objectives by (40%).
  - a. Establishing and implementing a dissemination strategy for all materials produced by Policy Forum.
  - b. Using print and broadcast media to strategically and innovatively promote the concept of social accountability in service delivery and public expenditure in Tanzania.
  - c. Ensuring that information shared with members and partners is targeted, relevant, accessible, and useful to recipient of this information.
  - d. Seeking feedback from members and constituents proactively and innovatively to inform Policy Forum advocacy at all levels.
  - e. Organising and convening Monthly Meetings, including the attendance of members from outside of Dar es Salaam at these meetings on a quarterly basis.
  - f. Organising and managing monthly Breakfast debates

2. Develops an understanding of civil society and of Tanzanian governance processes so as to provide advice and facilitative leadership on Policy Forum targeted and strategic advocacy. (25%)
3. Leads on the establishment, improvement and maintenance of the Policy Forum website. (10%)
4. Leads on monitoring and evaluation of Policy Forum work with the media and strategic advocacy. (10%)
5. Proactively networks with other stakeholders in the field of media and communication in Tanzania, regionally and internationally to build constructive and productive relationships that further the objectives of the Policy Forum network and the policy priorities of its members. (5%)
6. Line manages Policy and Advocacy Assistant by building a productive team through effective performance management, supportive supervision and output-based personal development. (10%)

## **Manager – Accountability Monitoring – Grade 2**

### **Functions:**

1. Leads the implementation of Policy Forum’s Social Accountability Monitoring Framework. (65%) This includes:
  - a. Contributing to the development and production of tools and training materials
  - b. Developing an in-depth understanding of and expertise in systematic Social Accountability Monitoring in order to become Policy Forum’s primary contact on social accountability issues
  - c. Managing one or two consultant trainers/facilitators
  - d. Writing, compiling inputs, editing and producing reports on a regular basis.
  - e. Organising and facilitating participatory learning sessions.
  - f. Integrating Social Accountability Work at central and local level and linking this coherently with the rest of the Policy Forum programme.
  - g. Coordinating the monitoring and evaluation of social accountability work and incorporating lessons into future programming.
2. Proactively identifies ways in which the Secretariat can improve its relevance by supporting the social accountability objectives of its members and works with the rest of the secretariat team to incorporate this into the Secretariat’s overall work plans. (15%)
3. Proactively networks with other development stakeholders in Tanzania, regionally and internationally to build constructive and productive relationships that further the objectives of the Policy Forum network and the policy priorities of its members. (10%)
4. Coordinates regional and international lesson-learning and sharing of this approach and the practical use of social accountability tool. (10%)