Engaging Communities and Civil Society Organisations in Public Expenditure Tracking Activities

A Training Guide

Acknowledgements

In August 2006, Pact Tanzania signed a 2 year agreement with USAID to implement an advocacy program entitled MCA-BONGA. The MCA-BONGA was a capacity building program for Tanzanian advocacy and media organizations focusing on anti-corruption and good governance. This program was supported by the United States Millennium Challenge Corporation (MCC) and USAID out of the Millennium Challenge Account (MCA).

"**BONGA**" is an acronym which spells out *Building Organizational Networks for Good Governance and Advocacy and* is a Kiswahili word meaning "speak out". The MCA-BONGA program was one part of the $11.15 million Millennium Challenge Corporation (MCC) Threshold program for the Tanzanian Government to initiate a multi-sectoral approach to eliminating corruption. The MCA-BONGA program focused on increasing public participation in political decision-making and building the non-governmental sector monitoring capacity by tracking expenditures at the local level. This program also sought to join and support the collective national focus on the elimination of blockages and detours of resources at the local level. By establishing Public Expenditure Tracking Systems (PETS), citizens and community groups are becoming more involved in local governance and holding their leaders accountable. Local government officials are also seeing the benefits of PETS as a means of promoting transparency and accountability in governance. There had been little documentation on PET as a *system* which is the reason this guide book was developed.

The lessons learned during the two years of the MCA-BONGA program contributed significantly to the development of this manual. Special thanks go to Magreth Henjewele for putting this manual together. Also much thanks goes to Pact staff members that have spent many hours in developing and editing the manual; Dan Craun-Selka, Theo Macha, Grace Muro and Chela Ghanai. We also thank Angela Samson and Jema Lema who spent their internships with Pact Tanzania doing research and contributing to this manual. We would also like to recognize the outstanding contributions of the MCA-BONGA partners who worked so hard to educate and mentor communities on PETS. At the end of the BONGA program, PETS activities had taken place in 65 districts on mainland Tanzania and Zanzibar and this was due to the efforts of the following organizations and networks:

- Anti FGM Network (AFNET)
- Campaign for Good Governance Christian Council of Tanzania (CCT)
- Forum for Grassroots Organizations in Tanzania (FOGOTA)
- HakiKazi Catalyst
- Journalist Environmental Association of Tanzania (JET)
- Kigoma Kasulu NGO's Network (KIKANGONET)
- Kilimanjaro NGO Cluster for STD/HIV/AIDS Interventions & Reproductive Health (KINSHAI)
- Pastoralist Indigenous NGOs (PINGOS)
- Southern Africa Human Rights NGO Network (SAHRiNGON)
- Tanzania Council for Social Development (TACOSODE)

- Zanzibar NGOs Cluster (ZANGOC)

Pact is inspired by the work of these and other civil society organizations that are conducting public expenditure tracking activities throughout the country. We dedicate this manual to Tanzanian CSOs and hope they will continue to play a crucial role in the development of this beautiful country.

The production of this manual was funded by the United States Millennium Challenge Account through the United States of Agency for International Development-Tanzania

Table of Contents

1. Introduction

About the manual:

This Training Manual contains session guides and reference notes for use in PETS training. The training sessions focus on matters of Planning and Budgeting Process in Tanzania, Public Expenditure Tracking Methodology and the role of different stakeholders in enhancing public financial accountability and transparency. The Manual is based on PACT TANZANIA Tanzania's experience in building the skills of Civil Society and Media Organizations on PETS and thus some of the materials are specific to CSOs. However, the materials may be used for other audiences.

Contents of the Training Manual:

The training manual is divided into six independent sessions of instruction whereby all sessions are related to each other. For each session, the objective of the session is stated and the descriptions of the content and activities involved are also provided. In particular, the manual will enable the participants to:

- ✓ Have an overview of the Budgeting and Planning processes at the National and Local government levels
- ✓ Cleary understand the concept of Public Expenditure Tracking as well as the methods and tools adopted to take forward PETS in selected Countries
- ✓ Clearly understand how to undertake Public Expenditure Tracking Surveys and establish Public expenditure Systems
- ✓ Clearly understand the role of CSOs and other stakeholders in Enhancing sustainable financial accountability in Tanzania
- ✓ Understand lobbying and advocacy techniques in PETS

Who is this Training Manual for?

This Manual is specifically designed for trainers or facilitators who provide training on Public Expenditure Tracking for Civil Society Organizations (CSOs) in Tanzania. The trainers do not have to be professional economists. They do need, however, to have basic skills, experience and commitment to participatory training methodologies and basic knowledge about public policies, planning and budgeting processes as well as on going Public Service Reforms and including Local Government Reforms in Tanzania

How to use the Manual

All sessions are designed to help trainers or facilitators provide meaningful discussion using a variety of participatory methods. The Manual uses the following key features:

Group discussion
Group discussion provides participants with an opportunity to share knowledge, skills and experiences related to the training theme. Participants can discuss key issues as one large group or form small discussion groups and then share their ideas with larger group.

Brainstorming sessions
In brainstorming sessions participants are asked to respond to questions that draw on their knowledge and experience.

Discussion questions
These are sample questions that trainers or facilitators can pose to participants to encourage discussion about a key concept. They are used to guide the direction and pace of the dialogue.

Presentations
These are brief explanations given by the facilitator/trainer in order to enhance participants understanding about key concepts

Case studies
Case studies are examples, based on actual situations used to support key concepts discussed in different sessions. The case studies can be used in several ways:

As a whole group activity:	Participants read the case study individually and then discuss the questions as a group.
In small groups:	In groups of four or five participants, each group reviews the case study, discusses the questions, and then shares their ideas with the rest of the group.
As a role play:	Working in pairs or small groups, participants assume the roles as described in the case study

Key points
Key points are brief statements to help facilitators emphasize important concepts. These points should be shared with the group. Facilitators are encouraged to restate these ideas in their own words.

Reference Notes

These are notes used by the trainer/facilitator during the course of training. Reference notes should be provided to all participants at the beginning or after the course is completed for further use by the participants.

This training manual serves as an outline for an effective training program rather than a script to be followed word for word. Impliedly, it can be used in different ways. For instance, the modules can be used all together and in order, during a four-day training workshop. Alternatively, one module or a few can be used in a one day or two-days training workshop. To help trainers plan their activities, each module includes an estimate of how much time a trainer will need to complete it.

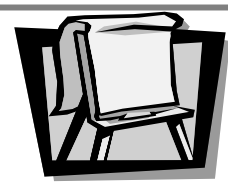
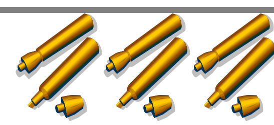
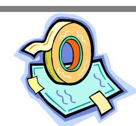
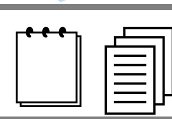
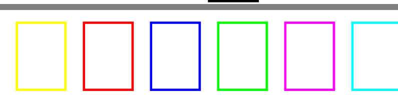
When implementing the PETS training program, trainers should consider the following suggestions:

☞ Apply appropriate training techniques based on the participants' training needs and level of understanding.

☞ Involve Government Officials and Politicians to share their experiences and expertise in regards to processes and procedures involved in budget formulation, implementation and monitoring.

What do you need for the Training session?

All training activities in this manual can be carried out using a few simple resources. These include:

1. Flip Chart or large sheets of blank paper	
2. Marker Pens , preferably of different colours	
3. Masking Tapes	
4. Handouts/Reference Notes	
5. Pieces of plain cards (can be manila cards), preferably of different colours and sizes	

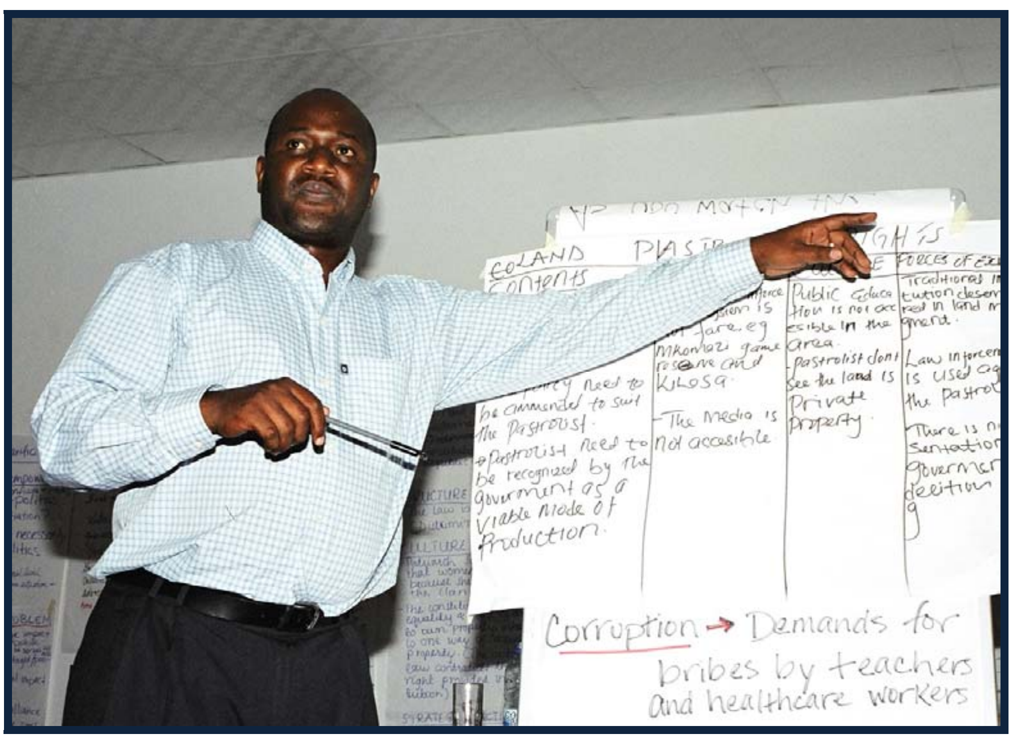
General Preparation:

Before the training session, the trainer will have to prepare brief presentations (can be Power-Point Presentation) and produce handouts based on the material presented under 'reference note'.

Getting Started:

At the beginning of the training course, welcome the participants to the training workshop. Introduce yourself and then lead the participants to introduce themselves (i.e. their names, organizational affiliation and their position and roles in the organizations they work for etc.), reflect on why they are there and identify their expectations.

Explain workshop objectives, logistics and rules of conduct. The latter should include such issues as respect for each participant's opinion, time management and order. It is also necessary to provide each participant with a copy of the agenda for the workshop, review the agenda and check for questions and comments about the workshop agenda and purpose. You can allocate 30 minutes for introductory session.



"The budget is the most important policy tool of government because, without money, government cannot implement any other policy successfully"

Budget Activist in Tanzania

Chapter 1

Orientation on Planning and the Budgeting Process in Tanzania

Introduction:

The purpose of this section is to introduce some key ideas and information about planning and budgeting processes in Tanzania. This is important because it helps participants to know existing opportunities for CSOs engagement in the budget process.

Learning Objectives

By the end of this session, participants will be able to:

1. Define the terms "Planning" and "Budgeting"
2. Describe and explain cycle and processes involved in planning and budgeting in Tanzania and the role of different stakeholders in the budget process
3. Describe how public resources are allocated to different levels of government and who is involved in budgeting

Activity 1:
The facilitator should introduce the session to the participants. This entails making clear to the participants the purpose of the session and how it shall be conducted.

Activity 2:
Lead the participants in a brainstorm session on the meaning of budget and its importance

Activity 3:
Lead a discussion on the main issues relating to plans, budgets, expenditure and monitoring.

Activity 4:
Facilitate a group exercise and plenary discussion on the planning and budgeting process in Tanzania – at the central and local government levels

Guiding questions for discussion:

1. What is planning? What are the different types of governmental planning?
2. What is budgeting?
3. Why is planning and budgeting important?
4. What are our experiences in planning and budgeting in Tanzania?
5. What are the main processes and procedures involved in the planning and budgeting process?

What is planning?

There certainly variations in terms of looking at the concept of Planning.

- **Planning** is a continuous process that involves making decisions or choices about the alternative ways of using available resources, with the aim of achieving particular goals in the future.[1]

- During the planning process, planners make choices/decisions about which problems (out of large array of problems) should be tacked and in what order of priority.

Government Planning

- In the context of the government, planning entails a process by which the government or its agencies influence the mobilization and distribution of national resources of the country towards the achievement of national objective (s).

- Planning matters because it is during this process that strategic decisions are made concerning problems to address and means by which service delivery can be improved.

- National plans impact crucially on the day-to-day lives of the average citizen and thus there should be a strong focus on consulting with beneficiary groups.

- Planning in the public sector is based on the assumption that the government can effectively distribute the national resources and increase the welfare of the people.

[1] *Cooksey B. and Kikula I., When Bottom-Up Meets Top-Down: The Limits of Local participation in Local Government Planning in Tanzania, REPOA, 2005, .p.5*

What is Budgeting?

Budgeting involves a projection of revenue and expenditure reflecting policy priorities and/or plans for the period of one year. Through budgeting, plans and policies are translated into actions by generating resources and allocating them.[2]

- A **Government Budget** is made according to a clear set of priorities established both nationally and within the institution or local government authority.
- It outlines the major sources of revenue, and how such revenues are to be expended as well as the overall budget surplus or deficit and how the budget deficit will be financed
- However, during the budget preparation process, the budget is scrutinized to ensure costs are within existing resource envelopes.

The Budget Frame

The Government budget has two sides:

1. Revenues
2. Expenditure

In ideal circumstances, the two sides are supposed to balance i.e. expenditure is supposed to be financed by revenues.

Recurrent and Development Expenditures

There are two categories of Government expenditures, namely recurrent and development expenditures.

Recurrent Expenditure: comprises the costs of running the services of the government --such as the cost of paying the salaries, wages, and utilities for effective the delivery of public services. It is also important to note that the Recurrent Budget has two components (a) Other Charges (OC) and (b) Personal Emoluments (PE). These need to be linked to the. Recurrent expenditure at the Local Government level in Tanzania comprises salaries, operational costs, maintenance and insurance costs, statutory expenditures and other miscellaneous costs.

Development Expenditure: This cover to the cost of implementing projects, such as putting up new roads, bridges, hospitals and schools. It should be noted that development budget consists of projects that are operated by the Government. These projects can be:

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[2] URT, Medium Term Strategic Planning and Budgeting Manual, November 2005, p. 4

1. Government funded
2. Donor funded (can be either loan-based or grant-based).

You need to know the type of project in order to measure the extent of government commitment in financing development projects.

Relationship between Planning and Budgeting

Planning and budgeting are complementary and mutually reinforcing.

While planning explicitly elaborates and gives quantitative expression of national goals and objectives, budgeting translate these broad goals and objectives into implementable programmes with greater detail and precision.

Why is Planning and Budgeting Important?

Planning and budgeting matters because it is during this process that strategic decisions are made concerning problems to address and means by which service delivery can be improved. This being the case, there should be a strong focus on consulting with beneficiary groups and ensuring that their needs or problems are addressed.

The Budget Cycle

Budgeting is a year-long cycle of processes whose different phase provides CSOs with varying opportunities to influence budget resources, allocation and outcomes.[3]

The budget cycle contains four key stages:

1. Budget Formulation
2. Budget Approval
3. Budget Implementation
4. Budget Monitoring and evaluation

Formulation: This takes place when executive branch (involving Government Ministries, Departments and Agencies (MDAs) and Local Government Authorities (LGAs) puts together the budget plan. This process is coordinated by the Ministry responsible for Finance.

Formulation of Government Budget is an incremental process in which each years new budget builds on the previous year's budget. Usually changes from earlier year reflect new policy priorities.

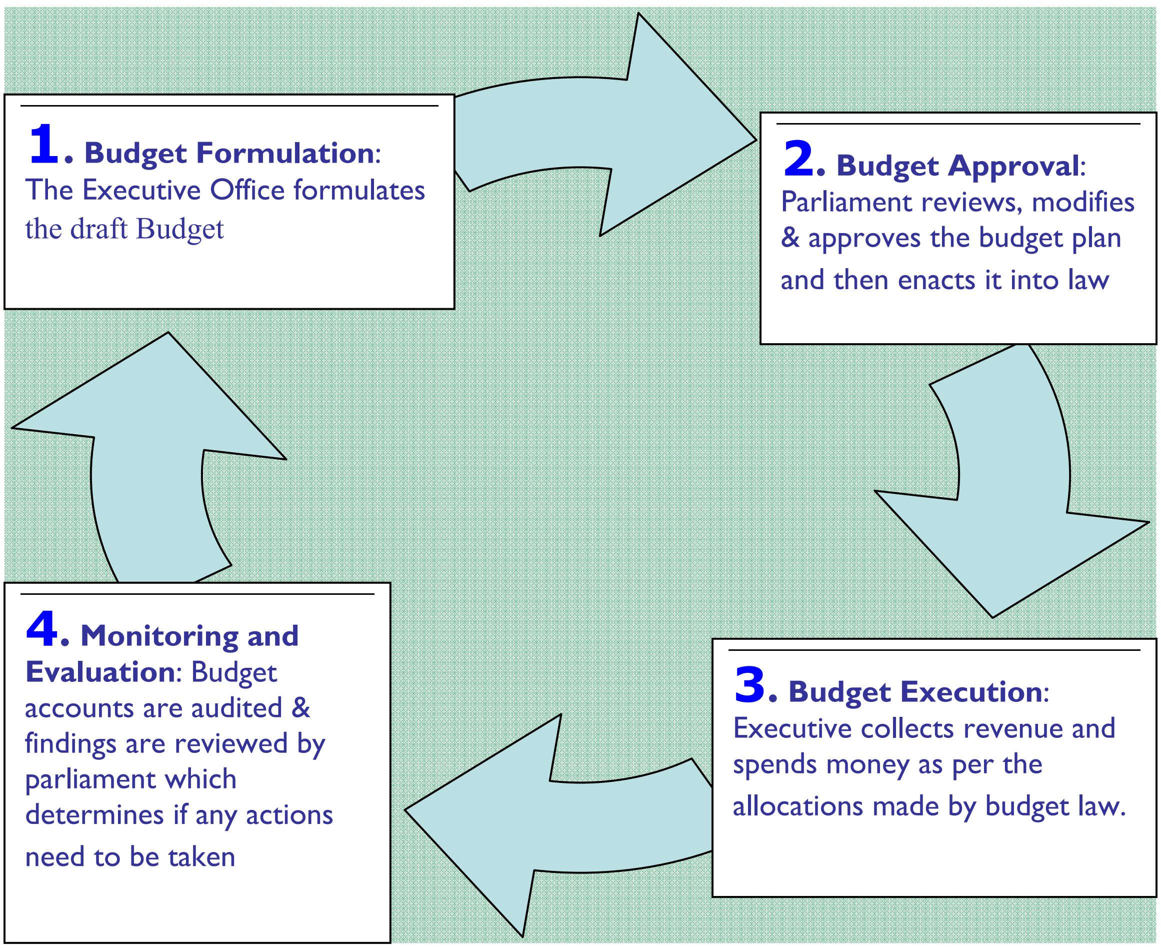
[3] Viveck Ramkumar, Our Money, Our Responsibility: A Citizens Guide to Monitoring Government Expenditure, International Budget Project, p.7

Approval: At this stage, the executive presents the budget plan to the parliament. The parliament discusses, modifies and approves the budget plan. When the parliament approves the budget plan, it becomes a law.

Implementation: This is when the government initiates expenditures authorized by budget law. It is important to note that budget expenditures are not always initiated as they were approved, and funds are sometimes spent on approved activities.

Monitoring and Evaluation: This stage involves a number of activities intended to measure not only whether public are being used in the best possible way but also whether public resources are being used for intended objectives. Principally, the National Audit Office and the parliament account for and assess government expenditures.

Figure 1: Stages in the Government Budget Circle[4]



[4] Adapted from Viveck Ramkumar, Our Money, Our Responsibility: A Citizens Guide to Monitoring Government Expenditure, International Budget Project, p.6

Budget Formulation at National and Local Government Levels in Tanzania

The planning and budgeting processes in Tanzania are guided by national and sector strategies and plans, and by Policies. These include:

- **Long Term National Strategies:** The most prominent of these strategies is The Tanzania Development Vision 2025. The Vision articulates the aspirations the nation wants to achieve over a 25 year period. These are general, and include, for example, "Peace and Stability" or "a well educated and learning society".
- **Medium Term National Strategies and Plans**: These plans are most prominently the Medium Term Plan and MKUKUTA designed to cover 3 and 5 years respectively to implement the Vision.
- **Sector Policies, Plans and Strategies**: These usually cut across several institutions- e.g. The National Education Policy, Health Policy, and Water Policy etc.
- **Overarching Policies:** These cut across sectors like Decentralization by Devolution[5].

The Budget Formulation and approval at National Level

Preparation of the budget begins with the issuance of national planning and budget guidelines around December each year.

- **Budget Guidelines:** These are *instructions for Ministries, Independent Departments, Executive Agencies, Regions and Local Government Authorities on the priorities of the Government as spelt out in the sector policies. This process suggests that in order to introduce changes in the budget process, changes must be mainstreamed into the budget guidelines.*

- *The guidelines also include information to councils about levels of funding by way of grants for the following year. The guidelines which are prepared by the Ministry of Finance and Economic Planning in with close involvement of the ministry responsible for regional administration and local government briefly recap the sector policies and point the area which should be accorded priority in the allocation of resources in the coming year.*

- *For the time being, the priority sectors are the pro-poor sectors of education, health, water, roads, agriculture and lands. Investment in these sectors is more apt to produce the desired impact in poverty reduction*

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[5] URT, Medium Term Strategic Planning and Budgeting Manual, 2005

The table below provides a summary of the stages involved in budget formulation at the national level.

Table 1: Stages in Budget Formulation at the National level

Stage	Month	Institutions	Roles/ Responsibilities
1	August	Ministry responsible for finance and economic planning	Prepares Macro Economic Frame, Economic Policy, Total Resource Projections and Recommended Allocations
2	September	Ministry of finance and economic planning	Preparation & Issuing of Budget Guidelines, Budget Policy Priorities, Vote Ceilings, Mid Year Review Guidelines
3	October	Ministries/Regions/Independent Departments	Development of Institutional (Ministerial) Guidelines
4	November	Ministries/Regions/Independent Departments	Conduct Mid-Year Review, Estimate Preparations, Scrutiny of Estimates, Consolidation, Coordination
5	January	Ministry of finance and economic planning	Preparation of the Consolidated and coordinated budget overview
6	February	Cabinet	Provision of Guidance on Policy and Priorities
7	March	Sectoral Ministries	Updating Budget Ceilings
8	April	Ministry of finance and economic planning	Preparation of Cabinet paper ad Submission to Inter-Ministerial Committee (IMTC) and Cabinet
9	May	Ministry of finance and economic planning	Final Adjustment on Budget, Printing Documents
10	June	Parliament/Parliamentarians	Budget Discussion in Parliament
11	July	Parliament/Parliamentarians	Parliament approves the budget and Authorizes Appropriation Act and Finance Act.
12	August	Executive (MDAs& LGAs)	Budget implementation begins

Source: URT: Government Budget Management in Tanzania: A Handbook

District Level Budget Formulation Process

The LGAs planning and budgeting processes in Tanzania are guided by the 'Guidelines for the preparation of LGAs Medium Term Plans and Budgets, issued annually by PMO-RALG. These guidelines reflect national plans and Strategies.

The planning and budget cycle for LGAs requires planning to start at the lowest level of the local government--the village. To facilitate participatory development, a National Framework on Participatory Planning and Budgeting at district level has been put in place. This framework provides guiding principles for participatory planning in district planning and budgeting. It describes the legal framework, the roles and responsibilities of government institution at different governance levels (including the district, ward village levels). The Framework emphasizes the need for participatory planning from the village to the District level.

Based on the framework and on the need to harmonize the various participatory approaches and tools being used by different development supporters in different districts and at different times, the Opportunities and Obstacles to Development (O&OD) methodology was developed.

The O&OD is a methodology for harmonizing the different participatory approaches and facilitates the bottom-up approach to planning. It is being rolled out to all the councils as a means for preparing basic village plans while capacitating the villages, wards, district and regions and it will be made a preconditions for development planning at the district and sub district levels. The O&OD methodology is an extensive consultative process that uses participatory tools to come up with the village and district plans. It is a vehicle, which carries the Tanzania Development Vision 2025 (TDV) and hence forming the basis for implementing poverty reduction efforts. It has been developed to institutionalize the local government reforms in line with the government aspirations to devolve decision-making powers to the communities. [6]

The O&OD method is applied in order to ensure that plans emanate from the grassroots. It is believed that through the O&OD process, people's priorities and felt needs will be captured in the course of formulating the council's annual plan and budget, and that the approved plan and budget continue to reflect those priorities and needs as perceived by the people themselves.

The table below describes the district level planning and budget formulation process. This covers the process of planning and budgeting for development activities to be funded through the Local Government Capital Development Grants (GCDG).

This implies that the grant funds to districts through the LCGDG system will be used to finance the plans generated through the use of the O&OD methodology. It is important to understand this in order to know where there are opportunities for CSOs to engage with the process and to try to influence it.

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[6] PMORALG website

Table 2: Budget formulation and approval at the Local Government

Month	Activity
September	Evaluation of LGAs performance in previous year for submission to PMO-RALG
December	PMO-RALG publishes Capital Grant and Capacity Building Grant allocations under LGSP (Indicative Planning Figures - IPF) for the coming year, along with 'guidelines.'
December-January	LGAs prepare draft plans and budgets and notify Ward Development Committees (WDC) and Village Committees (VCs) about guidelines and figures (50% of IPF to be distributed to Wards and Villages)
February	Villages prepare development plans and budgets using O&OD methodology facilitated by Ward and District Facilitators.
March	WDC approves plans Village Assembly meets to approve plan WDC consolidates village plans and submits to LGA District writes final District Development Plan
April	District reviews District Development Plan and sends to Regional Advisory Committee RAC makes recommendations LGA presents Budget Plan to full Council meeting for approval (Council can refuse to incorporate RAC recommendations but cannot cancel WDC approved projects for which IPF funds are available)
May	LGA presents adopted plan to PMO-RALG and MoF
June	Parliament approves National Budget
July-August	MoF release funds to LGA LGA provides printed notification of allocated funds and projects approved to Wards and Villages. The Budget guidelines requires that villages and wards inform communities about the approved budget and their respective allocation thorough the notice boards or other means .
August	LGAs begin implementing plans

It should be noted that, the formulation of District recurrent budget is the sole responsibility of the Council Managements Team (CMT).

The Budget Implementation in Tanzania

Generally speaking, the budget implementation process follows five key steps:

1. Release of public resources to various MDAs and LGAs) as per approved budget
2. MDAs and LGAs initiate expenditure directly or by producing goods and services
3. Payments are made for those expenditures
4. Record expenditure transactions in accounting books and
5. Production of quarterly financial report and the end of the year (usually in June) when accounting books are officially closed-produce year end reports

Release of Funds to MDAs and LGAs

Budget implementation starts when the National Treasury- Ministry of Finance and Economic Planning release funds to individual MDAs and LGAs to facilitate the production of goods and services. This occurs when the parliament has passed the budget into law. Usually, financial transfers are made in quarterly or monthly basis.

Initiation of Expenditure

When funding is released to individual MDAs and LGAs, designed officer proposed specific expenditures (basing on approved budget). The Chief accounting Officer – often the Chief Financial Officer (For the case of MDAs) and Treasurer (for LGAs) reviews the proposals to ensure that they follow within the budget and that appropriate procedures have been followed. Upon approval of the proposal, MDA or LGA places an order for the goods and services needed to implement the expenditure.

Payment

In all MDAs and LGAs in Tanzania, payment is the responsibility of accounts department. Payment is done in the form of check or bank transfer.

Recording transactions

The Government of Tanzania uses the cash accounting system, under which expenditure are recorded in the accounting books once payment is made, immediately upon issuance of payment order.

Production of Budget Accounts and Reports

The 12-month period during which the budget is affected is called budget year. As far as Tanzania is concerned, the budget/financial year starts on the 1st day of July of a particular year and ends on the 31st day of June of the following year.

During the course of the year staff at the accounting department record all revenue and expenditure transactions. These records form the basis for quarterly budget and accounting reports. At the end of the budget year, all reports are compiled and included in the End of the year budget and financial accounts. These annual accounts are then subjected to audit.

Identifying Common problems in Tanzania's Budget process

There are many factors affecting the performance of government. These include:

1. **Poor planning**: Poor statement of plans and unrealistic financial projections affect negatively the budget effectiveness-especially in making sure that budget produces the intended results

2. **Weak financial management systems**: This is expressed by government inability to manage the flow of funds. In most cases, financial disbursements are delayed leading to government inability to provide services to the citizens at the right quality, quantity and time

3. **Corruption**: Some public officials divert public money for private gains-- through procurement irregularities and other means

4. **Inadequate funding:** Sometimes budgets fail to fund intended activities due to problems in revenue collect e.g. When donors fail to meet their promises

5. **Diversion of funds**: When government inappropriately diverts funds for unintended projects e.g. the money for purchase of school equipment might be diverted into "allowance".

6. **Use of government money reserves**: the government draws money when unexpected events such as floods, drought occur. Thus budgets are adjusted to respond to such needs.

7. **Weak budget oversight:** This is sometimes caused by capacity limitations of the Parliament and National Audit Office

It is important to note that understanding of the nature and source of the above problems is necessary if the budget process in Tanzania is to be effective and efficient. However, this requires a joint effort by the government and the civil society to monitor national budget effectively. Chapter 2 presents a variety of tools that can be used by CSOs to take part and influence the budget monitoring process.

Chapter Two

A Guide to Monitoring Budgets and Service Delivery

Introduction

This session introduces participants to a variety of tools and/or mechanisms that can be used to engage in budget and service delivery monitoring effectively. In regards to this, the types of tools will be described and case examples of countries where the tools have been applied will be discusses.

Session Objectives

By the end of this session, participants will be able to:

1. Describe and explain the budget and service delivery monitoring tools"
2. Describe lessons learned from case studies.

Session activities:

Activity 1:
The facilitator generally introduce the subject on the monitoring of government budget and service delivery

Activity 2:
Lead the participants to brainstorm the types of services provided by the Government of Tanzania --clearly describing the roles of the Central Government and those of Local government.

Activity 3:
Lead the participants to describe and discuss the ways in which government budget and service delivery in Tanzania can be monitored.

Activity 4:
Provide a brief introduction of case studies on budget and service delivery monitoring tools and lead the participants to discuss the lessons learnt.

Activity 5:
To conclude the session, conduct a brief presentation to emphasize key issues discusses

The most common services provided by government

The government of Tanzania is responsible for providing essential services to the people. They include:

1. Water supply
2. Education
3. Health care
4. Agricultural extension and livestock
5. Roads
6. Refuse collection etc

Some of these services are provided by the central government while others are provided by the local government authorities. In some instances, the government gives contracts to private entities to provide some services.

If the government contracts out work, it is still responsible for making sure that the work is carried out well and at a certain level of quality. The advantage to local authorities of using the private sector and voluntary organizations is that they pay only for the services they need rather than having to employ people permanently.

Roots of the Service Delivery Problems

There are limitations in terms of the quantity and quality of services provided by the government in the country. This is seen from the worst service indicators in various sectors.

For example, in many health centres, the drug stores have no drugs; there is inadequate number of teachers in schools; the quality of education is very poor, there is no access to water services etc.

There are number of factors affecting service delivery at the national and local government levels. The World Bank in its 2004 World Development Report highlighted the following roots of the service delivery problems in most developing countries.

1. **Misallocation of public resources:** i.e. the government is spending on the wrong goods or on the wrong people. This effectively is a budgeting or resources allocation problem

2. **Recourses never reach the intended beneficiaries, even** when the money reaches the service provider, the incentives to provide the service may be weak

3. **Finally, there may be demand side failure** i.e. people may not avail of the services provided to them. This to a larger extent is a problem of awareness and participation

The above issues are issues of concerns that need to be addressed and really call for improvements in the way the government deliver services to the citizens.

Mechanisms in Budget and Service Delivery Monitoring

There are several internationally recognized methods of Budget and service delivery monitoring:

1. **Conducting benefit incidence analysis**:

This looks at who benefits from government budget or public money, including taxes and is normally conducted by outside researchers. A major advantage of BIA is that it is more directly linked to the policy goals adopted by the government.. These typically relate to ensuring equitable access or its equivalent. The findings are also particularly relevant to the poverty reduction targets set out in MKUKUTA.

2. **Quantitative Service Delivery Surveys (QSDS):**

QSDS examines the efficacy of spending, as well as incentives oversight, and the relationship between those who contract for a service and those who deliver it (for example, the relationship between parents and school administrators). In QSDS the facility or service provider (such as schools, hospitals, courts or the police) is typically the main unit of observation, just as the household is the unit of observation in household surveys.

QSDS can be applied to government and private (for-profit and not-for-profit) service providers. In each case, data are collected both through interviews with managers and staff and from the service provider's records. In some cases, beneficiaries are also surveyed. Triangulating the data collection allows cross-validation of information. However, such information collection is time-consuming.
QSDS collects data on data on inputs, outputs, quality, pricing etc. and pays close attention to the incentives governing the unit. QSDs try to answer questions such as:

i. Why is there so much absenteeism in the workforce?
ii. Why do workers provide bad service and show low motivation?
iii. How can one design contracts or structure the pay to induce high rather than low effort? etc

3. **Citizen Report Cards (CRCs) :**

Citizen Report Cards (CRCs) are participatory surveys that solicit citizens' feedback on public services from actual *users* of a service and not opinion from general public.

CRCs assess the performance of individual service providers and/or compare performance across the service providers. This data is collected, aggregated and used to raise awareness among the general population, as well as among the authorities in charge. These report cards have had great success, especially in Asia.

4. Community Score Cards (CSCs):

Citizen Report Cards are participatory surveys that provide quantative feedback on user perceptions on the quality, adequacy and efficiency of public services. They go beyond just being a data collection exercise to being an instrument to exact public accountability through the extensive media coverage and civil society advocacy that accompanies the process. CSCs aim to give immediate local feedback on a particular program or project. They often involve the convening of a large meeting in which community members discuss and qualitatively evaluate public programs and initiatives in their area. This monitoring device focuses especially on raising public awareness and building ownership within the communities.

Difference between Citizen Report Cards & Community Score Cards

Citizen Report Card	Community Score Card
▪ Unit - household/individual ▪ Meant for macro level ▪ Main output is demand side data on performance and actual scores ▪ Implementation time longer (3-6 months) ▪ Feedback later, through media ▪ Information collected through questionnaires	▪ Unit – Community ▪ Meant for local level ▪ Emphasis on immediate feedback and accountability, less on actual data ▪ Implementation time short (3-6 weeks) ▪ Information collected through focus group discussions

5. Public Expenditure Tracking Surveys/Systems (PETS):

PETS trace funds from the starting point (i.e. the Central Government and Ministry of Finance) to their final destination. PETS is a means of presenting financial information that allows stakeholders to see more clearly where money is coming from and where it is being spent, as well as allowing the service users to reconcile incoming funds with expenditures. It is sometimes referred to as "following the money".

This Manual focuses on the use of PETS as a tool to assess the budget performance and service delivery. Specifically, the use of PETS as an effective monitoring system for the government and the role of CSO in implementing PETS will be the focus in the following chapter.

Case Studies of Successful Initiatives to Monitor Budget and Service Delivery

Guiding questions for group discussion:

1. What are the main lessons learnt from the Initiative presented below?
2. Is there any thing we can apply in our own environment?

Case Study 1:

Citizens' Report Cards – The Bangalore Experience

The 'report card' on public services was created by a group of civil society institutions in the city of Bangalore in India.

The motivation for the initiative was what was seen to be the poor standards of service delivery by public institutions in the city. The group had no power or influence over the authorities or the institutions delivering services in the city. They decided that the best way to stimulate an informed debate on the state of public services in the city was to enable the users of public services to give feedback on their experiences with the services.

They consequently devised a 'report card' that asked Respondents to rate the institutions of service delivery in the city that they had had direct experience with. The exercise produced a users' evaluation of the main service providers in the city, with each institution ranked according to their customers' satisfaction rating. The survey also asked more detailed question of separate aspects of service delivery (e.g. staff behaviour and quality of service provided, use of 'speed money' and degree of responsiveness to complaints

The results were shared with the heads of all the agencies surveyed, and were given extensive coverage in the press. The report cards had a remarkable impact on the public awareness of the need for improvement in social services delivery, and were instrumental in mobilizing public pressure for improvement, which in turn triggered reform in several of the agencies that had received unfavorable ratings.

A repeat survey in 1999 showed significant improvement in user satisfaction for the majority of the public service institutions, proving that it is possible for independent research and pressure groups to impact positively on service.

Case Study 2:

Social Audit in India by Mazdoor Kisan Shakti Sanghatan, (MKSS)

MKSS was founded by a group of activists in a poor village in the Indian state of Rajasthan in 1990. Their mission is to "Champion the Right to Information in Rural India. The early work of the MKSS focused on relief work and campaigns for farm workers to be paid the minimum wage. They soon found, however, that work to improve the infrastructure for the poor was often undermined by rampant corruption.

In 1994, MKSS organized its first social audit by conducting public hearings where official reports and financial statements are presented to the public in the presence of local government officials. This often led to the public exposure of corrupt practices.

In the beginning, MKSS relied on sympathetic local government officials to access the documents, and they often faced considerable obstacles in gaining access to official information. This led them to engage in a campaign for the right to information.

The first "Right to Information" law in Rajasthan was passed in 1995. It took another year before the law was implemented, and only after MKSS organized a strike in protest of non-action.
When the Act was implemented, it was done so only partially.

Finally, in 2000, the state government enacted a new "Rajasthan Right to Information Act" that provided the level of access to official records that they had demanded. It needs to be noted, however, that the progressive new law notwithstanding, MKSS still continue to face considerable resistance from the local bureaucracy in the release of official information.

Recently, the work of MKSS has led to significant improvements in the use of development funds earmarked to benefit the poor. MKSS' successes have spurred similar freedom to information campaigns in other Indian states (see www.parivartan.com for information on a partner initiative in Delhi).

The state government has also realized the effectiveness of MKSS' approach and has started arranging public hearings under the supervision of MKSS. This is a good example of the kind of partnership that can be built between civil society and government to enhance accountability, transparency and integrity.

Case study 3:

Participatory tracking in Philippines - CCAGG

In 1987, a group of professionals in the Northern Philippine state of Abra formed the NGO, the Concerned Citizens of Abra for Good Government (CCAGG).

From its inception, CCAGG worked with the local government authorities to monitor the implementation of the Community Employment and Development Programme (CEDP).CCAGG soon came across and documented serious irregularities in the reporting of CEDP projects. Its first case was a follow up to an announcement by the Department of Public Works and Highways, that it had successfully completed 20 infrastructure projects in Abra.

CCAGG quickly documented that some of the projects hadn't even started and that others had been completed using sub-standard materials.

As a consequence of CCAGG's investigations, 11 officials were found guilty of misconduct and were dismissed. CCAGG has continued its vigilance after its first success and soon became eponymous with public
Vigilance. Public departments in Abra often ask each other if they have been 'CCAGG'ed' recently i.e. if they have been made subject to a CCAGG audit.

The organization received the Transparency International Integrity Award in 2000 for its successes in promoting public accountability. The same year, CCAGG entered an agreement with the Philippines Commission of Audit (COA) that members of CCAGG will participate in COA audit teams for audit engagements in Abra province.

The partnership is seen to be highly beneficial for COA, as it provides a new dimension of capacity, providing 'value for money' audits, as well as enabling corrective actions in the implementation of public works projects, in addition to the post-audits traditionally performed by COA.

Chapter Three

Understanding the PETS Methodology

Introduction:

This session introduces participants to the concept of PETS and the PETS process. It purports to enable participants to have a clear understanding of what PETS entails, the purpose it serves, the benefits and the tools and methods applied to implement PETS. Additionally, it will take the participants through the processes involved in PETS and the role of CSO s and other stakeholders in enhancing PETS initiative .

Session Objectives

By the end of this session, participants will be able to:

1. Define the terms "Public Expenditure Tracking Survey" and "Public Expenditure Tracking Systems"
2. Identify the purpose of PETS, the benefits and mechanisms applied in implementation of PETS
3. Describe the PETS process and explain how CSOs and other stakeholders can effectively engage in the PETS process

Session 1:

What is Public Expenditure Tracking?

Session Activities:

Activity 1
Review the objectives for Session One: Understanding the PETS methodology

Activity 2
Facilitator should generally introduce the subject of PETS

Activity 3
Ask the participants to share their understanding and/or experiences in PETS.

Activity 4:
Establish a working definition of PETS to be used throughout the duration of the training workshop

Public Expenditure Tracking is a tool for tracking budgetary allocations, disbursement and utilization…

Elimu Yetu Coalition, 2002

Public Expenditure Tracking (PET) is 'following the money' from where it is disbursed by central government authorities, through local government, to end users such as in schools and clinics.

Foundation for Civil Society, August 2006

What is Public Expenditure Tracking (PET)?

Public Expenditure Tracking is a careful and intentional 'watch' over the use of public resources. It involves close monitoring, assessment and evaluation of the government budget process i.e. from planning, allocations, disbursement, and implementation to the final stage of assessing the effect or rather impact of budget.

Public Expenditure Tracking sets out to answer the following questions:

i. What are the service delivery objectives i.e. policy objectives?
ii. What is the amount of resources allocated for service delivery?
iii. Do the funds and material resources reach the intended beneficiaries?
iv. What are the processes and procedures involved in budget planning, allocation, disbursement, execution and evaluation?
v. How efficient and effective the budget process is?
vi. What is the amount of money spent at each level and how?
vii. Is there any leakage or diversion of funds? if yes, PET may go further and ask why are funds diverted or leaked?
viii. What is the impact of the budget on service delivery?

In short, PET looks at the following aspects of national budget:

- Inputs
- Processes
- Outputs
- Outcomes/Impact

Chart 2 provides a typical example of an issue that may be looked at in each aspect.

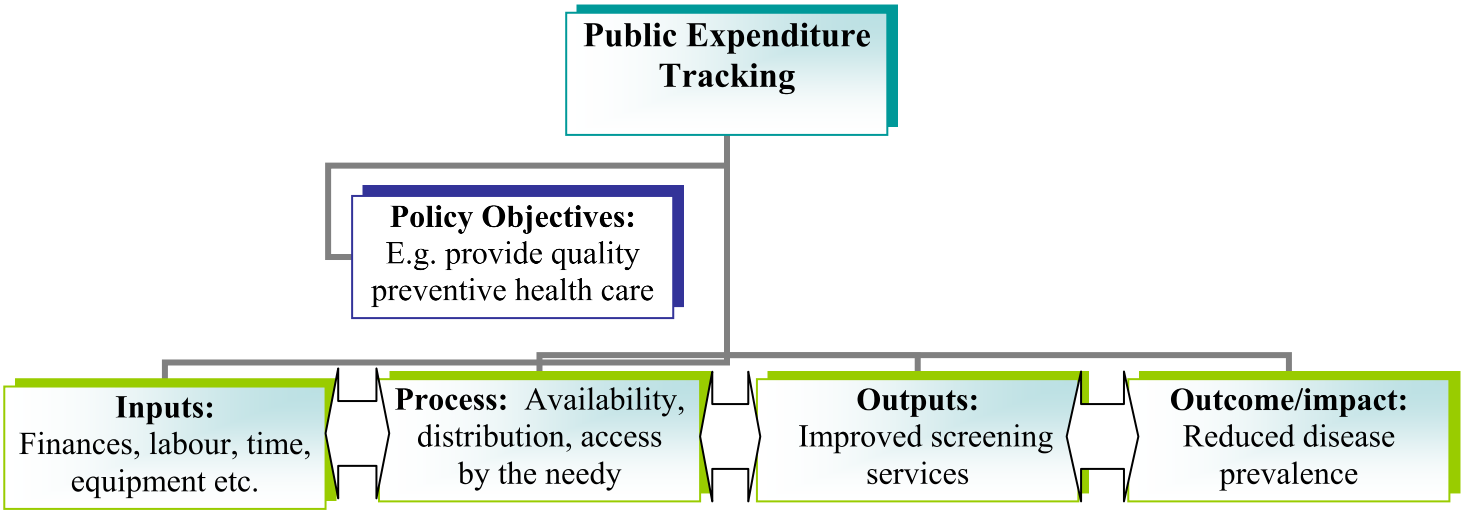


Chart 2: Main aspects of PETS

Public Expenditure Tracking involves two important processes

1. Conducting Public Expenditure Tracking Surveys or Studies (PETS)
2. Establishment of Public Expenditure Tracking Systems (PETS)

Thus, in this Manual, PETS refers to a kind of initiative aimed providing the citizens with information about public financial expenditures in order to hold public officials at the different levels to account for their decisions and actions when managing public resources.

1. PET *Surveys or Studies*, what they are?

These are surveys or studies ultimately intended to provide local communities with information about the amount of resources allocated to particular services in their area and how the resources have been spent to realize the intended objectives. In other words PETS are a tool for providing information on how government or public money is spent.[7]

- PETS assess the flow of resources from the source i.e. the Ministry of Finance and Planning through the various layers of government to the end user; perhaps to the primary school or health clinic

- PETS compare budgetary allocation to actual spending and involves following the money to where is spent, comparing budgetary allocations with records of transfers and receipts at each level of government

[7] *Follow the Money, A Resource Book for Trainers on Public Expenditure Tracking in Tanzania*, Hakikazi Catalyst, REPOA, TGNP, p. 7

- PETS determines much the how much of the originally allocated resources reach each level and how long they take to get there. Thus Public Expenditure Tracking Surveys assess the leakage of public funds and can help to assess the efficiency and effectiveness of public spending and the quality and quantity of services.

2. PET *Systems,* what they are??

A Public Expenditure Tracking System (PETS) is a system of presenting financial information in a way that allows different stakeholders to see more clearly where the money is coming from and where it is being spent.

- Public Expenditure Tracking System also allows the service users to compare incoming funds with expenditures.

- Public Expenditure Tracking System involves setting up permanent structures, processes and procedures for sustainable monitoring of public financial expenditure in the community.

- Public Expenditure Tracking Systems and Surveys are tools aimed at promoting dialogue between the government and the civil society in regards to how the public money is spent.

Table 3: Differences between PET Surveys and PET Systems

Public Expenditure Tracking Surveys	Public Expenditure Tracking Systems
Involves conducting studies or surveys on public expenditures	Encompasses setting up structures, processes and procedures relevant for PET
Surveys are mostly temporary- one time or short time studies. They can mostly provide financial information over a specified periods of time	Establish permanent structures for continuous monitoring of public expenditures in the community
Largely conducted by International and Local NGOs since conducting public expenditure tracking survey requires some level of technical and financial capability.	Emphasizes active participation of Local Government Authorities, Civil Society, and local community in the tracking process.
The focus of PETS is the government at different levels	Local government is the main target

Tracking Surveys or Systems: What's the best? And why?

For a long time, tracking studies have been used by various countries to track public expenditures and have proven to be very effective in assessing the effectiveness of government budgets. However, Public Expenditure Tracking Studies/Surveys have some kind of limitations.[8] For example, the studies have always required some level of technical and financial competence. This has always limited the participation of CSOs and the local community in the tracking process.

Additionally, most studies have tended to be large scale and one time process thus they have had a short term impact.[9] Unlike the surveys or studies, Public Expenditure Tracking Systems develop a permanent system that will help to ensure continuous flow of information from government down to local communities and vise versa.

Public Expenditure Tracking Systems are therefore recommended as effective tools for monitoring government budgets due to the following reasons:

- Emphasize cooperation and wider participation of all stakeholders in the tracking process. This helps to ensure effectiveness
- Create permanent structures and thus PET will turn out to be an on-going process
- Helps to ensure ownership and sustainability because public expenditure tracking also becomes community own responsibility.
- Systems may be difficult to establish but cheap and easy to maintain as they don't necessary require high level of technical and financial competence

Despite the recommendations however, users of this manual are free to choose whatever PET activity they want to implement depending on their objectives, use, roles in the community and organizational capacity (including finance, human resources etc).

[8] SNV (no date): Public Expenditure Tracking (PET) in Tanzania at district-level: effects on local accountability.
[9] *Follow the Money, A Resource Book for Trainers on Public Expenditure Tracking in Tanzania*, Hakikazi Catalyst, REPOA, TGNP, p. 7

Key Points:

- PETS recognizes that all government budgets do, or must deliver services to meet the needs of all citizens in a country

- PETS is about looking at the impact of every part of the national budget on the various groups of people in the community

- PETS is not only about how much money is allocated and spent in providing services to community but also how much money reached the intended recipients and how the services provided benefit the needy in the society

- PETS is also about assessing whether the current distribution of available resources is the most effective, efficient, economic, and equitable way of achieving government policy objectives.

- PETS can be conducted at any level of government- Central Government (involving Ministries, Departments and Agencies) or Local Government (involving Local Government Authorities, Wards and Villages levels)

- PETS may involve one or several public institutions depending on purpose and ones capacity to conduct the PETS. For example, one can track government spending on primary education from district to village level or from the central government all the way to village level

- PETS may involve one sector or several sectors all together, let say education, health, agriculture, roads, water etc

Session 2:

What is purpose and benefits of PETS?

Session Activities:

Activity 1
The facilitator should lead a plenary discussion on the main purpose and benefits of PETS

Activity 2
Briefly present and summarize the purpose and benefits of PETS basing on reference notes presented below.

The Purpose of PETS

The increasing popularity of PETS testifies to the varied purposes it serves. However, the aim of PETS is broader than simply presenting public financial information. Specifically, PETS intends to:

1. Improve the integrity and transparency in public procurement;

2. Promote equity, efficiency and effectiveness in government policy and implementation;

3. Promote accountability on the part of government and public representatives, and to minimize corruption;

4. Inform and enhance citizen participation in economic planning by strengthening leverage and tools for policy implementation;

5. Encourage citizens' budget literacy and a level of comfort at tracing how much money was set aside or not for service delivery and development policy commitments

6. Improve the allocation of resources to those who need them most i.e. the poor

7. Build the non governmental sector monitoring capacity

8. Improve the ability of civil society to monitor the government's progress in combating corruption

9. Contribute to the quality impact of decentralization through improved capacity by both officials and community group

10. Contributes to the attainment of the Millennium Development Goals (MDGs) and National Strategy for Growth and Poverty Reduction (NSGPR)

Benefits of PETS

By monitoring and/ or assessing inputs, processes, outcomes and outputs of government budgets the following can be achieved:

- Improved **accountability** of governments and representatives towards the community
- Improved **efficiency** by ensuring that those who need it most benefit from public expenditures
- Improved **transparency, integrity** and **reduced corruption**.
- Informed **participation** of the community in planning and budgeting policies (this can enable policy making processes to effectively address the needs of the poorest and the powerless

Session 3:

Carrying Out Public Expenditure Tracking

Session Activities

Activity 1

The facilitator should provide a brief introduction on the session-carrying out public expenditure tracking and highlight the main objectives of the session

Activity 2

Lead the participants into group discussions and presentation on key steps in the PETS process

Activity 3

Clearly describe and explain the main processes and procedures involved in PETS and emphasize key points

Implementation of PETS

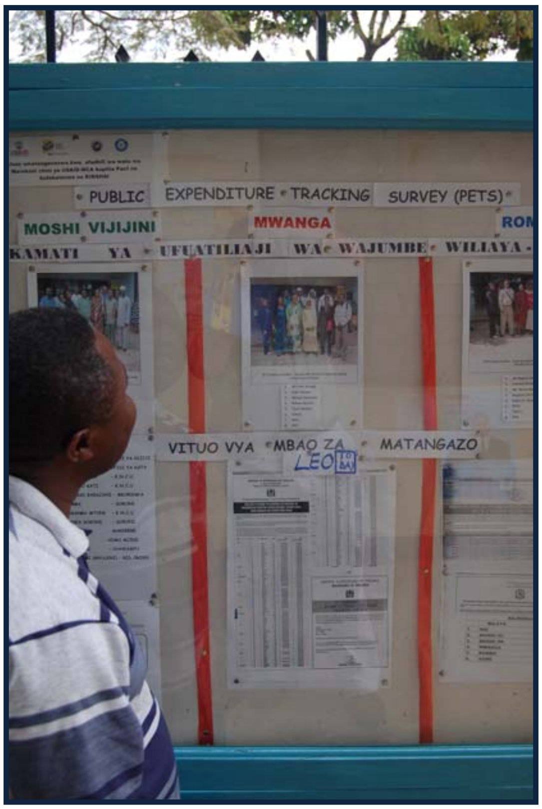
Most organizations interested in PETS will not have all of the skills required conduct PETS effectively. This session presents a simple guide to help individuals and CSOs interested in PETS to understand the PETS process and or undertake the surveys/studies effectively. Key steps involved in establishment of tracking system are also described.

How to conduct Public Expenditure Tracking Surveys/Studies

The steps involved in the public expenditure tracking surveys are as follow:

1. Definition of the purpose and scope of study
2. Identification and selection of key actors or stakeholders to be involved in the study
3. Design of PETS tools or instrument
4. Data collection
5. Data analysis and preparation of PETS report
6. Disseminate of PETS findings

Step 1: Definition of the purpose and scope of study/survey



Before initiating a study, you need to be very clear on the purpose of your study. What exactly do you want to achieve? Is there a government policy or program you wish to assess? Is it just a matter of collecting information or diagnose the problem? Do you want to use data for lobbying and policy advocacy?

In addition, you need to decide on scope of your study i.e. what are the limits of your study? What services or sectors do you wish to cover? Do you want to focus on a single service provider or multiple services? For example you may decide to track expenditures in education sector in your community.

Step 2: Identification and selection of key actors or stakeholders to be involved in the study

It is important to identify and select actors/stakeholders i.e. individuals or institutions who will be involved in your study. Depending on purpose of the study, the actors can be households, individuals, organizations or groups.

The following questions will help you clarify the actors or stakeholders:

- What is your Institution/community/ population of interest?
- Will the PETS be carried out in your own city/town/rural community
- Do you also want to analyze service delivery by sector/ region/ district/ward/ village division?
- Are there particular groups of institutions/ population who are of particular interest to your study (Ministries, Departments, Agencies, LGAs, NGOs, CBOs,

FBOs, Public and Private schools, hospitals, females, disabled, elderly, people living with HIV/AIDS, poor men etc)

- Who provides the services e.g. is the Central Government or LGA the main service provider? Do the other stakeholders involved in service provisioning? t
- What role do they play in service provisioning?
- What level of information do they have?

With a list of population of interest or actors complete, it is time to decide on the number of institutions/CSOs/individuals to include in the survey. This is because collection of information from the entire population is extremely expensive, difficult to manage and can take a lot of time[10]. The process of selecting a manageable number of actors from the entire list of interested actors is called **sampling.**

There are several sampling methods to choose from. It is important though, to select an appropriate sampling method. The most recommended method is probability sampling, which encompasses random sampling, systematic sampling and stratified sampling.

Simple Random Sampling

- In this method, actors are randomly selected.
- Each actor in the list has an equal chance and known chance of being selected
- Each actor in the list is assigned a number. Then the numbers are randomly selected using:
    - table of random numbers
    - a lottery machine
    - a computer random number generator or some other methods
- Random sampling is easy to carry out and explain to others, but there are chances that important actors from the list may be left out.

Systematic Sampling

- After calculating the required number of actors, every Nth actor is selected from the listing of actors.
- The advantage of this method is simplicity
- Provided that the list does not contain a hidden order, this sampling method has a similar limitation as random sampling.

Stratified Sampling

- This method is used when actors have sub groups or strata.
- Examples of Strata are males/females, rural/urban, poor/rich, elderly/ youth/children, less educated/educated etc.
- The relevant stratum and their proportion must be identified
- Actors within each stratum are selected using random sampling method

[10] Service Delivery improvements through the Citizens Report Card, Asian Development Bank (ADB) and Asian Development Bank Institute (ADBI), 2005, P.55

Purposive sampling

Depending on the type of data to be collected, actor can also be selected using

- Purposive sampling is a type of non-probability sampling
- In this method, actors in the list do not have an equal chance and known chance of being selected for study
- Actors are chosen based on purpose of the study
- Involves selection of actors who have information that is exactly needed for the study
- One problem with purposive sampling is that it does not produce a sample that is representative of the entire population.

Step 3: Design of PETS tools or instruments

There are different forms of tools that are used in executing PETS. They include Citizens report cards, Community score cards, Pima cards etc. However, the most common tool is the questionnaire. In the PETS process, the questionnaire is often used to collect data on the flow of finances from the source down to the intended recipients.

Designing a questionnaire

The process of designing PETS questionnaire is generally guided by the purpose of study. It is necessary to identify key issues or areas that need to be captured and then prepare a set of questions to guide the data collection process. Common issues in PETS include: flow of funds, expenditures, leakage and diversion of funds, accountability structures, availability, usage and access to services, quality of services, problem incidence corruption.

Let's say, you want to know whether or not the money allocated for construction of teacher houses in Masasi District Council was properly managed, the sample questions would be:

- How many teacher houses did Masasi D.C plan to construct last year? And where? How do they benefit the teachers?
- What was the amount of funds allocated for construction of the houses?
- What was the actual amount of funds received?
- What were sources of funds?
- When was the money received? And how?
- How many houses were built using this money?
- How was the money spent and when?
- What was role of different stakeholders in construction process?

Depending on the type of information you want to collect, write down items in the order of importance in order to ensure that all key issues you want to address are captured.

Thereafter, organize a meeting with agencies or service providers. Provide them with basic information about the PETS process like the basis or usefulness of PETS to alleviate their fears.

During the meeting, remember to collect information useful for strengthening your questionnaire. You need to review all the questions that you have written to see if you will be able to come up with intended results. It is also important to pilot test and revise the questionnaire (as needed).

Basic Principles to consider when designing the PETS Questionnaire

- **Accuracy:** It is important develop questions that will enable you to collect the information that is accurate. One way of doing this is by asking different groups of actors/stakeholders the same question.

- **Comparability:** The questions should enable you compare results across sectors, geographical areas, institutions, gender, age, level of education, economic status etc. These questions will give you basic information about the service provider and/or beneficiaries.

- **Length**: Try to keep the questionnaire to an **appropriate length** (short is better). Too long questionnaire will not attract the response of some actors and especially the busy ones.

- **Relevance**: For every question, ask yourself "How am I going to use this data?"

- **Simplicity:** Make it simple (Use simple wording and provide clear and concise instructions)

- **Easy to use:** Make the questionnaire user friendly and interesting (Consider varying the questioning format)

Step 4: Data Collection

Now that you have PETS instrument in hand, the survey process can begin. If the PETS questionnaires are administered by a team of trackers, all team members should be trained so as familiarize them with questionnaire and thereby collect the needed data effectively collect.

Basing on the purpose of the study and type of data to be collected, team members may collect either primary or secondary or both using data collection techniques of their choice.

Primary Data collection techniques in PETS

- **Personal interviews:** this involves conducting face to face or one-on-one interviews with intended actors for collection of in-depth information.
- **Focus group discussion**: You can select 6-20 people from various stakeholder groups together to discuss your issues of concern.
- **Observation**: Example, you can go to a service providing unit and observe/record the quality services provided, the quality and quantity of classrooms built, service provider behaviour etc.
- **Telephone interviews**/surveys by talking to key informants
- **Self administered surveys** whereby respondents (actors) administer the questionnaire and provide feedback through mail or internet
- **Combination of methods**

Collecting Secondary data:

Secondary data is data that has already been collected or prepared by someone else, probably for a different purpose to yours. Secondary data is cheaper and more quickly available than primary data, but likely to need processing before it is useful.

In Public Expenditure Tracking Surveys, all methods of data collection can supply quantitative data (numbers, statistics or financial) or qualitative data (usually words or text). Quantitative data may often be presented in tabular or graphical form.

Secondary data can be collected from:

- **Paper-based sources** – Budget books, budget speech, journals, periodicals, abstracts, indexes, directories, research reports, conference papers, Annual Performance reports, Audit reports, internal records of organizations, newspapers and magazines

- **Electronic sources**– CD-ROMs, on-line databases, Internet, videos and broadcasts (TV and radio).

The main sources of qualitative and quantitative secondary data include the following:

- Official or government sources.

- Unofficial sources.

Step Five: Data Analysis and Report Writing

Once you have all the needed information collected, organize and crosscheck all response to ensure accuracy. Analyze data and then interpret the findings. Interpretation is the process of translating the findings into diagnostic statements.

Methods of data analysis

The most common techniques used in data analysis include:

- Averages (e.g. average amount of money that leaked or diverted)
- Data ranges (e.g. revenue)
- Frequencies (percentage of actors who are satisfied with procurement procedures)

PETS data can also be analyzed using more technical analytical techniques such as cross tabulation. However, this method requires someone with expertise and experience in data analysis.

The analyzed information can be presented in the form of charts, tables, graphs or statistics. If the purpose of your study is use the information for policy advocacy, using the charts, graphs, tables etc. will help to strengthen the message that you have. When you have all data analyzed and interpreted, it is time to write the PETS report. Remember it is important to review and edit the main report. While making the necessary collections, allocate time to develop a strategy for dissemination of PETS findings.[11]

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[11] Development of dissemination strategy involves identification of target audience and deciding the best methods to reach them and share the findings.

Do's for report writing

- PETS information should be digested easily-with most important information given the most prominence.
- Use simple language –make the information clear and easy to understand
- Highlight the heading and important words in bold (don't underlining them)
- Leave clear space after heading and between paragraphs
- Make sure the headings in a long document relate to each other and are consistent throughout
- Use block paragraphs (unless the house style is different)
- Use consistent form of paragraphs- e.g. numbered or decimal numbered paragraphs so they are easy to follow.
- Indicate the sources of information you have collected.

Step Six: Dissemination of PETS findings

The dissemination of findings is key to the success of PETS methodology. The usefulness of your PETS is limited if findings are not shared and used to help improve public financial management.

Once PETS results have been documented, present the findings to the target audience.[12]
It is important to double-check with the people who gave you information to make sure that the data/information you have is correct.

The decision on how to disseminate PETS findings depends on the purpose and scope of your study.

Dissemination may take the form of:

- Public meeting
- Media conference[13] (press conference)
- Press note etc.
- Workshops
- Meeting with stakeholders
- Creative techniques such as theatre, songs, artwork, film, puppet shows etc[14]
-

Private meeting with policy makers at the district council, parliamentarians etc. For example, if your findings indicate something that connected to corruption, a meeting with

[12] Depending on the purpose of PETS, the target audience usually includes a subset or all Public and Private Service Providers, Civil Society Organizations, general community, Media, Government (Local Government Authorities, Ministries, Departments and Agencies) and Development Partners
[13] Consider inviting newspapers (both major and neighborhood newspapers, Radios and TV stations, to help increase the area of dissemination.
[14] Keeping in mind your target audience, consider the types of creative methods that might be suitable in your locality

Anti corruption institutions such as Prevention and Combating of Corruption Bureau (PCCB) may be very useful.

Tips for effective dissemination

- ✓ Organize your thoughts logically;
- ✓ Tailor your message to your audience;
- ✓ Tell a story for maximum impact;
- ✓ Make skilful use of supporting materials or documents (make sure that your supporting materials are accurate, relevant and reliable.

Literature Review

Literature review takes place throughout the PETS process. Before undertaking the survey, it is important to review national goals and policies paying particular attention to the issues or sectors of your concern. This may include a review of such documents as Vision 2025, MKUKUTA, Public Expenditure Reviews, Budget Books, Budget Guidelines etcetera.

Nevertheless, a review of literature on Social Science Research and advocacy strategies will help you to gain more knowledge on how to conduct PETS effectively.

Steps in Establishing Public Expenditure Tracking Systems[15]

The main aim of Public Expenditure Tracking System is to promote dialogue between the Government (including Local Government) and the Civil Society in regards to public financial management and service delivery. Below are procedures to help advocates establish or rather engage in PETS more effectively.

1. The PETS advocates generally begin with literature review. This involves review of basic documents, including national policies, programme documents, Public Expenditure Reviews, Budget Guidelines, and District Strategic Plans etc. Carrying out literature review will help you to understand government priorities and identify problem areas.

[15] Adapted from *Follow the Money, A Resource Book for Trainers on Public Expenditure Tracking in Tanzania*, Hakikazi Catalyst, REPOA and TGNP

2. Map the situation of the budget process at district level- from the planning stage through budget implementation and evaluation. It is important to know which groups are involved in the budget process and how and whether the established procedures such as the O&OD[16] are followed or not.

3. Talk with Key Actors about PETS and its advantages. You need to target particular people[17]- spend time developing a positive working relationship with them and seek their support.

4. Organise an introductory PETS meeting, involving all key stakeholders you have identified in **step 3** in order to broaden your support base. You can also share some basic financial information. Try to get a commitment from a Local government Officials, CSOs and local community for continued support.

5. As a next step, you need to undertake fieldwork[18]. This involves three activities:
    i. Developing links between the district and ward/village level
    ii. Capacity building (training) to enable the different groups such as CSOs, CBOs, FBOs and general community engage in PETS effectively
    iii. Establishment of PETS committees or Monitoring Teams. These should involve actors from local government at different levels, the general community, CSOs, CBOs etc.

6. Finally, conduct feedback meeting at district level to discuss findings from field work. This is also an excellent opportunity for District Council Officials and other stakeholders to reflect on the usefulness of the exercise and agree to share financial information with councilors, CSOs and general community on a quarterly basis.

7. Conducting Systematic and On-going Follow-up is necessary for establishing sustainable and effective PETS. In order to do this, you need to develop the following:
    i. A set of objectives and targets to meet needs/priorities of different groups (women, men, elderly, children etc)
    ii. Conduct necessary calculations to show the cost of achieving the target/needs
    iii. A set of indicators to help establish when needs are met

[17] It is necessary to think about Actors in terms individuals (eg particular councilors, MPs, council officials, and member of community) than institutions, such as 'The District Council' or 'Ward Development Council'
[18] You need to allocate quality time for fieldwork

Other Options:

- Follow up to ensure that basic financial information is continuously updated and posted on an agreed notice board at the District Council Office, schools, dispensaries or village offices.

- Actively participate in public meetings to discuss development issues and importantly public financial expenditures.

It is important to emphasize that sustainable alliance between and among the different groups of actors is necessary if PETS has to yield intended results.

The Role of Different Actors in the PETS Process

Effective establishment of PETS requires participatory methodologies - involving all key actors at each stage of the PETS process. The table below presents a list of key actor and their roles in the PETS process.

Type of Actor	What they can do
Councilor	▪ Encourage local government officials to bring information to community ▪ Inform communities about government priorities and financial commitment to improving service delivery ▪ Provide feedback to local council officials in regards to community concerns on the adequacy and quality of services ▪ Provide oversight over the use of public resources
Local Government Officials	▪ Provide information to other stakeholders in simple formats and on regular basis ▪ Provide advice on how best service users can use information, organize and influence the government ▪ Creating space for community participation in annual budget meeting and budgeting process
Civil Society	▪ Collect financial information, analyze it and provide feedback to council officials and councilors ▪ Share information with local communities ▪ Capacity building to local communities on budget ▪ Facilitate discussions and debates on budget issues in the community

Community	▪ Assess the adequacy and quality of services and provide feedback to councilors, civil society organizations ▪ Actively participate in public discussions and debates on budget issues in the community
Media	▪ Inform the wider community about government priorities/commitments ▪ Inform government officials about community concerns on availability, distribution, access and quality of services ▪ Point out problem in relation to public expenditure and service delivery e.g. media can report on misuse of public resources
Central Government	▪ Provide guideline for incorporating PETS at local levels ▪ Provide support e.g. provide letters of introduction to national level CSOs that are supporting LGAs to set up PETs ▪ Provide oversight over the use of public resources ▪ Hold officials accountable

Why would key actors take part in the PETS process?

Government actors and those outside government would wish to use PETS as:

- **A diagnostic or monitoring tool** to understand problems in budget planning and execution. E.g. leakage/shortfalls, delays in salaries etc

- **An analytic tool** to explain why other services or service units suffer more resource misallocation than others and giving guidance and recommendations to policy makers on how those services can be improved.

- **An Impact evaluation tool** to assess the impact of budgets- eg improved quality of education, or reduced HIV/AIDS prevalence rate etc

Figure 2: Uses of PETS

Basic skills/knowledge needed to be able to conduct PETS effectively:

1. National policies/Programmes/Strategies e.g. Vision 2025, MKUKUTA etc
2. Knowledge of Planning and budgeting processes in Tanzania (at the national and local government)
3. Basic skills and experiences in participatory methodologies
4. Policy and budget analysis skills
5. Communication skills
6. Basic skills in lobbying and advocacy
7. Public Relations and media relation

Chapter Four

Implementation of PETS Initiative in Tanzania

Introduction:

This chapter is set up to enable the participants to understand the origin and rationale for PETS in Tanzania. The relevant policy and legal provisions are presented to demonstrate the basis for CSOs engagement in PETS. In addition, a number of successful examples of PETS initiatives and the main challenges to effective PETS in the country are highlighted.

Learning Objectives

By the end of this session, participants will be able to:

1. Explain the origin of PETS
2. State the factors that influenced the introduction of PETS in Tanzania
3. Describe successful PETS initiatives in the country
4. Describe main challenges in Implementation of PETS

Session Activities:

Activity 1:

The facilitator should make a brief presentation on the origin and rational for PETS in Tanzania

Activity 2:

The facilitator should lead a discussion on Policy and legal provisions to support the implementation of PETS in Tanzania

Activity 3:

Lead the participants to discuss case studies on PETs in Tanzania and lessons learnt

Activity 4:

Lead the participants to brainstorm the main possible challenges in implementation of PETS and how can CSO work together to face the challenges

Reference Notes

The origin and rationale for PETS in Tanzania

The original motivation for conducting Public Expenditure Tracking in Tanzania was the success of the Ugandan experience. Tanzania became one of the fist countries to take forward the PETS initiative and was first country after Uganda. The first PET survey in Tanzania was conducted by Price Waterhouse Coopers (PWC) in 1999, jointly commissioned by the Government of Tanzania and the UK Department for International Development (DfID). This study looked at expenditures in three districts (Kiteto, Hai and Kondoa) over three financial years in two sectors: health and education. Since then several major PET studies have been conducted including:

- Research on Poverty Alleviation (REPOA) and the Economic and Social Research Foundation (ESRF) survey on education, health, water, roads and agriculture sectors (2001)

- Another remarkable study was carried out in 2004 (Government of Tanzania, REPOA, 2004). This involved various researchers from the World Bank, REPOA and the Government of Tanzania. The 2004 study tracked the flow of funds related to the Primary Education Development Plan (PEDP).

In addition to the first two surveys above, a number of PETS have been conducted by three different CSOs coalitions[19] all focusing on PEDP, and another one done by Hakikazi Catalyst. Since then PETS studies became a hot issue in Tanzania, and the Government has expressed commitment to carry them out on a regular basis and support CSOs work on PETS. Today, there is a growing number of CSOs conducting it or planning to undertake PETS in Districts.

What did the Initial PET surveys in Tanzania find out?

- Indicated diversion of large portion of funds (about 57% in education and 41% in health care) disbursed by the Ministry responsible for Public Finance for non wage education and health expenditures to other non education sectors and also for private gain [20]
- Payrolls experienced the existence of ghost workers
- There were delays in pay for frontline staff
- There were substantial delays in disbursement of funds at all levels of the government
- Rural areas suffered from receiving smaller shares of the intended resources than their urban counterparts

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[19] These coalitions include TEN/MET (2003), KCSPR (2003) and TCDD (2003)
[20] This is according to the 1999 PETS study

Government Reaction PETS

- The Treasury has adopted the strategy of circulating itemized local government budgets to MPs
    - Publishing budget allocations aimed at pro-poor programs in both Swahili and English[21]

Other measures taken by the government recently

- Encourage and support CSOs work on PETS
- PMO-RALG has developed Public Expenditure Tracking Surveys Guide for LGAs, PMO-RALG and Regional Secretariats

PETS-Do we still need it?

In Tanzania, budget implementation involves several levels of governrment, including ministries, independent departments and agencies at the central level, and regions, districts, wards and village. Because of poor financial management systems and weak oversight institutions[22] it is often not possible to adequately assess at a frontline level how much of the budget that is supposed to reach these different levels has actually reached there and or whether the budget has been implemented effectively and efficiently. Tracing the money using a PETS methodology can give valuable insights into the efficiency of the bureaucracy, the flow of information, and the level and location of leakage of funds.

Policy and Regulatory Provisions to support PETs work

Key Policies

The key policies and legal provisions that support PETS work in Tanzania[23]. These include:

1. **Vision 2025 and MKUKUTA/MKUZA[24]**: The vision demonstrates government commitment to promote good governance. The vision and the strategies emphasize the need to strengthen and empower local stakeholders in order to enhance accountability, transparency and broad-based grass root participation in local governance.

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[21] *Public Expenditure Tracking Surveys-Application in Uganda, Tanzania, Ghana and Honduras*, Paper by Parameeta Kanungo, World Bank (no date) p.3

[22] Weak oversight entails limited capacities of oversight bodies-mainly the National Audit Office and Parliament and Local Councils

[23] In the context of this manual, Tanzania entails Tanzania Mainland and Zanzibar

[24] MKUKUTA and MKUZA are strategies put in place to implement the Vision 2025 in Tanzania Mainland and Zanzibar respectively

- In Mainland Tanzania, Cluster 3 of MKUKUTA is on "Governance and Accountability". There are specific clusters that relate to the promotion of PETS such as
    2.1.*3* *Deepens public involvement in the preparation, formulation and monitoring of the Poverty Reduction Strategy, through Public Expenditure Review and Budgets, including making information about budgets, expenditures and revenues widely available down to the local level.*

    i. Raise people's awareness on government policies, public financing and official charges as well as their entitlements through civic education and dissemination of information

    ii. Strengthen the systems and institution of accountability, ethics and transparency of government, non-government officials and political parties

    - The Zanzibar's Goal 8 Cluster III of **MKUZA** emphasizes the importance of transparency and accountability for development. It promises to strengthen "independent oversight mechanisms/institutions," especially "access to information on all aspects of governance, including laws, budgetary processes and financial management."

2. **The Constitution:** The constitution of the United Republic of Tanzania provides for the rights of the citizens as well as the government's obligations to the citizens**.**

    - Article 8(1) of the Constitution of the United Republic of Tanzania statesvery clearly that "the Government shall be accountable to the people" and "the people shall participate in the affairs of their Government".

    - **The constitution also provides for the right** to freedom of opinion and expression, and to seek, receive and impart or disseminate information" through any media, in any place, and without interference.

    - **Article 18(2),** says that " every citizen has the right to be informed at all times of various events in the country and in the world at large which are of importance to the lives and activities of the people and also of issues of importance to society."

3. Specific legal provisions that support PETS work in Mainland Tanzania include:

- **Local Government (District Authorities) Act of 1982**: This requires District councils to organize public hearings so as to provide an opportunity for the people to question political leaders and council officials.

- The **Local Authority Financial Memorandum of 1997** requires local government authorities in Tanzania to provide financial information to the citizens. The memorandum also provides a format to guide local governments in preparation of financial reports.

- **The Local Government Reform Program (LGRP)** emphasizes the need to strengthen local authorities in order to improve their capacity to provide services to the citizens-this intends to enhance down wards accountability.

What are the main challenges facing CSOs in Implementation of PETS?

Civil Society Organizations are likely to face the following difficulties:

- Lack of cooperation and/or support from government officials eg. Reluctance to release information

- The format used by government officials to present financial reports might make it difficult for CSOs to understand the information

- Politicians such as MPs and councilors may become barriers to PETs and politicize the exercise negatively

- Generation of information by filling PETs form may create more work for government officials

- Following the flow and use of money at service delivery points might require introductory letter from high level government officials such as Permanent Secretaries or Executives Directors—the process of access the letter may take long time

- Using the PETS reports or data to make to influence change in the way public resources are spent may be difficult

- Financial reports are usually in English thus somewhat confusing. Also do not show outcomes

- Deciding who, where and how to report anomalies noticed in the PETS exercise

- Some councilors are illiterate and might require some training to be able to understand and use information from PETS

- Outcomes are not predictable; planning is not performed according to nationally issued planning guidelines.

- What are the incentives for public officials to support PETS e.g. what will motivate the officials to give you the information you want

- How to promote down ward reporting?

Guiding questions for discussion:

1. Considering the socio-political situation in your area, what are the challenges you are most likely to face in the course of implementing PETS?

2. What will you to address the challenges**?**

Chapter 5

Advocacy Skills for PETS Implementers

Learning Objectives:

This chapter will enable you to:

1. Understand the skills, challenges and benefits of professional advocacy and lobbying
2. Identify the types of advocacy
3. Develop action steps for advocacy
4. Appreciate the importance of Dialogue in influencing policy changes at the District Assembly

Purpose: This task is designed to help participants understand the basic elements of advocacy.

Expected Output:

1. Participants have a fair knowledge of advocacy
2. Participants understand the benefits of advocacy in budget tracking work
3. Participants appreciate the challenge that advocacy poses in budget tracking

council?

7. What challenges are likely to be faced in advocating for changes in the course of tracking the budget?
8. How best can the CSOs advocate using budget tracking results?

What is advocacy?
There are several definitions of the term advocacy, these definitions change over time, they are shaped differently with one's understanding of power and politics. Advocacy is about politics and changes about values and beliefs, consciousness and knowledge.

It is about influencing the powerful on problems that concern people especially those excluded in the political process; the marginalized like the *pastoralists, hunters and gathers* and *people with disabilities.*

It is about building a strong organization to hold those with political power accountable.
Advocacy focuses on many questions eg who get what in the society, how much they get, who is left out, how decision are made, how public money are spent , how information is shared or concealed.
Advocacy need to be defined contextually depending on ones circumstances and contexts.

Advocacy is a strategic series of actions designed to influence those who hold governmental, political, economic or private power to implement public policies and practices that benefit those with less political power and fewer economic resources (the affected group).

Other Definitions of Advocacy

Advocacy is speaking up, drawing a community's attention to an important issue, and directing decision-maker toward a solution. Advocacy is working with other people and organizations to make a difference."
CEDPA: A Handbook for Women Leaders

Advocacy is defined as a promotion of a cause or the influencing of policy, funding streams or other politically determined activity."
Advocates for Youth: Advocacy 101

Citizen-centered advocacy is an organized political process that involves the coordinated efforts of people to change policies, practices, ideas, and values that perpetuate inequality, prejudice, and exclusion. It strengthens citizens' capacity as decisionmakers and builds more accountable and equitable institutions of power.
VeneKlasen and Miller: New Weave of Power, People and Politics

Advocacy is the pursuit of influencing outcomes - including public-policy and resource-allocation decisions within political, economic, and social systems and institutions - that directly affect people's lives."
David Cowen: Advocacy for Social Justice

Advocacy is a series of actions designed to persuade and influence those who hold governmental, political, or economic power so that they will adopt and implement public policies in ways that benefit those with less political power and fewer economic resources."
Advocacy Institute

There are several key ideas in this definition:

First, **advocacy** is about ***influencing*** those who make policy decisions. Many people start with a preconception that advocacy is about "being confrontational" and "shouting at the government."

However, **advocacy** does not have to be confrontational. There is a wide range of advocacy approaches to choose from, e.g. a public vs. a private approach, engagement vs. confrontation, and working alone or in coalition with others.

We will review each of these approaches in subsequent sessions.

Second, **advocacy** is a ***deliberate*** process, involving intentional actions.
Therefore, before implementing advocacy strategies it must be clear who you are trying to influence and what policy you wish to change.

Third, ***policy makers*** can encompass many types of decision makers. Our
Approach to advocacy is to focus on policy makers above the household level, and to improve the livelihood of significant numbers of people.

At the same time, advocacy is not restricted to those policy makers who work for the government. There are policy makers who work for the private sector, and who wield enormous influence over poor communities. It is important to keep in mind that ***policy makers are always human beings,*** not institutions.

Advocacy is used to influence the choices and actions of those who make laws and regulations, and those who distribute resources and make other decisions that affect the well-being of many people.

Advocacy involves delivering messages that are intended to influence the actions of policy makers. The audiences may typically include multilateral institutions (e.g. the United Nations or the World Bank), governments and bilateral donors (e.g. the USAID), and governments at the local, regional, or national level.

Advocacy can be direct, like asking a policy maker in person to take action, or indirect, such as trying to influence public opinion through the media. There is a wide range of advocacy activities that we can use to influence policy makers, ranging from providing information, to working in coalitions, to mobilizing constituencies, to using the media

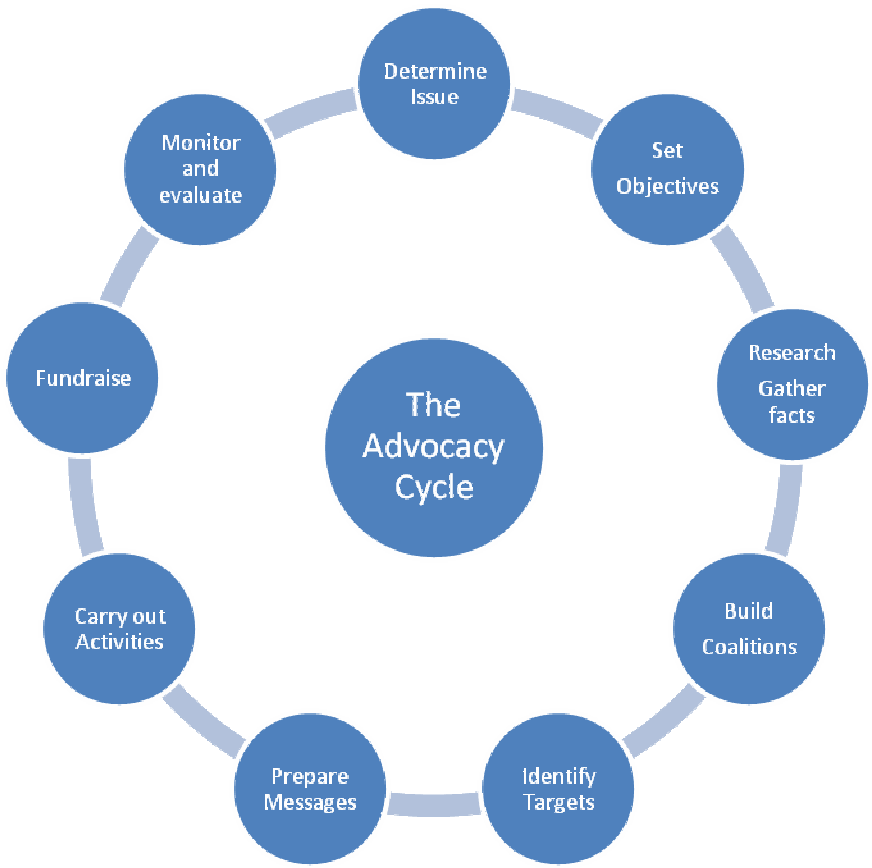
What is Advocacy Campaign?
An advocacy campaign is a long-term set of activities that includes research, planning, acting, monitoring, and evaluating of advocacy efforts. Alleviating poverty, fighting oppression, challenging injustice, supporting sustainable development are all common themes of advocacy campaigns. Thus no matter what kind of public policy change the activists seek, all successful advocacy campaigns share the same characteristics. They are

- **Strategic:** We must research and plan our campaign carefully
- **Series of actions:** Advocacy is not simply one phone call, one petition, or one march but a set of coordinated activities.
- **Designed to persuade:** We must use ideas or provide arguments that convince people that the desired change is important and they will support it.

- **Targeted:** We must aim our persuasion efforts at specific people who have the power to make our advocacy campaign successful.
- **Build alliances:** We must work with many stakeholders to increase the impact of our campaign.
- **Results in change:** Our advocacy campaign must result in positive change in the lives of the people affected by the problem. Four our advocacy to be effective we must persuade the targets of our advocacy campaign that **what we want is what they want**.

Advocacy cycle
Advocacy campaigns share a cycle of activity: **Identifying** the problem, **researching** the issues surrounding the problem, **planning** a set of activities, **acting** on our plan, and **evaluating** the results of our efforts. Advocacy campaigns all over the world use this model- or something very similar – to help design more effective advocacy campaigns.

The Advocacy Cycle



Civil society and advocacy in Tanzania

This sector operates beyond the realism of the family and individual. The institutions of civil society carry out their advocacy activities in order to advance the public interests through collective actions. Some call this approach "people-centered advocacy" or "social justice advocacy."

In some cases Civil society organizations finds it difficult to hold the institutions of the state and market accountable because of the diversity of the civil society organizations, however for the civil society organizations to be effective in their advocacy would depend very much on their ability to form alliance and counter or balance the power of the state

Principles of Advocacy

Advocacy yield real improvement in people's lives. However, there are certain challenges, which could only be overcome by using the following five good practices of an advocate:

- **Encourage participation:** Involve as many people as possible in the decision-making during advocacy campaign. Each participant will bring different skills, contacts, resources and ideas. When we encourage participation we give the affected group a sense of ownership over the process and ultimately increase the likelihood of success.

- **Ensure legitimacy:** To be legitimate, all advocacy campaigns must earn the trust of the people and communities they represent. This is done by respecting the variety of opinions and experiences of the individuals in the affected group.

- **Be accountable:** Accountability has been defined to involve holding individuals and organizations responsible for performance. An advocate is accountable when he/she is openly and honestly discusses the campaign's progress (and problems) with the affected group. This process will also reduce temptations we face to abuse power and will help avoid corruption in our advocacy campaign.

- **Act peaceful:** Do not use violence to achieve your advocacy goals. Violence is never a sustainable long-term solution. Peaceful advocacy will earn the trust and respect of both your supporters and your opponents.

- **Represent the affected group:** Listen to the affected group, develop a strategy with them, inform them of any risks or challenges and take action together. Whenever possible, build their capacity to advocate on their own behalf.

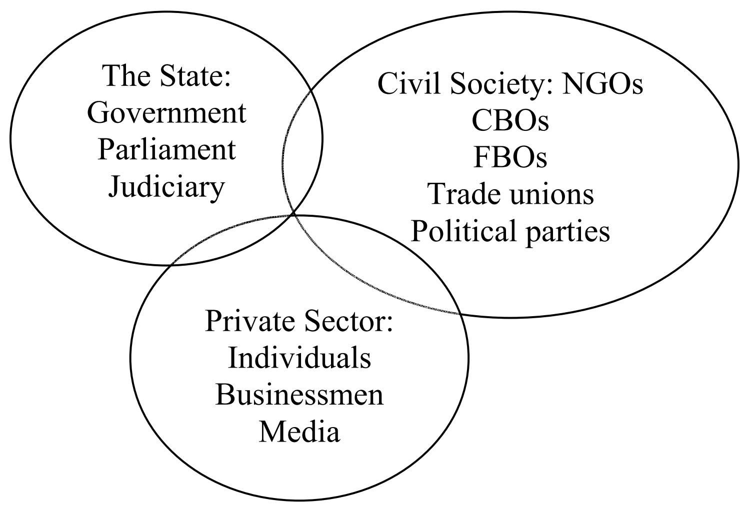
Roles of an advocate

The facilitator told the participants that when advocating for an affected group there are many different roles they could play to help them achieve their goal. It is important that they are sensitive to the needs and desires of the affected group so that they can select a role that best fits the situation.

- **Negotiate:** Bargain for something
- **Accompany:** Speak with people
- **Empower:** Enable the people to speak for themselves
- **Represent:** Speak for the people
- **Mediate:** Facilitate communication between people
- **Model:** Demonstrate behavior to people or policymakers**Network:** Build coalitions.

Power
Power is the ability to control or influence someone or something, we need to understand power because successfully advocacy campaigns leads to changes in power relationships in the society

The three spheres of society, the state, the private sector and civil society share power although not always equally



Sources of power
There are many sources of power; in advocacy money is major source of power however there are other sources which civil society organizations relies on in most cases their power relies on the number of people they can motivate to support their cause and maintain in the long run. These include a group of large active members; the community we serve; allies with strong coalitions, prominent influential allies and connections with international organizations.

Power also emerge from credibility and legitimacy for the organizations, when there is structures for internal accountability and when they speak with authority that they are recognized and respected as being derived form legitimate source.

It is important to note that sources of power can differ depending on the context

Forms of power

Power implies different relations and comes in multiple forms; the form predominant in a given society depends on the nature of its political, cultural and economic systems.

For our purpose here we can differential power into two kinds that is ***unilateral power*** and ***relational power.*** Unilateral power is usually coercive and authoritarian one part dominates the other. While ***relational*** power involves reciprocity, transformation and empathy- recognition that power is rooted in relationships and includes not only the ability to act but also the mutual ability to be acted upon.

Women activists have struggled to redefine power adding a third kind of power which includes ***power over, power with*** and ***power to***

Advocacy message development

Everyday in our life we receive many messages from many sources – media, classes, workshops, meetings, friends and family – but we can only process a limited amount of information at a time. Advocates have a target; sometime the targets of their advocacy campaign (stakeholders with high influence over the goal of our advocacy campaign) are no different. Thus to communicate their advocacy messages effectively, campaigners need to carefully select the content, language, and brand of their messages.

Content of messages

What is our campaign about? What arguments will we use to convince our targets? The contents of our advocacy messages must be:

Simple: Our advocacy campaign should have one main message and no more than three supporting messages – if we have any more, we will lose the attention of our targets.
Short: Messages are ideas that can be explained in a sentence or two. If we need to use a paragraph or more, we should shorten our message.

Relevant: Our message should always support our organization's main advocacy goal.
Clear: The most effective methods of communication are those that cannot be misinterpreted.

Language of messages

What keywords will we use to reach our targets? What words must we avoid? The language we use in our advocacy messages must be:

Statement of ideas: A message should be a complete thought capable of being understood quickly and easily. We can also use imagery, colorful language, and vivid details to increase the impact of our message.

Consistent: Messages will need to be repeated over and over again before they are heard and understood. We should use similar language in all of our messages if we want our targets to associates the words with our campaign.

Focused: Our messages should be focused for specific targets and tailored to respect their preferences. This does not mean changing the content of our message but rather changing the way we present it. Never use harmful or offensive language.

Brand of messages
What kind of visual statement can we make to communicate our ideas? Not all messages must be communicated with language. "Branding" our advocacy campaign by using graphic images (like symbols and logos) can communicate our advocacy messages quickly and clearly.

Like the language of our advocacy messages, brands must be used over and over again for them to be recognized. The facilitator concluded that the most successful advocacy messages inspire people to take action.

Advocacy message delivery
The facilitator observed that once the campaigners have chosen the content, language, and brand for their main and supporting messages, they need to decide how to deliver their message.

All messages must have a messenger. A messenger speaks on behalf of advocacy campaign. Often the best messenger for advocacy message is someone who is personally affected by the problem. In certain situations, however, some messengers are more effective than others.

A representative from civil society is an effective messenger when the campaigners want to closely control their message and need to show credibility. A famous spokesperson such as popular singer or television actor is an effective messenger when campaigners want to broaden their messages' appeal. The following messengers are usually useful:

Beneficiaries: Members of the affected group (called beneficiaries) are excellent messengers because they can provide personal stories and first hand accounts of the problem.

NGO employee: NGO employees are appropriate messengers when the campaigners want to convey credibility and control their advocacy messages carefully.

Mascots: Mascots are excellent messengers when we want to communicate to children or if our message deals with a culturally sensitive problem.
Celebrity: Celebrities are excellent messengers when the campaigners want to broaden the appeal of their message or appeal to different sectors of society.

The facilitator added that it is campaigners' responsibility to educate their messengers about the proper format, time and place to deliver their advocacy messages:

Format: When choosing the format for advocacy message, the campaigners must look at the preferences of the targets of advocacy campaign. It is important to use language and images that their targets will recognize and understand. For example, when communicating to illiterate adults, radio broadcasts might be the most effective message formats. But when prepare to communicate to the members of government they need the campaigners need to prepare professional looking briefing papers.

Time and place: The campaigners should disseminate their message at a time and place that best matches the lives of their targets. If they want to communicate to factory workers, for example, they should meet employees outside the factory gates at closing time or shift changes. To communicate to members of government, they should plan face-to-face meetings in their office or constituency where they can have their full attention. The meeting should be scheduled during a calm period, not during a major political crisis.

Linking advocacy to organization priorities

Advocacy will almost always be an outgrowth of other programming priorities. Without that link, advocacy can interfere with other work, and staff will lack the credibility they need to influence decision makers.

When a your office decides to focus its programming on specific sectors or Regions, these priorities should inform and guide its work in the policy arena. If a top priority is girls' education, for example, it makes sense to advocate on behalf of education policy themes, where your organization will have a useful perspective to offer.

Undertaking an advocacy initiative is almost always a team effort. It is quite Important to have strong internal consensus before devising policy and developing strategies for advocacy.

The Organization management needs to support advocacy efforts, especially when relationships with high-level decision makers are involved that could impact other programming priorities. In addition, it is important to discuss and debate advocacy positions internally before facing skeptical policy makers or others outside the organization.

Finally, a consensus approach will help ensure that advocacy supports, and does not detract from, other programming priorities.

Maintaining focus

In advocacy, consistency and focus usually pay off. You may begin by identifying various policy themes you want to tackle, but ultimately, it is important to narrow these down. At the organization's level, it is best to choose one or two areas to work on at a time, so that messages to senior policy makers are clear and not overlapping or contradictory.

At the program level, there may be many policy issues that tie into project

Objectives. Still, you are more likely to succeed in advocacy if you focus on a limited number of policy issues at a time, than if you develop a long list of policy priorities.

Tempting as it may be, there is a real danger of spreading yourself too thin, and not developing the depth of expertise to advocate effectively in any one area. You also risk returning to policy makers too often, appearing to be
asking for too much

MONITORING AND EVALUATION OF ADVOCACY ACTIVITIES

All successful advocacy campaigns have a strong commitment to regularly monitoring and evaluating their efforts.
Monitoring and evaluation are key activities for keeping an advocacy initiative on track, and for assessing the changes it has achieved based on its stated goals.

Advocacy activities often need to be adjusted, revised, and re-directed. It is through monitoring and evaluating that we can adjust our action plan to reflect lessons we have learned mid-campaign. For instance:
What new information have you learned through public events, meetings, or reading the newspapers?
Have political conditions changed since you first planed the initiative?
Have your target audiences changed their opinions?

Monitoring

Monitoring means "Gathering information to measure the impact of our advocacy campaign".
Monitoring compares the **inputs** (human, material and financial resources), **outputs** (activities, products), and **results** (achievements) against our advocacy campaign action plan. In order for monitoring to be effective it must be completely integrated into all phases of our advocacy campaign. When we monitor regularly we can tell if our activities are helping us achieve our objectives.

A successful monitoring program will provide us with a rich source of information about our campaign and ensure accountability. For example, to see if our media campaign is successful, we would keep a record of press coverage. To see if our lobbying efforts have been successful we would count the letters of support from Ministers.

The monitoring process

INPUTS	OUTPUTS	RESULTS	IMPACT
Various resources (human, material and financial) which we put into a campaign	The direct results of combining and utilizing the inputs to create more capacity for producing results	The achievements resulting from the use or action of the outputs	The improvement in quality of life, which can be measured objectively and directly contributes to a larger social goal.

Evaluation

Periodically during our advocacy campaign we need to analyze the information we have gathered during the monitoring process. This is called evaluation.

Evaluations will help us think critically about our strengths and weaknesses. Using the indicators from our advocacy campaign action plan, we can assess what has been accomplished and how well our resources have been used. Our monitoring data might also indicate changes in power structures, allies and opponents, or even the problem itself. We must be prepared to adjust our advocacy campaign action plan, even while the campaign is underway, to reflect the results of our evaluation.

Useful Resources:

United Republic of Tanzania, Medium Term Strategic Planning and Budgeting Manual, November 2005

Cooksey B. and Kikula I., When Bottom-Up Meets Top-Down: The Limits of Local participation in Local Government Planning in Tanzania, REPOA, 2005

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