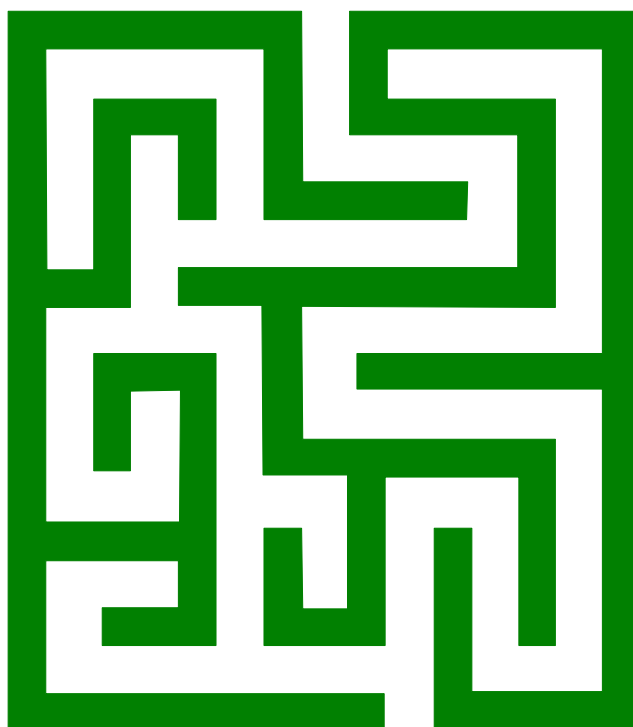


Investigative Journalism for Anti-Corruption and Good Governance



A Facilitator's Manual



“Corruption, the greatest single bane of our society today.”

Olusegun Obasanjo

“Journalism is what maintains democracy. It's the force for progressive social change.”

Andrew Vachss

“I think journalism is a great way to do public service, to have an impact on your community.”

Bob Schieffer

“National leaders who find themselves wilting under the withering criticisms by members of the media, would do well not to take such criticism personally but to regard the media as their allies in keeping the government clean and honest, its services.”

Corazon Aquino

“The central dilemma in journalism is that you don't know what you don't know.”

Bob Woodward

“In journalism it is simpler to sound off than it is to find out. It is more elegant to pontificate than it is to sweat.”

Harold Evans

“The media is absolutely essential to the functioning of a democracy. It's not our job to cozy up to power. We're supposed to be the check and balance on government.”

Amy Goodman

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I. Acknowledgement

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Introduction

The media is a major force in improving the quality of government. An independent and free media inform the citizenry on how they are being governed and provide a forum for public debate. Experience has shown that accountability and transparency tend to improve as the access to information increases. The more access to public information people have, the more they are equipped to demand accountability from those in positions of authority.

However, a majority of journalists in Tanzania are not equipped to handle the complex process of in-depth investigative reporting. There are many explanations, including the fact that many media houses are unable to spare the extra money and human resources that must be invested in this process. Even with these challenges there have been some positive recent examples of investigative pieces that have led to direct action from the government. Stories which have resulted in implicated public officials resigning or being removed from office have created a public hunger for more.

In a country undergoing significant political and economic reforms, the need for a robust media, with the ability to effectively, objectively and professionally report on issues, conduct follow-up and expose weaknesses and corruption, is crucial. For that to happen, there is a need to tackle obvious gaps that undermined the media's ability to engage in Investigative Journalism (IJ). The gaps include resource deficits in the media houses, lack of investigative skills among journalists and the need for protection in cases where reporting may attract direct threats to the lives or freedom of journalists and media houses.

In this regard, Pact Tanzania, in collaboration with MISA Tanzania, implemented an initiative to enhance the capacity of journalists in IJ through trainings and provision of resources for investigation of their stories. This initiative was part of the larger MCA-BONGA, an anti-corruption program funded by the United States' Millennium Challenge Corporation (MCC) through the United States Agency for International Development (USAID). More than 300 hundred journalists were trained in IJ, resulting in over 650 stories being reported during the last 18 months of the MCA-BONGA program.

About the Manual

This Manual is the result of the series of IJ trainings provided under the MCA-BONGA program. During the course of trainings, Pact Tanzania in collaboration with MISA Tanzania developed training materials that would be used to sharpen the skills of journalists in Tanzania even after the phasing out of the MCA-BONGA program.

This Manual is also a first step in our attempt to fill the aforementioned gaps. It is our hope this manual would help in improving the skills of journalists and further motivate them and the media houses to carry out even more public and investigative journalism. Our goal is that this increased media scrutiny will

contribute to improved accountability, transparency and good governance at the national and local levels.

The Structure of the Manual

The structure of the manual is meant to respond to the urgent need to empower journalists to take a “front seat” position in enforcing accountability and good governance through IJ. It is also designed to meet requirements of all stakeholders in search of accountability and transparency at national and local level.

Module 1: It covers definition of IJ, how it works, and its advantages; how to identify stakeholders, and ethical conduct of an investigative journalist.

Module 2: It deals with corruption; its definition, major types of corruption, causes and effects and how to respond to corruption. It also covers the concept and methodology of PETS as one of the anti-corruption actions.

Module 3: This is about IJ in GG. It defines governance – the state and its three pillars, separation of powers, definition of politics and entry points for IJ.

Module 4: It covers the role of IJ in anti-corruption and GG; how to identify entry points and possible stakeholders.

In each of the four modules, there are a number of sessions relating to the topic. Objectives for the session, a list of training methodologies and facilitator notes are also included. The sessions are designed as frameworks so that they are conducted in a participatory and interactive manner and enable the facilitator to draw out the experiences, opinions and knowledge of the participants.

Who is this Manual for?

This Manual is specifically designed for facilitators of IJ training workshops in Tanzania. The facilitators do not have to be media experts. They do need, however, to have basic skills, experience and commitment to participatory training methodologies and basic knowledge about the journalism profession, contemporary governance issues, Tanzania’s media sector and anti-corruption agenda.

How to use this Manual

All sessions are designed to help 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 questions that 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 in order to enhance participants understanding about key concepts
- **Reference Notes:** These are notes used by the facilitator during the course of training. Reference notes should be provided to all participants at the beginning or after the session is completed for further use by the participants.

General preparation

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

Getting started

At the beginning of the workshop, welcome the participants to the training. 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.). Afterwards, allow them to 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 workshop agenda. Review the agenda and check for questions and comments about it. You can allocate 30 minutes for introductory session.

Module 1 Investigative Journalism

Session 1.1: Understanding IJ

Session objectives

By the end of the session, participants should be able to:

- Define IJ and how it works
- Appreciate the advantages
- Identify stakeholders in carrying out IJ

Content

- Definition of IJ
- How it works
- Advantages
- What is PETS
- How it works

Methodology

- Brainstorming
- Lecture
- Plenary discussion
- Exercises

Instruction to Facilitator

Allow individual participants to present their own definitions and understanding of Investigative Journalism – note common themes and ideas.

Definition

IJ can be defined in many ways. It is journalism with a specific mission of unearthing information that is not easily accessed by everyone.

Other definitions of IJ:

1. A departure from event-centered reporting;
2. Watchdog journalism based on disclosures;
3. Journalism that provides forum for accountability in the exercise of public and private power;
4. Creative, innovative and reliable journalism that strengthens and maintains democratic culture;
5. Journalism that sets the agenda for reform; and a type of reporting in which reporters deeply investigate a topic of interest often involving crime, politics, corruption or some other scandal.

Instruction to Facilitator

Define IJ as a type of reporting in which reporters “deeply investigate a topic of interest often involving **crime**, **politics**, **corruption** or some other **scandal**.”
Afterwards:

1. Let participants discuss in groups what makes the emboldened words/areas crucial for IJ
2. Explain to participants “often deeds in the areas in question are shrouded in secrecy and demand an added eye to get to real message”
3. Let participants discuss by giving examples to support their arguments.

Finally, state the extended definition of IJ:

IJ is the only source of inner, well researched and reliable information that citizens can rely on to put forward arguments and demands for openness, integrity and accountability by all who wield public or private power. In other words, it is an extra eye, ears and voice of the citizens in pursuit of reforms and change for the better. IJ however, is demonstrated by skills and methodologies for source building, data searching, depth, insight; newsworthiness and uncovering of facts that would otherwise be kept away from public scrutiny

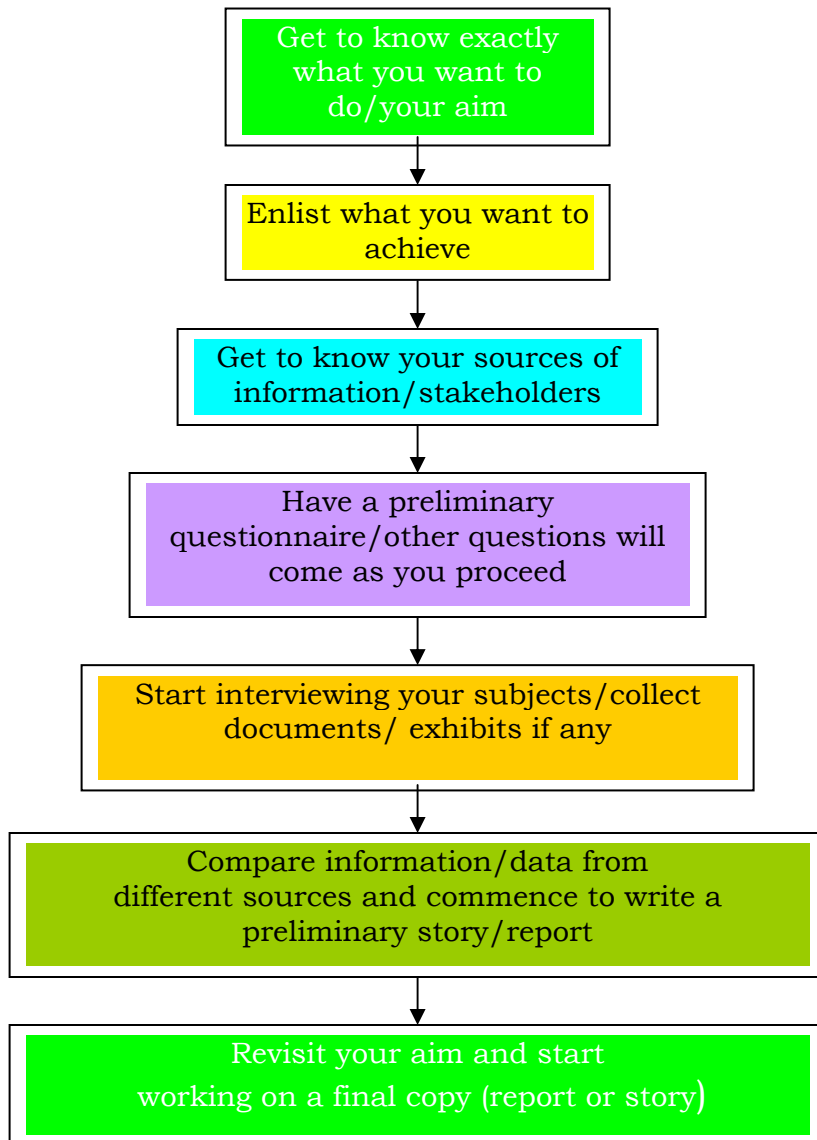
How IJ works

Instruction to Facilitator

Lead the discussion on:

1. How one gets an idea for investigation – from observation, reports, informal talk or even rumor
2. Purpose for a particular investigation
3. Motive for investigation – which include respect for rights and freedoms of individuals and communities
4. How to know the subject better – background to the issue/problem and current position
5. Preparatory stages for getting started, including identifying sources of critical information
6. Processes of information collection and treatment
7. Cultivation of as many contacts as possible at would-be sources of IJ stories
8. The necessity for documents and, in their absence, recorded evidence to confirm a source
9. Linkages with institutions with specific information and significance of use of libraries

The following diagram summarizes the process delineated above:



Instruction to Facilitator

Dwell at length on the fact that **all contradictions, and especially contradictions between the law and hard facts of life; between the stated policies and practice of those in public office; and between pillars of the state and the constitution of the land are big sources of IJ in matters of governance.** They serve to awaken both authority and subject to matters of freedoms and responsibilities in respect to exercise of power and behavior of those in public office.

Advantages of IJ

Participants should meet in small groups and brainstorm advantages of IJ in light of definitions and explanations given and discuss the advantages in a plenary.

Exercise for group discussion

1. Is IJ necessary?
2. How is IJ a catalyst for change?
3. List at least three areas where you know IJ has made impact (give details).

Session 1.2: Ethical Conduct of an Investigative Journalist

Session objectives

By the end of the session, participants should be able to:

- Understand and grasp basic ethical standards in IJ
- Identify ethical standards on their own and based on universal understanding of IJ without fear of transcending into illegal territories

Content

- Basic ethics in IJ and personal conduct

Methodology

- Brainstorming
- Lecture
- Plenary discussion
- Exercises

Instruction to Facilitator

1. Divide the participants in small groups and ask them to identify and list what they think are basic ethical considerations in IJ. What are acceptable and unacceptable practices? What can reporters do to be successful without having to compromise any ethical standard? During the plenary session, lead a discussion on the suggested basic standards and identify what are acceptable ethical norms in IJ.
2. Present the Code of Ethics from the Society of Professional Journalists (see Box below) or other worldwide generally acknowledged ethics in journalism. Add to this a list of home made ethics as prescribed by local media institutions – schools, colleges, universities and media outlets. Lead a

discussion on the lists and invite participants to compare them with their lists in an earlier brainstorming session.

Code of Ethics

Society of Professional Journalists

Seek Truth and Report It

Journalists should be honest, fair and courageous in gathering, reporting and interpreting information. Journalists should:

- Test the accuracy of information from all sources and exercise care to avoid inadvertent error. Deliberate distortion is never permissible.
- Diligently seek out subjects of news stories to give them the opportunity to respond to allegations of wrongdoing.
- Identify sources whenever feasible. The public is entitled to as much information as possible on sources' reliability.
- Always question sources' motives before promising anonymity. Clarify conditions attached to any promise made in exchange for information. Keep promises.
- Make certain that headlines, news teases and promotional material, photos, video, audio, graphics, sound bites and quotations do not misrepresent. They should not oversimplify or highlight incidents out of context.
- Never distort the content of news photos or video. Image enhancement for technical clarity is always permissible. Label montages and photo illustrations.
- Avoid misleading re-enactments or staged news events. If re-enactment is necessary to tell a story, label it.
- Avoid undercover or other surreptitious methods of gathering information except when traditional open methods will not yield information vital to the public. Use of such methods should be explained as part of the story
- Never plagiarize.
- Tell the story of the diversity and magnitude of the human experience boldly, even when it is unpopular to do so.
- Examine their own cultural values and avoid imposing those values on others.
- Avoid stereotyping by race, gender, age, religion, ethnicity, geography, sexual orientation, disability, physical appearance or social status.
- Support the open exchange of views, even views they find repugnant.
- Give voice to the voiceless; official and unofficial sources of information can be equally valid.
- Distinguish between advocacy and news reporting. Analysis and commentary should be labeled and not misrepresent fact or context.
- Distinguish news from advertising and shun hybrids that blur the lines between the two.
- Recognize a special obligation to ensure that the public's business is conducted in the open and that government records are open to inspection.

Minimize Harm

Ethical journalists treat sources, subjects and colleagues as human beings deserving of respect.

Journalists should:

- Show compassion for those who may be affected adversely by news coverage. Use special sensitivity when dealing with children and inexperienced sources or subjects.
- Be sensitive when seeking or using interviews or photographs of those affected by tragedy or grief.
- Recognize that gathering and reporting information may cause harm or discomfort. Pursuit of the news is not a license for arrogance.
- Recognize that private people have a greater right to control information about themselves than do public officials and others who seek power, influence or attention. Only an overriding public need can justify intrusion into anyone's privacy.
- Show good taste. Avoid pandering to lurid curiosity.
- Be cautious about identifying juvenile suspects or victims of sex crimes.

**Society of Professional Journalists
Code of Ethics Continued**

Act Independently

Journalists should be free of obligation to any interest other than the public's right to know.

Journalists should:

- Avoid conflicts of interest, real or perceived.
- Remain free of associations and activities that may compromise integrity or damage credibility.
- Refuse gifts, favors, fees, free travel and special treatment, and shun secondary employment, political involvement, public office and service in community organizations if they compromise journalistic integrity.
- Disclose unavoidable conflicts.
- Be vigilant and courageous about holding those with power accountable.
- Deny favored treatment to advertisers and special interests and resist their pressure to influence news

Be Accountable

Journalists are accountable to their readers, listeners, viewers and each other. Journalists should:

- Clarify and explain news coverage and invite dialogue with the public over journalistic conduct.
- Encourage the public to voice grievances against the news media.
- Admit mistakes and correct them promptly.
- Expose unethical practices of journalists and the news media.
- Abide by the same high standards to which they hold others.

Important Note: Principles of journalism – truthfulness, honesty, accuracy, fairness, clarity and simplicity – remain at stake. But there are specific guidelines to an investigative reporter as already hinted in the Session I.

Instruction to Facilitator

Lead participants to discuss the widely accepted basic ethics and conduct of an investigative journalist as stated above. Solicit more pieces of ethical conduct from participants; list them down, discuss them and decide on what could be added onto the main list.

Module 2: Corruption

Session 2.1: Understanding Corruption

Session Objectives

By the end of the session, participants should be able to:

- Explain with confidence what corruption is
- Identify the two major types of corruption,
- Understand effects of corruption and how to respond to corruption

Content

- Definition/explanation
- Genesis of corruption
- Major types of corruption
- Effects of corruption

Methodology

- Brainstorming
- Lecture
- Group discussion
- Plenary discussion
- Exercises

Instruction to Facilitator

Lead a brainstorm session and discussion on the definitions of corruption:

1. What are different types of corruption?
2. Why is corruption bad? Is it every good? Who benefits? Who is hurt?
3. Why does corruption occur in society? .
4. Relate personal experiences relating to corruption.

Definition

There are many definitions of corruption. Perhaps the shortest, to-the-point-explanation is the misuse of public trust for private gain.

Other definitions:

1. Misuse of entrusted power for private gain; and Abuse of public/private office for private gain.

2. Behavior on the part of officials in the public sector, whether politicians or civil servants, in which they improperly and unlawfully enrich themselves, or those close to them, by the misuse of the public power entrusted to them.
3. A crime of calculation, i.e. low risks, mild penalties and great rewards
4. The act of offering, giving, receiving or soliciting anything to influence the action of a public officer in rendering a public service.
5. One of a series of behaviors relating to corruption (see box)

An illustrative list of corrupt behaviors

- The design or selection of uneconomical projects because of opportunities for financial kickbacks and political patronage.
- Procurement fraud, including collusion, overcharging, or the selection of contractors, suppliers, and consultants on criteria other than the lowest evaluated substantially responsive bidder.
- Illicit payments of "speed money" to government officials to facilitate the timely delivery of goods and services to which the public is rightfully entitled, such as permits and licenses.
- Illicit payments to government officials to facilitate access to goods, services, and/or information to which the public is not entitled, or to deny the public access to goods and services to which it is legally entitled.
- Illicit payments to prevent the application of rules and regulations in a fair and consistent manner, particularly in areas concerning public safety, law enforcement, or revenue collection.
- Payments to government officials to foster or sustain monopolistic or oligopolistic access to markets in the absence of a compelling economic rationale for such restrictions.
- The misappropriation of confidential information for personal gain, such as using knowledge about public transportation routings to invest in real estate that is likely to appreciate.
- The deliberate disclosure of false or misleading information on the financial status of corporations that would prevent potential investors from accurately valuing their worth, such as the failure to disclose large contingent liabilities or the undervaluing of assets in enterprises slated for privatization.
- The theft or embezzlement of public property and monies.
- The sale of official posts, positions, or promotions; nepotism; or other actions that undermines the creation of a professional, meritocratic civil service.
- Extortion and the abuse of public office, such as using the threat of a tax audit or legal sanctions to extract personal favors.
- Obstruction of justice and interference in the duties of agencies tasked with detecting, investigating, and prosecuting illicit behavior.

World Bank

Instruction to Facilitator

Engage participants in defining and discussing the public trust, private gain, entrusted power, monopoly, discretion and accountability. For each word or phrase, attempt to offer an example so as to have the explanation grasped.

Elsewhere corruption is defined as **“offering, giving, receiving or soliciting anything to influence the action of a public officer in rendering a public service.” Thus,**

1. Lead participants to link this explanation to other explanations already mentioned
2. List examples of actions and behavior resulting from this element of corruption
3. Lead participants to discuss what is called “corruption without the exchange of money but through special favors or influence.”
4. In small groups (preferably of 5 persons), participants should answer the following questions: Does “violation of community standard ethics constitute corruption? How?” Answers must be supported by specific societal norms/ethics violated and explanations as to how their violation constitutes corruption. Use flipcharts to display participants’ answers and wind up the discussion in the affirmative and with concrete examples

Scenario for discussion:

Bambo is a General Manager of Msitu – a public company. He has powers to hire and fire. He is the only one who decides on what is to be done on daily basis. Except for the Board of Directors that meets once a year – in a luxurious hotel and with hefty allowances – he remains an unpunctuated chief executive of the company with all powers to decide on such matters as budget, employment, loans to employees, procurement, investment and general expenditure.

Instruction to Facilitator

Lead participants to:

1. List issues that can lead to misuse of entrusted power in the example above
2. List down effects of absence of checks and balances
3. Suggest what would be the issues if the same monopoly of powers applied in politics/governance
4. Answer the following question: “Does the same situation, exist in the public sector?” List the answers on the flipchart for all to share and discussion.

Genesis of corruption

There are only possible suggestions as to what gave birth to corruption; and the debate is open. The religious would preach that it was born of lust for richness, wealth.

The materialists would argue that it is the result of insufficient resources coupled with uneven/inequitable distribution in circumstances that do not allow for transparency and, or checks and balances. Yet some would suggest that corruption is born of policies that give rise to disparity.

Instruction to Facilitator

In a brainstorming session, discuss the root causes of corruption

Include in the discussion causes and effects such as poor governance, lack of exemplary ethical leadership, lack of accountability and transparency, lack of security of “tenure,” lack of citizens participation in decision making, absence of rule of law, extreme poverty and inequity, disconnection between traditional values and modernization, weak legal and judicial system, unfair and undemocratic electoral system, over regulated bureaucracy, inefficient and overextended government, large and poorly paid civil service, greed and the desire to keep one’s family afloat. Help participants to separate the two and let them give reasons for the same.

Major types of corruption

Corruption can be discerned in more forms than one. But the two major types of corruption have long been identified as petty and grand corruption.

Petty corruption involves people and means at lower scale and rates, however frequent. This entails offering of small sums of money in order to get small services performed in a speedy fashion – in essence, paying extra over the required amount – or for services that are supposed to be free to the public. Examples of this are bribes in rendering social services, kickbacks with the police and licensing officers, magistrates, doctors and clerks; sex accompanied by promises to seekers of employment and political office.

Grand corruption involves big or massive transactions through, among others, contracts and concessions. It can be in construction, purchase, provisions and mining. It takes the form of skewed investment decisions that work for personal gain; transfers of cash money from public to private investors; illegitimate tax exemptions, tax holidays, ghost projects (in which money is received but the intended construction never happens) and money laundering. This type of corruption often occurs at the highest level of government.

Instruction to Facilitator

Lead participants to:

1. Enlist and briefly discuss in plenary session, any other types of corruption they know or have experienced in category I (petty corruption) and how they affect individuals, communities and government
2. Enlist specific examples of (category II) grand corruption experienced in the country
3. Assign group discussion on the statement: “A seemingly simple act of bribing a voter could be disastrous as it is most likely to producing incompetent and corrupt leaders at the top.” Let group reports be displayed for all to see and share.

Provide participants – by way of cementing explanations of categories I and II above – with definitions and, or explanations of the following elements of corruption: graft, fraud, bribery (mostly referred to as “chai” – tea), embezzlement, smuggling, nepotism, extortion; invoicing (double invoicing, over-invoicing, under-invoicing in procurement), abuse of public property, gifts, patronage and money laundering.

Important note

It is imperative that facilitators dwell at length on the following elements of corruption and classify them under the two major types – petty and grand corruption.

- **State capture:** Where large firms influence/shape/bend the laws, policies and regulations of the state to work to their advantage by providing illicit private gains to public officials
- **Kleptocracy:** Obsessive impulse to steal regardless of the economic needs. This is popularly known as the “Mobutu-Bokassa corruption”¹ milking dry state coffers and stashing away in overseas accounts funds equivalent to 5 to 10 annual budgets of their countries
- **Political corruption:** Behavior which violates and undermines the norms of the systems of public order and subverts democracy. It includes buying of voter support during elections; “treatments” – *takrima* – for influence and political support; and direct bribing of government officials through the process of administration and governance. Onto these elements add the equally dangerous elements, namely politicization of the bureaucracy, skewed legislation meant to suit individuals and groups in private sector and patronage appointments meant to reward individuals for party loyalty or meant to influence policy.

Effects of corruption

Observation and experience tell it all. Corruption reduces or worsens public services and expenditure; reduces employment, stunts or reduces economic growth, cuts down on life expectancy, weakens the government, resulting into disappearance of law and order, thus causing immeasurable political and social consequences. Detriments of corruption also include economic vulnerability of citizens as income and distribution of welfare suffer; transparency disappears, speculative capital gets encouraged, long-term investments withers – causing money volatility and resulting into economic instability.

¹ Mobutu Sese Seko Kuku Ngbendu Wazambanga was president of Zaire (now Democratic Republic of Congo); and Jean Bedel Bokassa was “Cannibal” Emperor of Central African Republic.

“Corruption does more than this. It erodes confidence in leadership, weakens the structure of political organizations and the bureaucracy, creates social unrest, increases poverty, cuts on the revenue of the government, creates unlevelled playing field, reduces productivity and creates an unfavorable impression of a country and its people.”

Instruction to Facilitator

Let participants sit in groups and discuss the above **emboldened** statement. Ask them to state whether they agree with the submission and why. Conclude the section in the affirmative and underscore the ills caused by corruption as being both diverse and immense. Offer a few examples to amplify your affirmation.

How to respond to corruption

To be effective, the war against corruption needs to be fought on the home ground; based on local specificities.

Combating corruption demands political commitment at highest level of government which can in turn be supported by pressure from **vibrant media**, civil society, alliance groups outside government (including the private sector), individual civil servants and influential citizens. Strategies for the war on corruption include **Prevention, Education, Institution Building and Enforcement**.

A phased program in combating corruption is indeed necessary, in the form of the immediate, medium and long-term. Citizen institutions outside the administrative and political ambit of government – mainly CBOs, CSOs and NGOs – can be an effective tool in sensitization of citizens. They are known for their ability to create citizen watchdog and lobby groups; legal advisory centers and coalitions of business, civil society and influential citizens.

The medium term phase could be mainly concerned with creating constituencies of ready stakeholders from within and outside the government; an exercise that bleeds into the long-term phase, mainly concerning government, which may concentrate on:

1. Establishing irrefutable information on the root causes of corruption, the costs it imposes by way of public opinion surveys, focus groups, legal and institutional assessment
2. Professionalization - having in place the right institution whose posts are manned by those who are professional and have the right qualifications
3. Strengthening of courts by strictly adhering to principle of distribution of powers and non-interference in the administration of justice
4. Creation or strengthening of internal audit systems
5. Creation or strengthening of inter-agency units – a system that turn agencies into each other’s watchdog

6. Creation or strengthening official oversight institutions (integrity and ethics commissions)
7. Enforcing the rules and laws against corruption and malfeasance.

Instruction to Facilitator

Lead participants to:

1. List down institutions that are leading the anti-corruption crusade in the country – private and official integrity and ethics groups, centers and commissions
2. Discuss with examples, the institutions' behavior towards media and its personnel
3. Comment on the observable seriousness and/or weakness of government and its institutions in combating corruption.

Session 2.2: Public Expenditure Tracking Systems (PETS)

Session objectives

By the end of the module participants should be able to:

- Define PETS, its concept and how it works
- Grasp the methodology of its application
- Design and develop PETS tool
- Identify stakeholders in carrying out PETS

Content

- What is PETS
- PETS processes
- Difference between PET survey and PET systems
- PETS methodology

Methodology

- Lecture
- Brainstorming
- Exercises
- Plenary discussion

Definition:

Public Expenditure Tracking Surveys/Systems (PETS) is a means to trace funds from the starting point (i.e. the Central Government and the 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**". 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:

1. What are the service delivery objectives i.e. policy objectives?
2. What is the amount of resources allocated for service delivery?
3. Do the funds and material resources reach the intended beneficiaries?
4. What are the processes and procedures involved in budget planning, allocation, disbursement, execution and evaluation?
5. How efficient and effective the budget process is?
6. What is the amount of money spent at each level and how?
7. Is there any leakage or diversion of funds? If yes, PET may go further and ask why are funds diverted or leaked?
8. What is the impact of the budget on service delivery?

Public Expenditure Tracking involves two important processes:

- Conducting Public Expenditure Tracking Surveys or Studies (PETS)
- Establishment of Public Expenditure Tracking Systems (PETS)

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.²

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

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.

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

Methodology and application:

Practically, and specifically in Tanzania, PETS has been a program by which media and other stakeholders are trained to:

1. Acquire skills in monitoring expenditure of public funds
2. Report more effectively on issues related to public funds
3. Work with local communities in order to empower them to take on citizens' responsibility of planning and decision making, including follow up on the way and manner public funds are expended
4. Establish mechanisms at grass root level that would involve citizens in following up flow and expenditure of public funds.

Instruction to Facilitator

Carry all participants through the processes of designing and developing PETS tool/questionnaire meant to enable them to gather information relevant to its application

Instruct participants on the methodology of presenting PETS findings by way of acquainting them with skills of analysis, reporting and dissemination of findings (diagrams preferable)

Brainstorm a list of stakeholders at the local government level who could be helpful in realizing PETS (such as councilors, district council officials, media, CSOs and influential members of community)

Through brainstorming at plenary or in small groups, enlist challenges in executing PETS, giving emphasis to:

1. Lack of transparency in financial information
2. Multiple sources of funding, making the tracing of allocations and expenditure difficult
3. Lack of collaboration from actors in government for fear of being exposed
4. Absence of political will
5. Fear, and possibly, danger of victimization

Module 3: Good Governance

Session 3.1: Understanding Good Governance

Session objectives

By the end of the session, participants should be able to:

- Grasp the meaning of Good Governance
- Discuss various aspects of Good Governance
- Discuss the connections between politics and good governance and how they influence each other

Content

- Definition of GG and what it entails
- Politics and GG

Methodology

- Brainstorming
- Lecture
- Plenary discussion
- Exercises

Instruction to Facilitator

In small groups:

1. Ask participants to explain what they understand by Good Governance
2. Have participants discuss the relationship between their meaning of democracy and good governance
3. Have each group report back and note similarities and differences in the information

Definition of Good Governance

There are many definitions of GG. For purposes of this manual, GG is found in a representative democracy where citizens have a right to vote and be voted into political office and where a dynamic civil society promotes citizen participation at all levels. Normally, here you would have regular, free and fair elections resulting into formation of a government open to scrutiny and criticism by citizens; with visible and understandable processes of governance. Government's **transparency** implies that it has **honesty** and **integrity**; that it observes the **rule of law** and protection of **human rights** and fundamental principles on how the state should relate to its citizens.

GG thrives in an environment of freedom of association and freedom of expression; where citizens and media have a right to access of information as well as freedom of the press (civil and political rights of citizens); all guaranteed

by the state through the constitution. Suffice it to add here that GG thrives in an environment where there is clear **separation of powers** among pillars of the state – the Executive, Legislature and Judiciary.

Instruction to Facilitator

1. Take time to explain what is meant by the transparency, accountability, rule of law, separation of powers, integrity and honesty
2. Underline the fact that freedom of expression includes the freedom to think and generate ideas, and that it is fully enjoyed when that expression is published by way of utterance, broadcast or print.

Politics and GG

Instruction to Facilitator

1. Lead participants to generate ideas on what really is meant by “politics”
2. Get to know from almost every participant whether politics has anything to do with governance or GG

What is politics?

What can politics be if not “power and power sharing; and management and sharing of resources?” Politics is a provenance of a number of significant pillars of society and governance, among them,

- A process by which civilized society produces ideas on how to govern itself, hence the gargantuan task of forming the state and its pillars – Executive, Legislature and Judiciary
- A process through which direction, objectives, plans, doctrines and norms are formulated to sustain leadership and governance
- A fountain of multifarious views and ideas – from both the ruling political party and other economic and business interests which form the basis for ideology and inclination

Instruction to Facilitator

Solicit participants’ answers to the following questions:

1. What is the relationship between politics and governance?
2. Could politics determine the type of governance and therefore GG?
3. Politics is a process through which government is formed. Could there be corruption in politics?
4. Is there anything that is not affected by politics?
5. Among others, the role of parliament is to advise and oversee government performance. Is parliament oversight role enough or there is need and therefore room for media intervention?
6. Who can check on the probable dishonesty and conspiracies amongst heads of the three pillars of the state?

Module4 **IJ in Anti-Corruption and Good Governance**

Session 4.1: Role of IJ in Anti Corruption and Promotion of Good Governance

Session objectives

By the end of the session, participants should be able to:

- Discuss how IJ can effectively contribute to anti-corruption efforts and the promotion of good governance
- List the role of the media and ways of reporting on corruption

Content

- Introduction
- How to identify entry points
- Possible stakeholders
- A friend indeed

Methodology

- Brainstorming
- Lecture
- Plenary discussion
- Exercises

Introduction:

IJ is not all about uncovering corruption, mull-governance, scandals and other malfeasances. Many good things, including excellent personalities and practices, exist side by side with the impeachable.

Take an example of diligent civil servants who work tirelessly and professionally but their good work would never shine nor be recognized simply because the system is horrendous; and those who would otherwise recognize them are busy gnawing at the root of national economy and promoting their siblings.

An added eye of a reporter in IJ may, even in the worst type of governance, see such personalities and lift them up from the mud for the world to appreciate.

Instruction to Facilitator

Lead participants in listing good things that exist in the midst of, or side by side with, bad behavior by national and local leader, heads of families, schools, administrators, law enforcement officials, clergy, etc.

How to identify entry points

Contradictions, in their varied forms, are good sources of information. But information for an IJ copy demands more than what is on the surface. Effective IJ needs to examine carefully contradictions and when things are not as they “should be”.

This is indeed contradictory to the adage that “seeing is believing.” In IJ seeing is not enough and therefore it is not “believing.” One needs to do observation, and that is the key to investigation. Therefore, an entry point here can be done through observation: Why are actions contradicting the law? Put it the other way round: Why did the law contradict citizens’ actions (because the law came later)? Why are platform words not matched by practice? Why policies are not in agreement with implementation?

Observation does not wait for rumor, whisper or public complaint – other sources of information. Training in IJ has demonstrated that a successful investigative journalist/reporter is more of a “scavenger chicken” than a clumsy broiler waiting to be fed. An IJ reporter goes beyond the word; beyond promises and swearing; beyond tooth-brush smiles and huge and tight hugs of belligerents bursting out of a conflict resolution conference; well beyond seemingly serious gesticulations of a preacher on a pulpit. What is behind all these is exactly what an IJ reporter is interested in. Indeed it is what makes a difference between event journalism of a broiler and “scavenger chicken journalism” which has been awarded for digging up information for action.

Instruction to Facilitator

Let participants enumerate as many as possible actions they have observed as being contradictory to policies, promises and legislation.

Possible stakeholders

In more than one way, the law is an efficient “stakeholder.” Take the example of the Public Procurement Act (PPA) of 2004 in Tanzania. The legislation, meant to curb corruption in public procurement (goods, works, non-consultant services and disposal of public assets by tender), is some kind of an aid to a serious reporter in IJ.

The legislation provides a number of performance indicators for the law to be seen adhered to. For a serious IJ reporter, the indicators are vital in tracking implementation of the law in all public institutions or where procurement has been financed from specific public finances (See box bellow).

Some performance indicators in the Public Procurement Act

1. Establishment and composition of Tender Boards
2. Establishment and composition of Procurement Management Unit
3. Preparation of annual procurement plan
4. Approvals by tender boards
5. Record keeping
6. Misuse of quotation methods and split of tenders
7. Notification of tender Awards
8. Independence of functions of Accounting Officer, Tender Boards and Procurement Management Unit
9. Lack of effective contract management
10. Handling of tender negotiations
11. Time for preparation of bids
12. Methods of procurement
13. Application of preferential treatment
14. Handling of complaints
15. Contract implementation (time lag)

For a serious IJ reporter entry point is just around the corner: How does an institution answer to all these indicators? How is it satisfying requirements of the law? From here an IJ reporter can tread in full light to discovering inappropriateness in procurement and possibly petty or grand corruption.

Tanzania's Public Finance Act (PFA) of 2001 in also provides an unintended aid to IJ. The indicators there in; provide at least a starting point of observation and a fuller entry into the workings of institutions (See box bellow).

Some performance indicators in the Public Finance Act

1. Presence of an Internal Audit Department (IAD)
2. Bank reconciliations (regular – weekly or monthly)
3. Budgets – (if the institution is operating on budget)
4. Unfavorable variances in expenditures
5. Timeliness in submission of reports of accounts
6. Competence of personnel handling finances
7. Circumstantial evidence suggesting misuse of public finances

You only need to look at the seven indicators or even one of them to establish an entry point; e.g. why financial reports are always submitted early or late; why the institution is employing the people you know best that have never been to school or acquired necessary qualifications; why there are no regular bank reconciliations or why the head of AID is reporting to the AO.

Observation, even without going through an entire chapter of the legislation, provides a starting point. Take this example: An employee with a firm or government office has been in employment for only six months but now driving one of the most luxurious cars down town; owning a two-storey bungalow and her/his spending culture changing to that of the other tycoon in the city; and yet no story about this employee crashing into the biggest lottery win in the country. The law makes it easy for an IJ reporter and anyone else, to doubt and even question sources of wealth.

Other points of intervention in anti-corruption and GG include huge reports usually read by very few serious people; contracts written in labyrinthine legal phrases, ministerial reports tabled in parliament; scholarly works at institutions of higher learning; complaint by a worker at a hydroelectric power dam; a beggar in the street who got the whole conspiracy as conspirators ignored her; a house girl; a frustrated policeman, a barmaid, a shamba boy; a bishop who must have got it from a repentant; a retired president, a serving diplomat; a business tycoon in cutthroat competition with others.

Instruction to Facilitator

Lead participants to:

1. List other areas, sources and stakeholders from where they can make an entry into anti-corruption and GG.
2. Discuss advantages of some sources and stakeholders as opposed to the others

A friend indeed

Civil societies remain the best friend of media and IJ in particular because they are key social development actors. These include:

- Non-Governmental Organizations (NGOs)
- Faith Based Organizations (FBOs)
- Voluntary Organizations (VOs)
- Self-help Organizations (SHOs)
- Trade Unions
- Cooperative Societies
- Peasants' and Farmers' Organizations
- Sports Clubs
- Networks and alliances in all the categories above

An IJ reporter who cultivates and maintains contacts with such organizations, and others as demonstrated above, remains rich in as far as information is concerned; but most importantly, joins the energetic civil society in both combating corruption and monitoring government progress in the same direction and towards good governance.

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