

# Targeted Anti-Corruption Interventions in Africa

## Query:

*“Please provide a list of examples of targeted interventions in Africa which have had an anti-corruption (A/C) impact. Such examples should cover: a) sectoral interventions and b) country level activities which involved engaging with international anti-corruption processes (e.g. application of the UN or the AU conventions - asset recovery, international anti-money laundering, and international co-operation). Examples may cover a range of sectors/approaches undertaken by different actors, but they should highlight lessons and also be replicable. Please, include a brief explanation and references for more info.”*

## Purpose:

“To provide practical material for country based advisers that can stimulate thinking and approaches to corruption in country. It is important, however, that they are not overall A/C efforts, such as strengthening government systems, but are targeted initiatives which have a definite pay off (e.g. decentralising text book procurement in education in Kenya).”

## Content:

- Part 1: Selection of Sectoral Targeted Anti-Corruption Interventions
- Part 2: Country Level Initiatives with an International Dimension
- Part 3: Further Reading

## Summary:

This Expert Answer provides a selection of targeted A/C interventions that have been implemented by a broad range of actors at sectoral level in Africa as well as country level activities which have involved engaging with international anti-corruption processes such as the ratification and implementation of the UN/AU conventions.

This list of interventions presented is not meant to be comprehensive but illustrative of the types of initiatives that have been developed and implemented across Africa.

## Part 1: Selection of Sectoral Targeted Anti-Corruption Initiatives

### *Tools to Analyze and Address Corruption in Service Delivery*

Instruments which identify and uncover corrupt practices have a preventive impact and can help identify best practices as well as raise awareness of necessary reforms.

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## Public Expenditure Tracking Surveys (PETS)

PETS were first introduced by the World Bank to track cash flowing from central level authorities to lower level institutions. Their aim is to identify how much of the allocated resources reach each level and to identify leakages on the way to the recipient institutions and beneficiaries. PETS are used to record and assess financial information and, in doing so, can help identify negative incentives for corruption as well as spotlight interactions or interfaces responsible for these incentives. Typical PETS consist of a survey of frontline providers and local governments complemented by central government financial data. Weaknesses of this approach are that the surveys are conducted by government agents and data can be manipulated. In addition, beneficiaries are not involved in the analysis of the data. In some cases, PETS have been politicized and governments as well as donors have not always published the findings. However, the Uganda example outlined below of conducting a PETS in the education sector is considered a success story.

### **First Public Expenditure Survey in the education sector in Uganda**

Uganda was the first country to do a PETS in 1996, grounded on the observation that despite a substantial increase in public spending in education, there was no increase in primary enrolment. The findings of this survey indicated that on average only 13% of the annual capitation grant from the central government reached the school, 87% being captured by local officials for purposes unrelated to education. No evidence was found of an increase of spending in other sectors. To remedy this situation, the government started to publish monthly grants to districts in newspapers. This had a substantial effect on the amount that schools received. In 2001, more than 80% of the grants reached the schools. Rennie and Svensson found in 2005 that the effect of access to this information on grant received was statistically significant (<http://www.u4.no/themes/pets/petsreferences.cfm>). Grassroots monitoring was also found to reduce corruption.

### **Using PETS to detect leakages at primary school level (2005) in Sierra Leone**

Following a Ministry of Finance's PETS survey conducted in 2002 that revealed that 45.1 % of the funds for school fee subsidies were not accounted for and that 28% of the teaching material had disappeared, the National Accountability Group (NAC), a Sierra Leone civil society organization, used a PETS to find out what happened to school fee subsidies and learning materials designated for a sample of 28 schools in a rural district. The study indicated a significant improvement in the delivery of funds and equipment, with the recruitment of an independent auditing firm to manage the disbursement of funds. (<http://www.id21.org/id21ext/e1sk1g1.html>).

PETS were conducted for example in the education sector in **Uganda** (1995 and 2002), **Tanzania** (2002/2003) and **Zambia** (2001/2002) and in the health sector in **Rwanda** (1998/99), **Ghana** (2000) and **Nigeria** (2002) and Tanzania (2004). A summary of the findings is outlined on the U4 Website: (<http://www.u4.no/themes/pets/petsfindings.cfm>)

## Service Delivery Surveys and Social Audits

Quantitative Service Delivery Surveys focus on public service providers and on factors that may affect the quality of service delivery. In such surveys, the frontline service facility or service provider is typically the main unit of analysis. Data is collected through interviews and the service provider's records. When used with PETS, they document the characteristics of the various service providers and identify problems in the provision of services in terms of input, output and quality.

Social audits aim to identify how resources destined for social purposes are used and how the use of these resources could be maximized. Social audits identify weaknesses in the system, by linking qualitative and quantitative data collected at household, community and public sector employee level. They integrate the service users' views and involve communities in the interpretation of the findings. As such they can be seen as "voice" mechanisms.

### **Uganda National Integrity Survey (1998)**

An example of such social audits using Sentinel Community Surveillance techniques is the first National Integrity Survey conducted in Uganda in 1998. This methodology combines modern epidemiology and opinion research techniques with qualitative Rapid Assessment Procedures to gather evidence while involving clients in the process of evidence based planning. The Uganda National Integrity Survey was designed to collect information about public experience and perceptions of corruption in public services. 94,000 people in 18,000 households from all districts in Uganda were interviewed together with 1,600 service workers and 180 key informants. 348 focus group discussions were also conducted. Data on contacts with health, education, local administration, justice and tax services were collected. The services where bribery was most common were the police and the judiciary with two thirds of users paying a bribe.

(<http://www.ciet.org/en/documents/projects/200628143824.asp>)

### **Pilot Social Audit in South Africa, Northern Province (2001)**

As part of the Provincial Premier's programme to improve government service delivery, CIET Africa conducted a pilot social audit covering 1000 households in the Northern Province of South Africa. The audit, which began in January 2001, covers the "social needs" cluster of services: health, welfare, education and sports, arts and culture. The audit collected information from households in representative communities about people's use, experience and perceptions of service delivery in these four sectors, focussing on quality of service delivery and efforts to improve this.

(<http://www.ciet.org/en/documents/projects/2006210144612.asp>)

Similar social audits were also conducted in **Tanzania, South Africa and Uganda** in the Police ([www.ciet.org/en/documents/themes\\_docs/200622016515.pdf](http://www.ciet.org/en/documents/themes_docs/200622016515.pdf)), and in **Mali** ([http://www.ciet.org/en/documents/themes\\_docs/2006220164953.pdf](http://www.ciet.org/en/documents/themes_docs/2006220164953.pdf)) for example. A community based social audit of social services was also conducted in two states of **Nigeria**, while in **South Africa**, in the Province of Gauteng, the role of corruption in the prosecution and conviction of rape cases set the stage for a much broader-based programme to prevent sexual violence. (<http://www.ciet.org>).

### **Report Card Surveys**

#### **Community Report Card on Performance in Health Care Delivery in Uganda (2007)**

Interventions aiming at evaluating the impact of service delivery may improve the quality of service delivery by strengthening the relation of accountability between service providers and beneficiaries. This paper presents the results of a randomised evaluation of a community-based monitoring intervention (Citizen report cards) intended to enhance rural communities' ability to hold primary health care providers accountable. A pilot project evaluated a community report card on the impact on performance in health care in Uganda in 2004. The Citizen report card project, carried out by staff from the World Bank and Stockholm University, collected quantitative information on the quality and quantity of health service provision from citizens and public health care providers and disseminated this information in ways that create awareness and invoke participation. Findings suggest that both the quality and quantity of health service provision improved in the treatment communities: one year into the program, average utilization was 16 percent higher in the treatment communities; the weight of infants higher, and the number of deaths among children under-five markedly lower. Treatment communities became more extensively involved in monitoring providers following the intervention.

([http://siteresources.worldbank.org/INTPUBSERV/Resources/UGANDA\\_ImpactEval.Project.Citizen\\_report\\_card\\_uganda.7July2004.Reinikka.pdf](http://siteresources.worldbank.org/INTPUBSERV/Resources/UGANDA_ImpactEval.Project.Citizen_report_card_uganda.7July2004.Reinikka.pdf))

and (<http://www.iies.su.se/publications/seminarpapers/749.pdf>)

## Other Corruption Related Diagnosis and Service Delivery Monitoring Examples

### **The Yellow Star Program in Uganda: Public evaluation of health care facilities**

A notable and pioneering *public* report card example is that of Uganda. The Yellow Star Program, sponsored by the Ministry of Health in collaboration with donor organizations, evaluates health care facilities on a quarterly basis using 35 indicators. While not referred to as a report card, the Program meets the definition of a report card used in this review; it compares providers within a specified region (in which all providers are eligible to be included) on a routine basis according to certain standards of quality performance. Indicators span technical and interpersonal domains, and include standards for infrastructure, management systems, infection prevention, health education and interpersonal communication, clinical skills and client services. Ratings are made available in a general way to the community; facilities receiving a 100% score for two consecutive quarters are awarded a yellow star, which is then posted prominently on the outside of each recognized facility for the community to see. A yellow star can be removed subsequently if performance falters.

(<http://heapol.oxfordjournals.org/cgi/content/full/21/2/101>)

### **Corruption and Good Governance in the Senegalese Health Sector**

A study was conducted to document the extent and impact of corruption on the health sector in Senegal in six villages, six hospitals and ten health centres, using a combination of opinion surveys, focus group discussions and observation of hospital structures, services and practices. In addition, a multidisciplinary team of researchers consisting of sociologists, jurists and economists analysed petty corruption in the lower levels of the Senegalese health system. The study also focused on conflict of interest, contention areas, interactions with patients and private entities involved in the provision of health services. The economists sought to understand the links between the parallel traffic in pharmaceuticals and the network of corruption, while jurists compared existing health legislation with the situation on the ground. A workshop was planned to bring together decision-makers, professionals, users' associations, non governmental organisations and unions working in the field.

([http://www.idrc.ca/en/ev-83062-201\\_101914-1-IDRC\\_ADM\\_INFO.html](http://www.idrc.ca/en/ev-83062-201_101914-1-IDRC_ADM_INFO.html))

### **Monitoring Corruption in the Delivery of Public Services in South Africa**

This project currently implemented by the Institute of Security Studies Corruption & Governance Programme provides another example of efforts to monitor corruption in the delivery of public services. The project has three major dimensions:

- Monitor the effects of corruption on service delivery by analysing corruption trends within specific national public sector departments and metropolitan areas. Current focal areas are the Department of Social Development, Housing, Health, Education and Local Government.
- Assess efforts by these departments/institutions to implement internal anti-corruption strategies, especially the Minimum Anti-Corruption Capacity (MACC) strategy.
- Measure the nature and impact of corruption on service delivery in key areas through the use of surveys of officials charged with corruption.

(<http://www.ipocafrika.org/content/view/24/75/>)

### **Transparency and Accountability in prevention and treatment of HIV/AIDS**

In 2006, the ISS Corruption & Governance Programme in collaboration with Transparency International-Zimbabwe (TI-Z) conducted a groundbreaking study in Zimbabwe and South Africa, with the view to unpacking state accountability mechanisms in place for national allocations and to highlight instances of and vulnerabilities for corruption in HIV/AIDS prevention and treatment efforts. Based on the experience and findings of the report (launched in 2007), the ISS intend to take the work forward and look at three other countries in Africa: Senegal, Uganda and Kenya. This research thus scrutinises the transparency, openness, fairness and effectiveness in delivery of HIV/AIDS prevention and treatment. Specifically, it interrogates HIV/AIDS rhetoric, policy and implementation of policy vis-à-vis corruption. The performance of the function of interrogation and scrutiny serves as a watchdog role on behalf of the public/citizens, especially those infected, affected and disempowered. (<http://www.ipocafrika.org/content/view/28/93/>).

Among other projects, ISS also conducts research and monitoring projects in the areas of **governance of natural resources** (<http://www.ipocafrika.org/content/view/25/92/>) and **climate change** (<http://www.ipocafrika.org/content/view/40/91/>).

### **The Kenya Bribery Index**

The Kenya Bribery Index conducted by TI Kenya since 2001 seeks to capture bribery experience encountered by the general public in both public and private organisations. Respondents are asked who they bribe, how much and for what purpose. This tool has contributed to raise awareness on the extent and forms of corruption in Kenya and is a powerful advocacy tool for reform. The KBI 2007, for example, is based on surveys of more than 2000 respondents. It identifies and lists, among other factors, the alleged prevalence, incidence and cost of bribes relating to several institutions in Kenya and shows that the police are again perceived as the most corrupt government institution in Kenya. It is reiterated on a regular basis to monitor progress and setbacks. (<http://www.tikenya.org/publications.asp?DocumentTypeID=10>)

The **mapping of corruption local diagnostics and measurement tools in Africa** provides an overview of numerous tools and techniques that have been implemented in Africa to promote carefully tailored measurement initiatives in the region. ([http://www.transparency.org/policy\\_research/surveys\\_indices/africa\\_middle\\_east](http://www.transparency.org/policy_research/surveys_indices/africa_middle_east))

### **Using Financial Performance Indicators to Promote Transparency and Accountability in Health Systems in South Africa**

The Equity project worked with the Department of Health between 1997 and 2003 to promote equitable access to quality primary health services in South Africa. The project goal was to build the capacity of district health teams to use resources effectively and efficiently to address priority health needs, including HIV/AIDS. The project began by introducing a planning and reporting system centred around annual review and analysis of health services and financial performance, using indicators such as the number of services per day, cost per patient visit and bed day, cost of staff, drugs and maintenances and user fee revenue per patient discharge. The reporting system was then implemented nationwide and a written manual serving as a reference tool for district management teams was produced. The intervention has proved helpful in increasing transparency and focusing attention on areas most vulnerable to abuse. (<http://www.u4.no/document/u4-briefs/u4-brief-1-2006-health-transparency.pdf>).

### ***Interventions Aiming at Strengthening Public Financial System Management***

New aid modalities such as the provision of Budget Support or Sector Wide Approaches require that governments and budget processes become more transparent and open avenues for public participation and accountability, creating new challenges and opportunities for civil society activity. A number of programmes and interventions can contribute to make sure that there are adequate

mechanisms for citizens to hold government accountable for disbursed funds, including supporting budget monitoring activities or transparent public procurement processes.

### Uganda's Parliamentary Budget Office Experience

The establishment of Parliament Account Committees (PAC) can contribute to strengthening budget oversight skills, provided they are given appropriate technical human and financial resources as well as adequate powers and independence from the executive. Budget processes are overly complex and Members of Parliament (MPs) also often lack the technical capacity to fully play their oversight role. Uganda has created an independent Parliamentary Budget Office (PBO) which supports parliamentarians throughout the budget process with expertise, analysis and reports on key budget related issues.

([http://www2.gtz.de/gender-prsp/english/papers/working\\_groups/Hannington\\_Ashaba\\_3A.pdf](http://www2.gtz.de/gender-prsp/english/papers/working_groups/Hannington_Ashaba_3A.pdf)).

### Budget Transparency Initiatives

The public has a basic right to access information about the national budget and participate in the budget cycle. Transparent and participatory budget systems aim at strengthening accountability and transparent government decision making and operation by involving the people influenced by them. A number of interventions have increasingly promoted civil society participation in budget monitoring. The International Budget Project (IBP) is the best known initiative in this area, running several projects in Africa through a network of local civil society organisations. For example, the Centre for Democratic Governance in **Burkina Faso** conducted a critical assessment of the state's draft budget for 2004-2005, designed and implemented a training module on budget transparency in 7 municipalities as well as designed and implemented a benchmark survey on budget transparency at municipal level. (<http://www.internationalbudget.org/groups/burkinafaso.htm>). Similar initiatives were carried out in **Cameroon, Chad, Ethiopia, Ghana, Kenya, Malawi, Mozambique, Namibia, Nigeria, South Africa, Tanzania, Uganda and Zambia**. The **Uganda Debt Network** also provides a good model of using budget monitoring as an advocacy tool to improve governance and reduce poverty in Uganda. (<http://www.udn.or.ug/>). In 2006, IBP launched the first index rating countries on how countries open their budget books to citizens. (<http://www.openbudgetindex.org/>).

### Promoting Transparent Procurement of HIV/AIDS Drugs through Supply Chain Management System

In 2005, the Partnership for Supply Chain Management System (SCMS) together with team members in Africa created a procurement system requiring public listing of tenders and other procedures to ensure open, transparent and competitive procurement. In addition, SCMS plans to establish an online catalogue of prices for items procured under longer term supply contracts negotiated for anti-retrovirals and other commonly needed drugs, providing useful information for country procurement officers, national audits and international donors. (<http://www.u4.no/document/u4-briefs/u4-brief-4-2006-health-drug-diversion.pdf>).

### Capacity Building in Improving Procurement Practices in Kenya

GTZ, for example, also supported capacity building activities in Kenya in the area of public finance management with the view to strengthening procurement practices in the Ministry of Health by:

- Analysis of partner procurement and logistic capacity and capability; development of project targets and results; setting up consultancy structures for procurement organisation, procurement procedures, human resources development, e-procurement, assistance in fight against fraud and corruption;
- Elaborating material lists (medical equipment, pharmaceuticals); tendering and evaluating, concluding supply contracts, concluding forwarding contracts, quality control with suppliers, controlling of transport documents, handling queries and claims;
- Supervising local distribution of goods, quality control of local storage and monitoring use of items and drugs delivered as well as payment to supplier's invoices and reporting. (<http://www.u4.no/projects/project.cfm?id=699>).

The Kenya Text Book Programme is also a good example of targeted interventions aiming at improving public procurement of teaching and learning materials. (<http://www.u4.no/projects/30dayproject.cfm#4>).

### **Interventions Promoting Public Sector Ethics and Efficient Management**

The fight against corruption and related offences in the public sector includes measures such as:

- reshaping attitudes of public officials through the introduction of ethics trainings and codes of conducts;
- declaration and monitoring of assets for public officials;
- promotion of transparency and equity in public tendering processes or rationalisation of processes;
- transparent and efficient management of human resources, including hiring, firing or transparent disciplinary measures and investigation procedures.

Examples of targeted interventions supporting public sector reform in Africa include:

#### **Introduction of Public Sector Codes of Ethics in Nigeria**

The Nigerian Public Service in general and Civil Service in particular has been undergoing gradual and systematic reforms and restructuring since 1999 after decades of military rule. As part of the public service reform, the resolve to fight and win the war against corruption in Nigeria led to the promulgation of the Corrupt Practices and Other Related Offences Act 2000 as well as various public ethics initiatives. The 1999 Constitution states in detail the Code of Conduct for Public Officers. The code includes measures such as the avoidance of conflict-of-interest by preventing public officers from putting themselves in a position where their personal interests conflict with their official duties and responsibilities. For instance, a public officer must not engage in private business (except farming). A Code of Conduct Bureau was established as well as a Code of Conduct Tribunal to treat cases of infringement or non-compliance brought to it by the Code of Conduct Bureau. However, the code of conduct seems to face some implementation challenges, including: (<http://unpan1.un.org/intradoc/groups/public/documents/UN/UNPAN023282.pdf>).

- Poor adherence to ethical standards by public servants;
- The absence of coordinated and harmonised roles, responsibilities and activities among institutions responsible for public ethics;
- Pervasive corruption as a response to insecurity of tenure, poor employment conditions and, most especially, uncertain future upon retirement;
- Weak enforcement of rules and regulations and need to strengthen the disclosure system;
- Limited involvement of non-governmental actors in monitoring and reporting unethical behaviour.

#### **Revenue Authority Staff Integrity Reviews in Uganda, Tanzania, Ghana**

The purpose of this project carried out in 2000 was to review the procedures established for the maintenance of integrity of staff in the Ghana, Tanzania and Uganda revenue authorities, as well as assess the effectiveness of those arrangements and their perceived impact on the authorities overall performance. Three countries were selected: Ghana, Tanzania and Uganda. The objective was to establish those procedures which have been successfully implemented as well as identify the disappointments. These reviews were intended for staff subjected to the exercise as well as other interested governments to draw on actual experience. The reviews were conducted through in-country interviews with relevant staff, authorities and others besides a general examination of the system and practices in place. In addition to their executives and staff, others from Government and the public at large - including business, the professions and other interested parties and opinion-formers - were interviewed. There was a remarkable commonality of views expressed in each country

by those interviewed as to the background to the economy, corruption in the country and in the general views expressed concerning relevant authorities.

(<http://www.u4.no/projects/project.cfm?id=210>)

### **Payroll Management and Establishment Control in Zambia**

Within the framework of the Public Service Reform (PSR) aiming at making Public Service delivery processes more effective and efficient in order to facilitate economic growth and reduce poverty, DfID supported the implementation of a three-year Payroll Management and Establishment Control Project (PMECP) and short term consultancy studies linked to other PSCAP initiatives. Promoting transparent and efficient human resource management contributes to prevent corruption by reducing incentives and opportunities for abuse and corrupt practices. The PMECP's purpose is to support effective budgeting, monitoring and control of employee numbers and Personal Emolument (PE) expenditure in a number of key areas:

- organisation structure planning and maintenance;
- maintaining terms and conditions of service (rule based system);
- resource planning (personal emoluments budgeting) and control;
- hiring, placement (appointments) and termination;
- payroll processing and distribution.

Capacity building, technical assistance and human resource development activities were provided in the framework of this initiative. The project was implemented by the Public Service Reform Programme (PSRP) Steering Committee between 2000 and 2003. It decentralised payroll management procedures and strengthened centralised data capture and computerised payroll processing systems. (<http://www.u4.no/projects/project.cfm?id=295>).

### **Monitoring Conflict of Interest in South Africa**

This ISS Corruption & Governance Programme project aims at monitoring Conflicts of Interest and Elite Formation, by looking at the effectiveness and compliance levels of existing disclosure regimes, identifying gaps in regulation and legislation and investigating case studies across South Africa, in order to inform public debate and, through independent advice and support to state structures, develop policy and monitoring and evaluation tools.

The project has three key areas:

- 1) Disclosure of Interests and Conflicts of Interest Database
- 2) Challenges of Implementation and Closing the Conflicts of Interest Policy Gap
- 3) Understanding the nature and influence of power elites in South Africa

The project also seeks to conduct a comprehensive assessment of how power elites are formed and the factors enabling them to maintain their status through interviews with government and business leaders. (<http://www.ipocafrika.org/content/view/38/89/>).

### **Monitoring Asset Declaration in Liberia**

In late 2004, IFES launched its Money and Politics (MAP) project designed to enhance credibility in Liberia's political process through the promotion of greater transparency and accountability in political finance. The MAP Project began with a comprehensive assessment of the political finance system in Liberia which was followed by the provision of regulatory support, including the drafting of necessary forms. This work was undertaken with the support of the National Elections Commission (NEC), and in coordination with major political parties and civil society organisations. As a result, political parties and candidates contesting elections publicly declared their assets. These declarations were made available for public scrutiny via the NEC website and widely reported in the press. Having completed MAP pilot projects in a number of countries including South Africa, IFES continues to conduct MAP project activities in Liberia and Nigeria. IFES has also developed a set of lessons-learned and best



practices for developing disclosure-oriented programs. The program claims to offer some relatively simple technical solutions that can, if well targeted and timed, effectively address weaknesses in a country's system of disclosure (<http://www.moneyandpolitics.net/projects/map.html>).

### ***Interventions Promoting Public Participation/Civil Society Monitoring***

The critical role that civil society can play in promoting transparency and accountability in government processes and development programmes is increasingly recognised by the various actors, leading to a variety of interventions aiming at involving citizens and beneficiaries in programmes and decisions that directly affect them.

#### **Promoting Public Access to Information through the Tanzania Governance Notice Board (TGN)**

Access to information has long been recognised as a key component in any attempt to combat corruption. As a resource of financial information of various Tanzanian government departments the Tanzania Governance Notice Board collates and presents information that is useful for the strengthening of accountability, transparency and integrity in Tanzania. Key statistics, including budget data, audits and other governance related indicators, have been gathered in the TGN database. The database enables comparisons to be made across sectors and administrative areas and track developments over time. The TGN provides a good model of an example of an IT platform sharing a range of financial information to enhance transparency and accountability. (<http://www.repoa.or.tz/tgn/index.php>).

#### **Monitoring Access to Information Law in South Africa**

The Open Democracy Advice Centre (ODAC) is the main domestic NGO monitoring the access to information act in South Africa. ODAC provides practical services to individuals and organisations to promote access to their rights in respect of three key pieces of legislation, namely the Promotion of Access to Information Act (PAIA) - that provides for the right of access to any information held by the state as well as to privately held information for the protection of any right -, the Protected Disclosures Act (PDA)- that protect whistle blowers in both the public and private sectors - and the Promotion of Administrative Justice Act (PAJA) -that provides for the right to lawful, reasonable and procedurally fair administrative action. South African access to information legislation is unique in providing for the right to information against private companies. ODAC facilitates community based processes to implement access to information and administrative justice, offers free and confidential advice on a free hotline and consult with public and private holders of information on the implementation of these various acts. (<http://www.opendemocracy.org.za>).

#### **Participatory Monitoring of the Poverty Reduction Strategy Process (PRSP) through the Participatory Observatory in Mozambique**

Mozambique formulated its PRSP in 2001. The Poverty Observatory was created as a consultative platform involving civil society on poverty reduction, the implementation of the PRSP and aiming at improving governance by promoting civil society participation in the monitoring of the PRSP. The Observatory has been operational since 2002 and is composed of representatives of the national government, international donors and local civil society. Although not initially intended to undertake its own analytical work, civil society organisations were tasked with conducting a complementary poverty analysis in the first panel meeting in 2002. Data gathering took place at district, provincial and national level through questionnaires and focus group discussions and resulted in the production of the first poverty report that served as a basis to formulate recommendations to the second panel of the poverty observatory. In Mozambique, the participation of both state and non state actors in the Poverty Observatory represents a significant move towards participatory and multi-stake holder monitoring and evaluation of the PRSP. (<http://www.iss.nl/DevISSues/Articles/Mozambique%27s-PRSP-process-Explorations-in-Participatory-Monitoring>) and (<http://www.u4.no/projects/project.cfm?id=339>).

Further examples of initiatives aiming at involving civil society in the monitoring of PRSP are compiled and documented by UNDP.

([http://www2.gtz.de/gender-prsp/english/papers/working\\_groups/Hannington\\_Ashaba\\_3A.pdf](http://www2.gtz.de/gender-prsp/english/papers/working_groups/Hannington_Ashaba_3A.pdf)).

### **Public Hearings in Ghana and Gambia**

Civil society has a crucial role to play in holding public officials accountable for their management of public affairs and resources. Public hearings can be a powerful tool to promote citizens' participation and monitoring of government operations. In Ghana, for example, on-going public hearings of **Ghana's Public Accounts Committee** at the Parliament provided an opportunity for public scrutiny on how state institutions have been spending tax payers' money in the past fiscal year. By addressing the public's concerns about corruption and accountability issues, such initiatives have contributed to improving the image and legitimacy of the Ghanaian Parliament and gradually restore the public's trust and confidence in the institution. (<http://www.africanexecutive.com/modules/magazine/articles.php?article=2634>).

In **Gambia**, the President Yahya Jammeh set up a commission in 2004 to probe the assets, properties, activities and other related matters of those who served as public officers between 1994 and 2004. This included all former Cabinet ministers and secretaries of state, the Vice President, and all public office holders and heads of government agencies. The Commission, after holding 139 public hearings under the chairmanship of Justice M.A. Paul, made its recommendations known to the government and barely 24 hours after the release of the report, 32 public officials and other persons were arrested and detained for corruption related offences. The President, acting on the recommendations of the Commission also announced the establishment of the Public Accountability and Anti-Corruption Unit (PAACU) as a permanent unit to fight corruption in the public service. ([http://www.africaweekmagazine.com/news/talking\\_biz.php?pageNum\\_r\\_ed=15&totalRows\\_r\\_ed=5](http://www.africaweekmagazine.com/news/talking_biz.php?pageNum_r_ed=15&totalRows_r_ed=5))

### **Community Notice Boards and Suggestions Boxes for Community Feedback in Kenya**

Access to information, complaints and feedback mechanisms for beneficiaries are increasingly recognised as a critical part of a larger set of measures that promote more transparency and accountability in aid delivery. As a matter of example, Humanitarian Accountability Partnership-International specifically recommends the implementation of such practices in aid delivery. For example, Tearfund introduced community notice-boards providing background information on the purpose and activities of the programme in all projects locations in North Kenya, as a pilot process to improve transparency and accountability. The location of each board was chosen during a consultative meeting, taking into consideration security, proximity and long-term use of the boards. In addition, Tearfund provided a channel for receiving verbal complaints and suggestions through the Beneficiary Reference Group as well as the setting up of complaints boxes to allow sensitive and anonymous reporting of misconduct or discontentment. Most of the complaints received through this channel were deemed relevant to Tearfund's work. ([http://www.hapinternational.org/pdf\\_word/m933-Tearfund%20North%20Kenya%20Programme%20Community%20notice%20boards%20to%20increase%20transparency.pdf](http://www.hapinternational.org/pdf_word/m933-Tearfund%20North%20Kenya%20Programme%20Community%20notice%20boards%20to%20increase%20transparency.pdf)).

### ***Interventions Targeting Political Parties and Campaign Financing***

Political corruption affects the ability of elected officials to make decisions in the public interest, erodes the legitimacy and accountability of political and democratic processes, and ultimately undermines development priorities and outcomes. A number of interventions focus on mechanisms that can help prevent corruption by politicians who are in power or campaigning for office, including the development of codes of conduct for political parties or monitoring of political parties and campaign financing.

### **Using Elections to Improve Ethics and Transparency of Political Parties in Benin**

Leading up to the 2006 elections, UNDP worked with a spectrum of political leaders, private sector representatives and civil society organisations to develop a code of conduct for political parties. The

code comprises 12 basic ethical principals and was signed by all presidential candidates and the leaders of the 10 main political parties. Some used it in their campaign.

(<http://www.undp.org/governance/docs/Policy-Pub-EngagementPolitical%20Parties.pdf>) and (<http://www.undp.org/bj/lesflashes/flash-fevrier-2006.pdf>).

### **Liberia Campaign Finance Monitoring**

A training workshop convened by IFES, in coordination with two Liberian NGOs (the Centre for Transparency and Accountability in Liberia, CENTAL and the Liberian Institute of Public Opinion, LIPO) and the National Democratic Institute (NDI) was organised in July 2005 targeting representatives of fifteen civil society organisations to monitor funding and spending by candidates and political parties. Political parties and candidates were required to report their sources of funding and their expenditures to the National Elections Commission (NEC). Although Liberia's 1986 Constitution mandates campaign finance reporting, no campaign finance regime had previously existed. In its effort to reform Liberia's electoral system, the NEC has developed Campaign Finance Regulations which provide detailed guidelines to parties and candidates on reporting requirements. By releasing the parties' and candidates' reports to the public, the NEC will facilitate the work of civil society and the media in monitoring campaign finance and examining the role of money in politics in Liberia. Prior to the workshop, a scoping study of the Liberian legal framework was conducted by CENTAL, providing recommendations about inherent weaknesses and strength of the proposed legal framework. ([http://www.ifes.org/files/releases/06\\_05\\_05\\_CivilSociety\\_Watchdogs.pdf](http://www.ifes.org/files/releases/06_05_05_CivilSociety_Watchdogs.pdf)).

### **Monitoring the funding of Political Parties in South Africa**

In order to assist the research community to undertake work on party funding, the ISS has embarked on a joint project with Idasa's Political Information & Monitoring Service (PIMS). The objectives of the project were i) to provide tools for political parties, policy makers and others to develop regulation of the private funding of political parties, ii) to assist the media, civil society and the research community with background information on this issue and iii) to produce a database that will help keep track of reported instances of private funding of political parties – the first online database of its kind on the African continent. The new website launched in July 2005 monitors the private funding of political parties in SA ([www.whofundswho.org.za](http://www.whofundswho.org.za)). It provides the public with a source of information with which to monitor the reported sources of private funding to political parties, as well as provide up-to-date analysis, international studies and detailed background information on disclosure regulations. Further outputs of the project include: (<http://www.ipocafrika.org/content/view/26/94/>).

- A commissioned research paper - SA Democracy Incorporated. Corporate Fronts and Political Party Funding. Central to the paper is its focus on party funding sources with possible links to corrupt transactions. In particular it brings under the spotlight an alleged new corporate front used by the ruling African National Congress (ANC) to augment its income: Chancellor House.
- Five regional workshops introducing the website to journalists and policy researchers.

### ***Examples of Capacity Building and Development Interventions***

#### **Training Young Journalists in Uganda**

To build citizen participation in Uganda's current democratic restructuring process, a strong and informed media has a crucial role to play. For example, citizens should be informed of the amount of money that government is spending on alleviating poverty and in a position to monitor the outcome of the PRSP process. This project was undertaken by Transparency Uganda with the view to equipping journalists with skills and techniques for independent investigations and reporting. The project was implemented in 2004 and consisted of a set of training workshops, round tables and on-site visits. Partnerships were formed with the journalists' associations and other civil society organisations. ([www.transparency.org/content/download/2888/17878](http://www.transparency.org/content/download/2888/17878)).

### **Educating Future Leaders: Good Governance in Schools (Zambia)**

The Network of African Youth Against Corruption-Zambia (NAYAC-Zambia) runs anti-corruption awareness clubs in schools, closely co-operating with teachers associations. The Youth for Good Governance project targets Zambian high schools and college students. From October 2003 to April 2004, a six months course was held at high schools, regional seminars were carried out throughout the country and a final national workshop took place. 6000 students from 40 institutions have been trained as for 2004, while 20000 students are being targeted by the project.

([www.transparency.org/content/download/2888/17878](http://www.transparency.org/content/download/2888/17878)).

### **FM Revolution in Niger**

In a context where only one fifth of the population is literate, radio is a powerful medium to reach out the communities and promote social dialogue on key development issues. Although Niger has a long way to go in terms of freedom of information, radio has become a major instrument in the process of capacity development in the country, affording an avenue for citizens to complain about poor local services, chasing politicians and demanding answers on the air. Although not specifically focused on corruption, this paper highlights how radio and targeted community channels of communication can be used to question politicians, raise awareness and open an avenue for communities to participate in the public debate on development issues.

(<http://siteresources.worldbank.org/INTCDRC/Resources/CDBrief24.pdf>).

### **Selection of Private Sector Interventions**

The private sector has also its role to play in the fight against corruption and a number of interventions increasingly focus on preventing corruption in the business sector through, for example, corporate governance related initiatives.

### **The Convention on Business Integrity in Nigeria**

The Convention on Business Integrity - a Nigerian Initiative against corruption in the private sector - developed and adopted, in 1998, a Code of Business Integrity that all signatories of the Convention are required to ratify. This code sets standards of ethical conduct, transparency and accountability. A compliance measurement tool has also been introduced. To measure compliance, management entities, employees selected randomly across the organisation, as well as key stakeholders such as auditors or business partners are asked to answer a questionnaire on the implementation of the code. The idea is to derive the level of compliance to the code from the level of agreement between the different references. The integrity rating system uses a scale of one (competence) to five stars (commitment). (<http://www.sap.com/company/citizenship/pdf/CBIbrochure.pdf>). Similar initiatives are on the way in a number of countries such as in **Malawi**, where the African Institute of Corporate Citizenship (AICC) is setting up a "Business Action Against Corruption" (BAAC) initiative and is in the process of developing a code of conduct for the private sector with a corruption rating framework. (<http://www.aiccafrica.org/PDF%20files/Abuja%20BAAC%20Statement.pdf>).

### **Analysing the link between Corporate Governance and Corruption in Ghana**

Building on recent anti-corruption and corporate governance initiatives, the African Capital Markets Forum (ACMF) - in collaboration with an advisory committee of key business sector stakeholders - proposes to analyse the linkage between corporate governance and corruption in Ghana. The basic premise is that weak corporate governance systems breed corruption. Based on a survey of publicly listed companies, private companies and state enterprises, ACMF will seek to demonstrate the effectiveness of sound corporate governance practices in reducing the incidence of corruption. The analysis is expected to generate recommendations for strengthening corporate governance in Ghana for the private, public and government sectors, and combating private-sector driven or "supply-side" corruption ([http://www.cipe.org/programs/corp\\_gov/othercg.php](http://www.cipe.org/programs/corp_gov/othercg.php)).

## ***Selection of Interventions Targeting the Judiciary***

The establishment of an impartial, transparent and efficient justice system is a prerequisite to effectively address corruption at national level as well as to fight the international dimension of economic crimes such as money laundering or asset recovery. As such, interventions aiming at strengthening and promoting integrity in the justice systems contribute to promote effective implementation and enforcement of the international conventions against corruption and are often implemented within the broader framework of programmes supporting the implementation of these conventions. Such initiatives typically focus on activities aiming at upgrading of judges and judicial personnel or implementation of strong ethical standards in the justice system.

### **Judicial Corruption Monitoring Exercise and Judiciary Watch in Ghana**

The Ghana Integrity Initiative, supported by GTZ, undertook in 2006 a thorough gathering of empirical evidence of corrupt practices in the judicial system as a pilot programme seeking to answer the question of whether, and to what extent, the perceptions of corruption in the judiciary were close to reality. In addition, GII has undertaken a systematic observation of the judicial system through its Judiciary Watch. The main activities have been to organise round-tables attended by lawyers, judges, court employees and the public and monitoring activities of court corruption. Quarterly judicial briefs have also been published and distributed. Similar initiatives are on the way in Cameroon and Nigeria. (<http://www.gtz.de/de/dokumente/en-uncac-project-description-brief.pdf>).

### **Nigeria Judicial Integrity and Capacity Project**

As part of the Judicial Integrity and Capacity Project in Nigeria, UNDOC supported a technical assessment of the integrity and capacity of the justice system in three Nigerian states in 2004. The study explored Nigeria's current levels of access to justice, the timeliness and quality of justice delivery, the independence and impartiality of the judiciary and corruption and public trust in the justice sector institutions, drawing policy recommendations for judicial reform measures. ([http://www.unodc.org/pdf/crime/corruption/Justice\\_Sector\\_Assessment\\_2004.pdf](http://www.unodc.org/pdf/crime/corruption/Justice_Sector_Assessment_2004.pdf)).

## **Part 2: Country Level Initiatives with an International Dimension**

### ***Examples of African Initiatives to Promote the Ratification and Implementation of the United Nation Convention Against Corruption (UNCAC) and the African Union Convention Against Corruption (AU)***

The UNCAC includes provisions to tackle corruption through a variety of preventive measures covering public sector ethics, public contracting and financial management, public reporting and access to information as well as private sector standards (accounting, auditing and codes). A variety of examples of approaches supporting the implementation of these prevention measures at sectoral level have been highlighted in the previous section.

Activities more specifically supporting the ratification and implementation of the UNCAC have included initiatives aiming at advocating for the ratification of the convention as well as supporting its implementation through analysing existing legislation, drafting model laws and mobilising the various stakeholders to support reform efforts. By nature, such interventions tend to be rather broad in terms of scope and focus.

### **Advocating for the Ratification and Implementation of the UNCAC in Ghana and Uganda**

In Africa, for example, the Ugandan Chapter of the African Parliamentarians' Network Against Corruption (APNAC) piloted a sensitisation and lobbying programmes promoting the implementation of the African Union Convention against corruption between 2004 and 2006. ([http://www.apnacafrica.org/docs/Uganda\\_Final\\_Report\\_AU\\_Legislation.doc](http://www.apnacafrica.org/docs/Uganda_Final_Report_AU_Legislation.doc)). In the same period of

time, the Ghana Integrity Initiative (GII) also launched an advocacy project, lobbying government to present the AU convention against corruption to Parliament, raising awareness of Ghanaians/CSO's on the contents and importance of AUCAC and lobbying Parliament (MP's) to ratify the protocol. As part as the advocacy strategy for example, GII wrote to the government to press for ratification of the AU Convention and worked with the local chapter of APNAC (African Parliamentarians Against Corruption) to promote ratification. Together with APNAC they convened a public meeting on this subject at which government officials made public commitments to ratify promptly. ([http://www.apnacafrika.org/docs/Ghana\\_Progress\\_Report.doc](http://www.apnacafrika.org/docs/Ghana_Progress_Report.doc)) and (<http://www.transparency.org/content/download/15386/165714>)

### **Promoting legislation such as Access to Information in South Africa**

In South Africa, a nation-wide civil society campaign led to the passage of one of the world's most advanced pieces of legislation on the subject on access of information. In 1996, the Institute for Democracy in South Africa (Idasa) catalysed the creation of a small coalition, the Open Democracy Campaign Group (ODCG), which brought together a diverse range of organisations concerned with social justice to promote the then-stalled Open Democracy Bill. They built relationships with a government Task Force on Open Democracy, parliamentarians and committees considering the law and made a point of providing constructive policy options. The resulting South African access to information legislation covers all three branches of government, provincial and local bodies and any public functionary performing a public function under law. The above-mentioned Open Democracy Advice Centre (ODAC) was created as an outcome of this process. (<http://www.transparency.org/content/download/15386/165714>).

### **Reviews of the UNCAC and the AU Conventions' Implementation in African Countries**

A range of studies have been prepared specifically to analyse compatibility of national systems with convention requirements: ([http://www.transparency.org/publications/publications/conventions\\_africa](http://www.transparency.org/publications/publications/conventions_africa)).

- Case studies commissioned by TI in nine African countries which analyse anti-corruption measures and highlight the main shortcomings of the reform process in Algeria, Burundi, Kenya, Liberia, Nigeria, Sierra Leone, South Africa, Togo and Uganda. (<http://www.eldis.org/go/topics/resource-guides/governance/corruption/public-sector&id=31449&type=Document>).
- Country studies commissioned by UNDP analysing the legislative framework in Burkina, Ethiopia, Gambia, Kenya, Lesotho, Malawi, Mozambique, Nigeria, Senegal and South Africa ;
- Country reports prepared as part of the NEPAD African Peer Review Mechanism ([www.nepad.org/2005/files/aprm.php](http://www.nepad.org/2005/files/aprm.php)).

GTZ also supported a compliance review in **Cameroon** that was compared with Indonesia, Colombia and Germany with the view to identifying parallels in national compliance, analysing current measures or institutions involved in corruption prevention and pinpointing possible assistance needs and selected good practices. (<http://www2.gtz.de/dokumente/bib/07-0856.pdf>).

### **Production of a guide book on the *Prevention and Combating of Corrupt Activities Act 2004* in South Africa**

This intervention, financed by GTZ in 2005, targeted the public and private sector as well as civil society organisations through the elaboration and dissemination of a user friendly guide book on the Prevention and Combating of Corrupt Activities Act 2004. This project was accompanied by broad scale awareness raising and public relation work to promote the prevention of corruption and disseminate knowledge of the UNCAC. (<http://www.gtz.de/de/dokumente/de-uncac-pilotmassnahmen.pdf>).

Please also see ([http://www.transparency.org/news\\_room/in\\_focus/2005/uncac/ti\\_activities](http://www.transparency.org/news_room/in_focus/2005/uncac/ti_activities)) for an overview of Transparency International's national and regional initiatives supporting the implementation of the AU and UNCAC convention in Africa.

### **Examples of Anti Money Laundering Interventions**

As part of the prevention measures, the UNCAC also provides for anti-money laundering regulations. Only few interventions in this area could be unearthed within the time frame of the query of such interventions at national level in African countries.

#### **The Policy Laundering Project: Eastern and South African Anti-Money Laundering Group**

The Eastern and South African Anti-Money Laundering Group (ESAAMLG) comprises fourteen countries from the eastern and southern regions of Africa. The ratified member states that have signed the memorandum of understanding founding the Group currently include **Botswana, Kenya, Malawi, Mauritius, Mozambique, Namibia, South Africa, Swaziland, Seychelles, Tanzania and Uganda**. The objectives voiced by ESAAMLG include promoting the adoption and implementation of the 40 Recommendations of the FATF, the application of anti-money laundering measures to all serious crimes as well as the implementation of any other measures contained in multilateral agreements and initiatives to which the member governments subscribe for the prevention and control of money laundering of the proceeds of all serious crimes. Members agree to participate in a program of mutual evaluation. For example, the group has endorsed the use of AML/CFT methodology for its mutual evaluation and scheduled a series of mutual evaluations and conducted training activities for evaluators in conducting assessments.

(<http://www.policylaundering.org/keyplayers/ESAAMLG.html>)

#### **Intelligence Gathering and the Capturing of Information on a Database in South Africa**

Information on suspicious activities and persons is fed to a data base of the South African Police Service. The Individual Structuring Information System (ISIS) is a data base on which information in respect of suspect gangs, syndicates, organisations and activities of suspicious persons is recorded and stored for enquiry purposes and the combating of organised crime.

([http://www.unafei.or.jp/english/pdf/PDF\\_rms/no58/58-31.pdf](http://www.unafei.or.jp/english/pdf/PDF_rms/no58/58-31.pdf)).

#### **The Economic and Financial Crimes Commission in Nigeria (EFCC)**

The EFCC was established in 2003 as a Nigerian Law enforcement agency that investigates financial crimes (including money laundering related) in response to pressure from the Financial Action Task Force on Money Laundering (FATF) which named Nigeria as one of the 23 non cooperative countries in the international efforts to combat money laundering. (<http://www.efccnigeria.org/>). In 2006, the BBC reported that the EFCC had 31 of Nigeria's 36 state governors under investigation for corruption. (<http://news.bbc.co.uk/2/hi/africa/5387814.stm>).

### **Asset Recovery Initiatives in Africa**

Two related expert answers can provide background information on stolen asset recovery, including the Expert Answer on the scale of corruption/stolen assets in Africa (<http://www.u4.no/helpdesk/helpdesk/queries/query77.cfm>) as well as the Expert Answer on the looting of state assets as a development issue.

(<http://www.u4.no/helpdesk/helpdesk/queries/query78.cfm>). The best known cases of asset recovery interventions have been developed and implemented in Kenya and Nigeria.

#### **UNODC Asset Recovery capacity building Projects in Kenya and Nigeria**

UNODC launched an asset recovery programme in Kenya and Nigeria in 2004. An in-depth assessment was conducted in both countries to examine their regulatory regime, legal and technical obstacles at national and international level. The objective of these projects is to assist both countries in reaching compliance with international standards on the prevention of money laundering. This

includes the drafting of necessary legislation and the development of new institutions. Field advisors are already in place and computer-based training modules have been developed. Specific projects on building local capacity in the asset recovery area targeted Kenya and Nigeria. ([http://www.unodc.org/pdf/crime/corruption/corruption\\_gpac\\_strategy\\_jul04.pdf](http://www.unodc.org/pdf/crime/corruption/corruption_gpac_strategy_jul04.pdf)).

### **Monitoring the Use of Recovered Assets in Nigeria**

In 2005, Nigeria received some USD 500 million from Switzerland as part of the restitution of the stolen assets by Sani Abacha. The money was intended to provide incremental funding for MDG related activities in the budget such as health, education or rural infrastructure programmes. Nigeria used these resources as general revenues and through its usual public finance processes. The monitoring of the spending was rendered difficult due to a variety of reasons as well as the weaknesses of the Nigerian Public Finance Management System. Nigeria has since adopted a virtual poverty fund approach for monitoring the use of the funds resulting from debt relief which allows all spending on those activities from all sources to be monitored.

(<http://siteresources.worldbank.org/NEWS/Resources/Star-rep-full.pdf>).

## **Part 3: Further reading**

Further examples of projects and approaches implemented in Africa can be found by consulting:

### **The Project Data Base of the U4**

This data base provides an overview of what the U4 partner agencies are doing to help curb corruption in their development aid programmes, partner countries and globally.

<http://www.u4.no/projects/main.cfm>

### **Eldis website**

This website is also a useful source of information on development policy, practice and research. It gives free and easy access to global development information on international development and summary of key documents from over 4,500 development organisations.

<http://www.eldis.org/>

### **Development Gateway**

This portal for development information and knowledge sharing worldwide on economic development also provides project information, articles, community features and many other resources.

[www.developmentgateway.org/](http://www.developmentgateway.org/)

### **Anti-Corruption Conventions in Africa**

Part of a regional series on civil society action in anti-corruption conventions, this guide focuses on the two principal anti-corruption conventions in Africa – the African Union (AU) anti-corruption convention and the United Nations Convention Against Corruption (UNCAC) and highlights examples of civil society interventions to support the ratification and implementation of these conventions in Africa.

[http://transparency.org/publications/publications/conventions\\_africa](http://transparency.org/publications/publications/conventions_africa)

### **Foreign Sponsored Development Projects in Africa: The Dialogue between International and African Judicial Integrity Projects**

This paper looks at the multiple interactions between legal and empirical work in fighting judicial corruption, international coordination and cooperation through judicial leadership groups and on the ground implementation in Nigeria. Lessons and implications of these linkages are generalised to other types of development projects. <http://www.ideas.repec.org/p/wpa/wuwpma/0406005.html>