

# THE UNITED REPUBLIC OF TANZANIA



## MANAGEMENT STANDARDS CHECKLIST (MSC) FOR THE PUBLIC SERVICE

October, 2011

## ABBREVIATIONS

BPI	Business Process Improvement
CSC	Client Service Charter
DAHRM	Director of Administration and Human Resource Management
HR	Human Resource
HCMIS	Human Capital Management Information System
ICT	Information, Communication Technologies
IEC	Information Education and Communication
ISA	Institutional Self Assessment
IPA	Individual Performance Agreement
LAN	Local Area Network
LGAs	Local Government Authorities
M&E	Monitoring and Evaluation
MDAs	Ministries, Independent Departments and Executive Agencies
MIS	Management Information Systems
MOFEA	Ministry of Finance and Economic Affairs
MTEF	Medium Term Expenditure Framework
MTSP	Medium Term Strategic Plan
NSA	Non State Actors
OPRAS	Open Performance Review and Appraisal System
PE	Personnel Emolument
PIM	Performance Improvement Model
PMO	Prime Ministers Office
PMO-RALG	Prime Ministers Office-Regional Administration and Local Government
PMS	Performance Management Systems
PMSG	Performance Management Systems Guideline
POPSM	Presidents Office-Public Service Management
PSP	Private Sector Participation
PSRP	Public Service Reform Programme
WAN	Wide Area Network

## **PREFACE**

The Tanzanian Public Service is operating under the guidance of the policies, laws, regulations, circulars, systems and tools which have been developed or enacted for the purpose of increasing efficiency and effectiveness of the service. These policies, legislations systems and tools are a result of the Governments' commitment towards ensuring a reformed public service, whereby all Public Service Institutions (i.e. Ministries, Independent Departments, and Executive Agencies - MDAs; Local Government Authorities' – LGAs and Parastatal Organizations are efficient in service provision and achieving organizational goals as per their established mandate.

The Management Standards checklist is therefore a collection of acceptable and agreed tools (guidelines and manuals) used in the public service, of which all public service institutions will have to comply to. The standards are on all areas of management, aiming at strengthening an institution and improving overall organizational performance in terms of service delivery. The management standards checklist helps an institution to conduct capacity assessment, investigating strengths and weaknesses as a process for providing services to clients. These standards are put together in this checklist for the purpose of emphasizing their importance, showing linkages and enforcing their use.

All public service institutions are urged to make use of the Management Standards Checklist through addressing capacity, operationalization and effectiveness issues related to these standards. It is the responsibility of PO-PSM, relevant oversight institutions and public service institutions to monitor and report on compliance and, also address limitations related to use of the checklist and the management standards therein. Through compliance with the Management Standards mentioned in this checklist, it is expected that there will be increased efficiency and effectiveness in service delivery in the public service. It is also important to note that these standards can be improved with time; therefore it is the responsibility of all public service institutions to offer suggestions for improvement and share lessons learnt from their application.

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**PERMANENT SECRETARY (ESTABLISHMENTS)**

# CHAPTER ONE

## INTRODUCTION

### 1.1 What is a Management Standards Checklist (MSC)

A checklist is simply a list of identified issues or activities that need to be addressed. It ensures that nothing among those listed issues is missed in implementing an activity, plan, project, and or programme. On the other hand, Management Standards are published guidelines to best practice, outlining the knowledge, understanding, and personal competences that managers (and or organizations) need to develop and demonstrate if they are to be effective. Management standards usually focus on management of activities, people, resources, information, and quality.<sup>1</sup>

In this context then, a Management Standards' Checklist is a list of identified important issues and or activities that need to be done to operationalise each of the designated Management standards. Looked at within the context of government institutions in the Tanzania Public Service, this checklist is a list of activities that these institutions need to do/implement so as to operationalise the various Management Standards developed for use in the public service to ensure efficient and effective service delivery.

This Management Standards Checklist is derived from guidelines and manuals and it enumerates minimal requirements (Standards) on the methods, practices and processes related to the operationalisation of management standards/guidelines in government institutions. Most of these management standards have been established since early 1990s during implementation of the Civil Service Reform Programme (CSR) and later re-emphasized by the Public Service Reform Programme (PSRP) which commenced from the year 2000.

There are also subsequent policies, laws, regulations, circulars related to each of these management standards mentioned by the checklist. They give detailed definitions and operationalization

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<sup>1</sup> Definition derived from *the Dictionary of Business and Management*, Chartered Management Institute 2002.

information of the standards mentioned, as well as guiding their monitoring and reporting.

## **1.2 The Purpose for the Management Standards Checklist**

The main purpose for developing this checklist is to provide to government institutions an overall guideline to the developed management standards that are required to be applied/implemented in the public service of Tanzania. The management standards have been developed to help in improving public service delivery via the increase of efficiency and effectiveness in public services. Specifically, the checklist is aiming to:-

- ❖ Enhance use of the Management Standards, emphasis being their contribution towards efficiency and improved performance in the delivery of public services;
- ❖ Enhance knowledge on the developed management standards and provide guidance on their use/ operationalization;
- ❖ The standards are also presented in this checklist to show linkages amongst them and other management tools used in the public service;
- ❖ Show the linkages among and between the management standards currently being used in the public service;
- ❖ Bring about consistency in the use of the standards which are developed and implemented in government institutions;
- ❖ Facilitate monitoring and reporting on the standards compliance and adherence;
- ❖ Provide a basis for monitoring and benchmarking, sanctioning and rewarding on performance and service delivery. This helps in the identification of best managed public service institutions.

## **1.3 Roles of Various Actors in the Use of the Management Standards**

The management standards stated in this checklist are to be used by all government institutions, including oversight agencies. At organizational level, standards are used not only by the management to improve on the systems of a government institution and subsequently its performance, but also to enhance the knowledge and skills of those officers dealing with issues related to the developed standards and therefore, improve on the performance level of the organization's day to day operations and service delivery.

In this context, government institutions have the following roles in the implementation of the standards.

### **1.3.1 Role of PO-PSM**

PO-PSM has the following responsibilities and role to play:

- Developing more management standards, updating and reviewing existing ones and their corresponding tools related to the use of each. This may also include not only setting legal requirements for using the standards but also developing incentives and motivation packages for government institutions to implement them;
- To build government institutions' capacity to understand and comply to the management standards through advice, training and awareness creation;
- To conduct regular assessment to monitor compliance to the management standards, such as compliance inspections and regular assessments to mention a few; and
- To benchmark, reward and sanction institutions based on compliance to the management standards and results thereof.

### **1.3.2 Role of Government Institutions**

MDAs have the following responsibilities and role to play:

- To build internal capacity to understand and comply to the management standards through training and awareness creation;
- To customize some of the management standards to fit into specific organizational needs and environment;
- To commit resources, both Human and Financial for effective use and monitoring of the Management Standards;
- To review necessary processes and procedures to ensure compliance to the Management Standards;
- To monitor and report on compliance to the management standards; and
- To conduct internal rewarding and sanctioning based on compliance to the management standards and results thereof.

### **1.3.3 Role of Public Service Commission (PSC)**

The Public Service Commission has the following role and responsibilities:

- To conduct regular assessment to monitor compliance to the management standards (compliance inspections);
- To monitor and evaluate performance and implementation of the standards in government institutions;
- To take appropriate measures on cases of non compliance in the performance and implementation of the management standards.

### **1.3.4 What is in the Document?**

Together with the first chapter discussed above, the document contains two more chapters with chapter two, covering a checklist for each of the identified management standard and showing the necessary linkages between the standards; and chapter three, which lists the reference materials for the developed checklist for each of the management standards' tools (Guidelines and Manuals).

## CHAPTER TWO

### THE MANAGEMENT STANDARDS CHECKLIST

#### 2.1 Introduction

In this part, the Management standards checklist is presented. On each of the presented management standard (systems, tools, and procedures for efficiency), issues related to capacity, implementation or operationalization of the standards and effectiveness are mentioned and linked with other Management Standards. By Capacity, it is meant to include all issues related to staffing, structures, leadership support and working tools to support use of / or compliance to the standards; Operationalization or implementation entail proper use of the management standards, such as ensuring linkages and compliance since all these determine quality of work and performance of an organization; and effectiveness is used here in depicting parameters to look into for ensuring issues related to management standards leading into realization of the goals are addressed.

#### 2.2 Areas of Management Standards

The following are areas under the Management Standards Checklist:

##### 2.2.1 Ethics Promotion

###### ❖ Complaints and Grievance Handling Systems

On Complaints and Grievance Handling Systems, government institutions must do the following:

- Authorize and train staffs to deal with complaints. At least one staff member has a job description making him/her responsible for complaints handling;
- Establish Customer Care Teams;
- Equip the organization to deal with complaints. Complaints unit has to have telephone internet connection, and complaints register forms. The offices also must have at least 10 copies of the Client Service Charter at any given time;
- Encourage to complain. Complaints procedures must be prominently placed;
- Complaints handling systems must be timely and responsive. Complaints must be registered and time of resolution recorded. Incase there is a delay,

complainants must be informed in advance and explained to why there was a delay;

- Periodically review results of the complaints handling system; and
- Prepare the complaints management report, which includes actions taken to improve business processes or service delivery as a result of feedback received in the form of complaints.

#### ❖ **Ethics Compliance Framework**

On Ethics Compliance Framework, government institutions must do the following:

- Establish Integrity/Ethics Committee;
- Show evidence of Ethics Management Committee meeting regularly to deliberate ethical issues in an organization;
- Create awareness on unethical behavior amongst through conducting of training on ethical issues, also make available all key ethics documents to all staff;
- Show evidence of Ethics investigations undertaken by Organizational Ethics Committee and show evidence of deliberations and disciplinary actions undertaken; and
- Show evidence of disciplinary actions taken as a result of investigations.

### **2.2.2 Human Resource Development**

#### ❖ **Human Resource (HR) Plans**

On Human Resource Plans, government institutions must do the following:

- HR plans should have forecasts on quantity and quality of staff requirements and their support to fill vacant positions in an organization;
- Prepare and revise Job lists to inform HR plans;
- HR plan must provide support and link to the Strategic Planning process;
- Show evidence for decisions made on HR issues based on HR plans;
- Build staff capacities to develop and implement HR plans; and

- HR plans must be reviewed annually.

#### ❖ **Succession Plans**

On Succession Plans, government institutions must do the following:

- There has to be skilled and knowledgeable staff capable of developing and implementing the succession plan;
- Succession Plan put in place;
- Regularly update seniority list;
- Succession plan must guide decisions on HR such as promotion, capacity building, etc;
- Link succession plans to HR Plans, OPRAS, Job Lists, Restructuring and Capacity Building; and
- Monitor implementation of the plans and report to PO-PSM and PO-PSC

#### ❖ **Medium Term Training and Development Plans**

On Medium Term Training and Development Plans, government institutions must do the following:

- Have Medium Term Training and Development plan in place, covering both technical and managerial skills;
- There must be annual plans extracted from the main plan;
- Training plans must be linked to employee performance appraisal results based on OPRAS;
- Plans must be linked to the Medium Term Strategic Plans (MTSP);
- There has to be skilled and knowledgeable staff capable of developing and implementing HR plans;
- Conduct mid and end of year reviews of Training;
- Conduct training effectiveness evaluation at the end of each medium term planning cycle; and
- Monitor implementation of the HR plans and report to PO-PSM and PO-PSC.

#### **Human Resource Monitoring and Reporting**

On Human resource Monitoring and Reporting, government organizations must do the following:

- Annual HR compliance report must be prepared and made available to the Public service Commission;
- Periodically monitor, review and evaluate training; and
- Must have a list of all training conducted during the previous year.

❖ **Training Need Assessment Plans**

On Training Need Assessment Plans, government institutions must do / have the following:

- Conduct organization wide TNA every 5 years;
- Undertake TNA whenever there is change of structure; organizational focus, perceived need to solve problems through training; and
- Use TNA results to develop and review 5 years and annual training plans.

❖ **Induction Training**

On Induction Training, government institutions must do the following:

- Take all new employees on induction training within six months after reporting; and
- Provide half yearly report on induction training.

❖ **Top Leadership Training and Learning**

On Top Leadership Training and Learning, government institutions must do the following:

- Nominate top leadership for training based on new appointments or organizational change of focus;
- Orient new leadership on new positions through relevant training; and
- Use reputable and accredited service providers.

## 2.2.3 Performance Management Systems

### ❖ Institutional Self Assessment (ISA)

On SA, government institutions must do the following:

- Institutional Self Assessment conducted annually;
- Annual ISA reports available;
- ISA conducted on key business processes; and
- Strategic plans, MTEF, Client Service Charter and OPRAS should be directly linked to what is stated in the ISA reports.

### ❖ Medium Term Strategic Plans (MTSP)

On MTSP, government institutions must do the following:

- Only one five (5) year Medium Term Strategic Plan in place. For those institutions leading sector reforms or coordinating programmes and projects, those strategies must also be mainstreamed into the MTSP;
- Service delivery improvements clearly identified in the MTSP, that is, it must have a direct link to the SDS and SA reports;
- Show evidence of inclusion of MKUKUTA, Vision 2025, and Election Manifesto in the plans;
- Adhere to standards mentioned in the Medium Term Strategic Planning and Budgeting (MTSPB) manual;
- Involve employees and key stakeholders. Government institutions must show proof of involvement during development of the plan;
- Inform stakeholders about the plan; and
- Review the plan on need basis, but mostly after every five (5) financial years.

### ❖ Medium Term Expenditure Framework (MTEF)

On MTEF, MDAs must do the following:

- Develop and put in place one five (5) year Medium Term Expenditure Framework;
- MTEF drawn only from the Strategic Plan;
- Adhere to standards mentioned in the Medium Term Strategic Planning and Budgeting (MTSPB) manual;
- Involve employees in developing MTEF; and
- MTEF reviewed with the review of MTSP.

### ❖ **Action/Business Plan**

On Action/Business plans, government institutions must do the following:

- Action/Business plans developed annually;
- Plans drawn only from the Strategic Plans and MTEF;
- Adhere to standards mentioned in the Medium Term Strategic Planning and Budgeting (MTSPB) manual;
- Evidence of employees involvement in developing the plan; and
- Report only on the outputs mentioned in the plan.

### ❖ **OPRAS**

On OPRAS, government institutions must do / have the following:

- Conduct annual assessment of all employees' performance using OPRAS;
- Conduct midyear and annual appraisal meetings timely;
- Develop Individual Performance Agreements (IPAs) linked to Strategic, Action/Business plans and MTEF;
- Keep record of all dully completed OPRAS forms and send those relevant to POPSM;
- Produce annual OPRAS report showing summary of assessment rates and performance trends;
- Show evidence of rewards and sanction measures taken on employees with outstanding and poor performance respectively; and
- Have Training Plan directly linked to performance assessment results.

### ❖ **Client Service Charters (CSC)**

On CSC, government institutions must do / have the following:

- A CSC document in place;
- Develop service standards basing on SA reports and in accordance to CSC guideline;
- Evidence that the Management has approved the CSC;
- Publish CSC and show evidence of dissemination to both internal and external stakeholders;

- Set up a monitoring system for CSC, at least one staff is assigned to monitor charter implementation;
- Evidence of compliance to service standards set in the CSC;
- Produce and publish CSC report annually comparing current and previous level of services delivered and report to PO-PSM;
- Review CSC after every two years; and have evidence of using CSC reports for improving services.

#### ❖ **Monitoring and Evaluation (M & E); and Reporting**

On M&E, MDAs must do / have the following:

- Only one M&E system present in an institution;
- Hold management and departmental meetings on weekly basis. Meetings are structured and linked to Strategic and Operational plans;
- Action plans, Indicators and Milestones are used to monitor performance and identifying actions to address gaps in performance;
- Minutes and actions taken are recorded;
- One M&E Capacity building strategy such as training, recruitment and staffing, computerized systems and other M&E processes;
- Have a Results Framework attached to the Strategic Plan, identifying SMART indicators, reviews or evaluations to be conducted;
- Undertake periodic evaluations or reviews on the impact of interventions i.e. cost benefit analysis, impact and outcome evaluations;
- Have evidence that M&E is used for learning, decision making and results are used to improve plans; and
- All data collected should be capable of independent verification or contain supporting evidence.

❖ On Reporting, government institutions must do / have the following:

- Produce evidence based annual performance reports;

- The reports should have a link to Indicators and Milestones in the MTSP, Annual/Business plans and MTEF;
- Produce a five year Outcome report, based on a three year MTSP and MTEF;
- Involve stakeholders in producing the report;
- Executive Agencies regularly report to the parent Ministry; and
- Inform the public on the report through institutions website and other forms of communication.

#### ❖ **Executive Agencies (EAs) Formation**

On Executive Agencies' formation, MDAs must do / have the following:

- There must be skilled and knowledgeable staff capable of restructuring the organization and creating Executive Agencies;
- Build capacity of the EA Team on the knowledge and skills required in establishing EAs in MDAs;
- Acquire/solicit management support for the EA Project;
- Develop an EA plan and or strategy and get management approval for the plan;
- Identify services for Executive Agency status in line with the MDA's Strategic Plan (there has to be a list of possible candidates identified in the Medium Term Strategic Plan – MTSP);
- Executive Agencies must show improved service delivery and improved financial results (this is achieved through the conduction of an impact assessment study of the EA);
- Monitor and evaluate on a quarterly; bi-annual, annual and mid term basis the performance of the EA and submit the reports to PO-PSM. It is reiterated here that both the Executive Agency concerned need to report to both the parent Ministry and PO-PSM.

#### ❖ **Quick Wins and BPIs**

On Quick wins and BPIs, MDAs must do / have the following:

- MDAs must have a team capable of identifying and managing Quick wins and BPI projects;

- Capacity of the MDA's BPI Team must be enhanced to enable them to identify services for improvement; draw their 'as is' and 'to be' scenarios; prepare and plan and budget for the BPI Project and, implement it;
- Conduct regular assessment to monitor compliance to the management standards, such as compliance inspections;
- There has to be a Quick Wins and BPI plan/strategy in place; Quick wins and BPI initiatives must be informed by OPRAS reports, Service Delivery Survey, Institutional Self Assessment, Complaints and Grievance System, Monitoring and Evaluation reports. The experiences of implementing organizational Client Service Charter must also inform Quick Wins and BPI projects for realistic and strategic projects;
- BPI plan and projects must be approved by the Chief Executive Officer to garner management commitment and support to improving the processes and subsequently the services provided;
- BPI has to be monitored including actual service delivery times or quality costs and client satisfaction. Progress reports should be submitted to PO-PSM on a quarterly, bi-annual; annual and medium term basis; and
- Conduct an impact assessment study - Quick wins and BPI projects reports must be prepared after every three years, detailing improvements in service delivery, complaints reduction, efficiency and quality of services.

#### ❖ **Restructuring**

On Restructuring, MDAs must do / have the following:

- MDAs must have a team capable of undertaking review of their functions and organizational structures (restructuring);
- Enhance the knowledge and skills of MDA restructuring team on the conduction of the MDA's functions and organization structure review;
- A five (5) year restructuring plan or strategy must exist in an organization;
- Align the MDA's Functions and Organization Structures to the corresponding Presidential Instrument;

- Approved structures must be implemented;
- Monitor and evaluate effectiveness of the functions and organization structure being implemented and;
- Prepare and disseminate to PO-PSM mid-term monitoring and evaluation reports on the efficiency and effectiveness of the functions and structure being implemented;
- The Functions and Organization Structure of an MDA must be informed by its Service Delivery Survey; Institutional Self Assessment; OPRAS reports; and Strategic Plan where applicable.

#### ❖ **Private Sector Participation (PSP)**

On Private Sector Participation, MDAs must do / have the following:

- MDAs must have a team capable of undertaking feasibility studies for outsourcing noncore services and prepare feasibility study reports, procurement and contract Management under the guidance and stewardship of the Procurement Unit;
- Majority of noncore services must be contracted out for efficiency and cost effectiveness;
- Competitive outsourcing of identified services and where applicable, this must be in tandem with the Framework Contracts Arrangement established by the Government Procurement Services Agency (GPSA);
- Must have a Contract Manager in place;
- Monitor and evaluate efficiency and effectiveness of implementing PSP. In this context MDAs are required to do an impact assessment of the PSP Project focusing on improvements in terms of value for money, quality and timeliness of the services provided in this arrangement, as well as the other advantages and opportunities garnered by implementing PSP;
- Prepare and disseminate to PO-PSM quarterly, bi-annual; annual and mid-term implementation reports mainly focusing on the efficiency and effectiveness of the services delivery of the outsourced services.

#### ❖ **Job lists**

On Job Lists, MDAs must do / have the following:

- Must have a team capable of conducting the Job List exercise;
- Align the MDA's Job List to the approved institutional functions and organizational structure; and
- Fill vacant posts and prepare personnel emoluments in accordance with the approved job list;
- Monitor and evaluate effectiveness and efficiency gains derived from the MDA's Job List;
- Prepare and submit the Job List's implementation reports to PO-PSM.

❖ **Collaboration with Non State Actors (NSAs)**

On Collaboration with NSAs, MDAs must do / have the following:

- MDA must have a customized strategy for engaging NSAs;
- Must comprehend and fully implement their role and responsibilities;
- Must fully comprehend the role of NSAs in the propounded engagement(s);
- Must identify and select NSAs to engage with;
- Must identify the areas of engagement with NSAs;
- Must have comprehension and fully implement the rules of engagement with NSAs;
- Must solicit the support and commitment of the management;
- Must ensure the Memorandum of Understanding between the government institutions and the NSA is in place;
- Conduct conferences/forums with NSAs on yearly basis;
- Create the awareness of the government institutions and the NSAs concerned about the engagement;
- Build the government institutions capacity to ensure effective engagement with NSAs;
- Build capacity of the identified NSAs about the whole concept of the engagement, where applicable; and
- Monitor and evaluate effectiveness and efficiency of engagement with NSAs and report back to PO-PSM on a yearly basis. (there has to be evidence of change of

direction as a result of engaging NSA within and outside the organization);

### **2.3.4 Management Information Systems**

#### **❖ E-government**

On E-government, MDAs must do / have the following:

- MDAs must have a team capable of managing its Management Information System;
- Deliver services electronically (MDAs has to have a website regularly updated, there has to be operational LAN and WAN where necessary);
- MDAs are using Government domain (go.tz) for all official correspondences;
- Develop and operationalize MIS plan and strategy;
- Manage internal information through non web based systems; and
- Monitor and evaluate effectiveness and efficiency of e-government services and report back to PO-PSM on a yearly basis (i.e. show evidence that electronic services have facilitated easy access to services and lower costs to clients).

### **2.3.5 Records and Archive Management**

#### **❖ Specialized records management**

On Specialized Records Management, MDAs must do / have the following:

- Adequate space and facilities/equipment must be made available for storing/management of paper and specialized records;
- Records Management Assistants, Records Officers, Records Coordinators and Managers are in place and capable of managing specialized records;
- Specialized records management systems designed and informed by the MTSP;
- Monitor and evaluate efficiency and effectiveness of the system to show evidence of specialized records being retrieved timely and accurately and;
- Show evidence of timely disposal of specialized records.

### ❖ **Subject Records Management**

On Subject Records Management, MDAs must do / have the following

- Records Management Assistants, Records Officers, Record Coordinators and Managers are in place and capable of managing subject records;
- Adequate space and facilities/equipment must be made available for storing paper and electronic records;
- Show evidence of Subject records being retrieved timely and accurately and;
- Show evidence of managers using records to make decisions and support service delivery;
- Show evidence of timely disposal of subject records;
- Monitor and evaluate efficiency and effectiveness of the system and report to PO-PSM

### ❖ **Personnel Records Management**

On Personnel Records Management, MDAs must do / have the following

- Records Management Assistants, Records Officers Records Coordinators and Managers are in place and capable of managing Personnel Records;
- Adequate space and facilities/equipment must be made available for storing paper and electronic records;
- Show evidence of complete personnel records;
- Show evidence of Personnel records being retrieved timely and accurately;
- Show evidence that Personnel records are being transferred with an employee;
- Show evidence of timely disposal of Personnel records;
- Monitor and evaluate the implementation of the system and report to PO-PSM.

### ❖ **National, Ministerial, Independent Departments, Regional and District Books**

On National, Ministerial, Independent Departments, Regional and District Books, MDAs must do/have the following:

- An Officer responsible for managing the book is in place;

- Show evidence of existence of the physical Books;
- Show evidence of proper and up-to-date documentation of the book as per Guide;
- Show evidence of handing over whenever change of administration occurs; and
- Show evidence of safe custody of the book;
- Monitor and evaluate efficiency and effectiveness of the system and report to PO-PSM;
- Monitor and evaluate the management of the book and report to PO-PSM.

### **2.3.6 Policy Development**

#### **❖ Policy Development Systems**

On Policy Development systems, Ministries must do/ have the following:

- Skilled and knowledgeable staff capable of reviewing and developing policies;
- Develop and operate a systematic arrangement for monitoring compliance or implementation of its policies;
- Present evidence of decisions made based on the developed policies;
- Conduct policy implementation compliance reviews regularly.

#### **❖ Systems to manage policy debate and feedback on policy**

On Systems to manage policy debate and feedback on policy, MDAs must do / or have the following:

- Establish a system and processes to receive feedback from stakeholders;
- Consult stakeholders during policy formulation and evaluation processes; and
- Provide evidence that stakeholders' opinions are incorporated in the developed or reviewed policies;
- Monitor and evaluate implementation of the system/mechanism and report back to PO-PSM.

#### **❖ Performance based rewards and incentive schemes**

On Performance based rewards and incentive schemes, MDAs must do / or have the following:

- Have a performance or incentive system in place;
- Show evidence that incentives paid are based on performance;
- Rewards and incentives are linked to OPRAS;
- Use rewards and incentive as a method of retaining the most qualified staff;
- Monitor and evaluate implementation of the schemes and report back to PO-PSM and PO-PSC

### **2.3.7 Human Resources Management**

#### **❖ Decentralization of Structures and Resources to LGAs**

On Decentralization of structures and Staff to LGAs, Ministries must do / or have the following:

- Develop a decentralization by devolution plan or strategy;
- Budget should reflect decentralization and devolution of operations;
- Review the organization's functions and structure in the light of D by D policy to discard operational activities and focus on policy and standards making and their monitoring and evaluation;
- Monitor implementation of the D by D Policy and report to appropriate/designated oversight authorities.

#### **❖ Human Capital Management Information System (HCMIS) implementation**

On implementation of HCMIS, Ministries must do / or have the following:

- Skilled and knowledgeable staff capable of implementing HCMIS has to be present;
- Develop and update Seniority list annually;
- Develop a complete and accurate Electronic Human Resource data bank;
- Generate PE using HCMIS;
- Enter HR data into HCMIS;
- Develop HR plans using HCMIS inputs; and
- Provide evidence of using HR data for reporting and making strategic decisions;
- Monitor implementation of the system and report to PO-PSM.

### ❖ **Structure for Human Resource Management (HRM) issues**

On Structure/staffing for HR Management issues, Ministries must do / or have the following:

- Skilled and knowledgeable staff to manage HRM issues are present in DAHRM's offices;
- Develop strategy to reform DAHRMs offices;
- Retool DAHRM's offices to facilitate HR management issues;
- Appoint and operate required Committees to manage HR issues (for promotion, confirmation, etc);
- Monitor implementation of the system and report to PO-PSM and PO-PSC.

### **2.3.8 Diversity Management**

#### ❖ **Diversity Management Systems**

On Diversity Management Systems, MDAs must have / or do the following:

- Skilled and knowledgeable staff capable of designing and implementing diversity interventions / issues must be present;
- Develop a Diversity Management Strategy and or Plan;
- Create awareness amongst staff on diversity issues;
- Provide evidence for employed diversity considerations in decision making (promotions for example) and other actions; and
- Monitor implementation of the system and report to PO-PSM and PO-PSC.

#### ❖ **HIV/AIDS Workplace Interventions**

On HIV/AIDS Workplace Interventions, MDAs must have / or do the following:

- Skilled and knowledgeable staff capable of designing and implementing HIV/AIDS workplace interventions must be present;
- Conduct situation analysis after every five years;
- Develop a five year HIV/AIDS plan and strategy, linked to MTSP, MTEF and Action/ Business plan;
- Annually budget for HIV/AIDS workplace interventions;
- Implement preventive measures;

- Treatment arranged for staff living with HIV/AIDS;
- Provide evidence for reduction of attrition and infection rate;
- Provide evidence for reduction of time absent from work as a result of treatment for diseases caused by HIV/AIDS;
- Monitor implementation of the system and report to PO-PSM and PO-PSC

❖ **Government Communication (GC) systems**

On GC Systems, Ministries must do / or have the following:

- Skilled and knowledgeable staff capable of developing and implementing Government Communication (GC) campaigns must be present;
- Establish GC units;
- Retool GC units with the necessary equipment (PCs, laptops, printers, television set and internet connection);
- Collect views of stakeholders through GC campaigns;
- Conduct at least one survey after every five years to collect stakeholder's views on services, policies of the MDA;
- Monitor and evaluate GC campaigns;
- Employ social marketing campaigns;
- Appoint one Complaints officer to work under the unit for managing all complaints channeled into the organization;
- Provide evidence of use of feedback provided by stakeholders during GC campaigns;
- Provide evidence for change of behavior of groups targeted in the GC strategy;
- Monitor implementation of the system and report to designated authorities.

## **CHAPTER THREE**

### **THE STANDARDS' REFERENCE MATERIALS**

#### **3.0 Introduction**

The previous section presented the checklist for each of the designated Management Standards to be used in all public service institutions. The Government, through the Presidents Office – Public Service Management (PO-PSM), has continuously developed these management standards and corresponding tools to be used by all public service institutions. There are policies, laws, regulations, circulars, systems and tools guiding public service institutions on how to apply and manage standards. This part presents key reference materials that MDAs need to consult in the application of the checklist for the following reasons:

- Enhance understanding of the Management Standards;
- Building internal capacity for using the Management Standards;
- Enhancing use/or application of the Management Standards;
- Enhancing management, monitoring and reporting on the implementation of the Management Standards;

#### **3.1 Reference Documents**

Below are key documents under each Management Standard area that MDAs can make reference to.

##### **3.1.1 Complaints and Grievance Handling**

- Guideline for Complaints and Grievance Handling Systems;
- Guidelines for Developing and Implementing Client Service Charter; and
- Client Service Charter (of an MDA).

##### **3.1.2 Ethics Compliance**

- Ethics Compliance Framework;
- Code of Ethics for the Public service;
- Explanatory Manual for Code of Ethics: Doing the Right Thing;
- The Public Service Act (2002) and its Regulations (2003); and amendments of 2007;

- The Public Service Employment and Management Policy (1999);
- The Public Leadership Code of Ethics (1995);
- Commission for Human Rights and Good Governance Act;
- The Financial Management Act (2004) and its corresponding Regulations;
- The Public Procurement Act (2004) and its corresponding Regulations (2005); and the
- Prevention of Corruption Act No. 16 of 1971 as amended by Acts Nos. 2 of 1974 and 20 of 1990.

### **3.1.3 Human Resource Management**

- HR Planning Manual (2009);
- Relevant Schemes of Service in the Public Service;
- Job lists;
- Strategic Plans; and
- Training Plans.

### **3.1.4 Succession Planning**

- Succession Plan(s);
- Relevant Schemes of Service;
- Job lists; and
- Strategic Plan.

### **3.1.5 Medium Term Training and Development Planning**

- Training Needs Assessment Tools;
- Training Needs Assessment report;
- Human Resources Development/Training Plans; and
- Strategic Plan.

### **3.1.6 Human Resource Monitoring and Reporting**

- Human Resource Plan; and
- PE.

### **3.1.7 Top Leadership Training and Learning**

- Leadership Competence Framework (2008).

### **3.1.8 Institutional Self Assessment (ISA) and Service Delivery Surveying**

- Institutional Self Assessment Manual; and

- Medium Term Strategic Planning and Budgeting Manual (MTSPB).

### **3.1.9 Medium Term Strategic Planning and Budgeting (MTSPB)**

- Medium Term Strategic Planning and Budgeting Manual (MTSPB);
- ISA Reports of the MDA;
- Monitoring and Evaluation Reports of the MDA;
- Clients Service Charter Implementation Reports of the MDA; and
- OPRAS Results Report of the MDA.

### **3.1.10 Action/Business Planning**

- Medium Term Strategic Planning and Budgeting Manual (MTSPB);
- MTSP of the MDA; and
- MTEF of the MDA.

### **3.1.11 Performance Assessments**

- Public Service Management and Employment Policy (1999);
- The Public Service Act No 8 of 2002;
- Public Service Regulations (2003);
- OPRAS Guideline (2006);
- OPRAS Form (TFN 832); and
- Action/Business Plans of the MDA.
- OPRAS operationalization Circular No.2 of 2004.

### **3.1.12 Client Service Chartering**

- Guidelines for Developing and Implementing Client Service Charter;
- Guideline for Complaints and Grievance Handling Systems; and
- Quick Wins/BPI Reports of the MDA.

### **3.1.13 Monitoring and Evaluation (M & E); and Reporting**

- Medium Term Strategic Planning and Budgeting Manual (MTSPB);

- Action/Business Plans of the MDA;
- MTEF of the MDA; and
- MTSP of the MDA.

#### **3.1.14 Executive Agencies Formation**

- Executive Agencies Act (1997);
- Executive Agencies Regulations (1999); and
- Guideline to EA Formation.

#### **3.1.15 Conduction of Quick Wins and BPIs**

- Business Process Improvement Guideline (2010);
- Clients Service Charter of the MDA.

#### **3.1.16 Functions and Organizational Restructuring**

- Guideline for Restructuring Ministries, Independent Departments and Executive Agencies (2006);
- MTSP; and
- Presidential Instrument.

#### **3.1.17 Private Sector Participation (PSP)**

- Guide for Private Sector Participation in the Public Service (2004);
- Private Sector Participation – Contract Managers’ Handbook (2004); and
- MTSP.

#### **3.1.18 Preparation of Job lists**

- Guideline for Restructuring of Ministries, Independent Departments and Executive Agencies (2006).

#### **3.1.19 Collaboration with Non State Actors (NSAs)**

- Guideline and Operational Manual for the engagement of Non State Actors in Service Delivery (2010); and
- Service Delivery Surveys Reports.

#### **3.1.20 E-government**

- E-government Strategy (2009);
- Circular No 2 of 2009 on Use of Information, Communication Technologies in the Public Service (2006);

- ICT Policy (2003);
- ICT HR Planning Guide (2009);
- ICT Project Management Guide (2009);
- ICT Strategic Planning Guide (2009); and
- ICT Enterprise Architecture Guide (2009).

### **3.1.21 Specialized Records Management**

- Records & Archives Management Policy (2010);
- Records & Archives Management Act. No. 3 of 2002;
- Records & Archives Management Regulations (2007);
- Registry Procedures Manual (2007);
- Desk Instruction for Registry Staff and Records Users (2009) and
- Records Retention/Disposal Schedules (2005).

### **3.1.22 Subject Records Management**

- Records & Archives Management Policy (2010);
- Records & Archives Management Act. No. 3 of 2002;
- Records & Archives Management Regulations (2007);
- Registry Procedures Manual (2007);
- Desk Instruction for Registry Staff and Records Users (2009);
- Records Retention/Disposal Schedules (2005); and
- A guide for Records Centre Services (2003).

### **3.1.23 Personnel Records Management**

- Records & Archives Management Policy (2010);
- Records & Archives Management Act. No.3 of 2002;
- Records & Archives Management Regulations (2007);
- Registry Procedures Manual (2007);
- Desk Instruction for Registry Staff and Records Users (2009);
- Records Retention/Disposal Schedules (2005); and
- A guide for Records Centre Services (2003).

### **3.1.24 Maintenance of National, Ministerial, Independent Departments, Regional and District Books**

- Records and Archives Management Policy (2010);
- Records and Archives Management Act. No. 3 of 2002;

- Records and Archives Management Regulations (2007); and
- Ministerial, Regional and District Books Guide (2007).

### **3.1.25 Policy Development**

- Policy Development Guideline (December 2005);
- Guideline and Operational Manual for MDA's engagement with Non State Actors in Service Delivery (2010).

### **3.1.26 Performance Based Rewards and Incentive Schemes**

- Medium Term Pay Policy (2010);
- OPRAS guideline (2006).

### **3.1.27 HCMIS implementation**

- Comply with HCMIS specifications.

### **3.1.28 Diversity Management**

- HIV/AIDS Policy;
- Guidelines for Managing Diversity in the Public Service (2010);
- Guidelines for Managing People With Disabilities in the Public service (2008);
- National HIV/AIDS Policy;
- Guideline for Management of HIV/AIDS Public service (2007); and
- Circular No. 2 of 2006 in the Support, Caring and Treatment of HIV/AIDS Infected Public Servants (2006).

The above mentioned reference documents can be obtained from PO-PSM through its website or from its offices, except for most acts which are also available in the website of the Tanzania Parliament. MDAs are advised to collect enough copies and distribute them to the relevant departments/divisions and officers/employees or inform them on availability of such documents on PO-PSM website for their reference. The website address is [www@estabs.go.tz](http://www@estabs.go.tz). This list will be updated continually as new management standards are developed.