



THE INSPECTORATE OF GOVERNMENT

**STRENGTHENING COLLABORATION WITH INSPECTORATE
UNITS IN LOCAL GOVERNMENTS TO PREVENT CORRUPTION IN
MINISTRIES, DEPARTMENTS, AGENCIES AND LOCAL
GOVERNMENTS (MDALGS)**

REPORT

2020

Table of Contents

Table of Contents

1.0	Background:.....	3
2.0	Justification:.....	5
3.0	Theory of change	5
4.0	Purpose of the activity	7
5.0	Methodology	7
6.0	Key Findings:.....	8
7.0	Challenges faced by the District Local Governments:	15
8.0	Areas of possible collaboration:.....	18
9.0	Recommendations:.....	19

1.0 Background:

The principles of accountability and effective service delivery to the people has been emphasized by Government because of the need to further improve economic development and good governance. The Government of Uganda through MDAs initiated internal mechanisms to build effectiveness and efficiency in service delivery. Such mechanisms include Inspectorates within government departments that are tasked with the responsibility of ensuring compliance to procedures within the particular agencies and preventing corruption from occurring in those institutions.

The restructure or reorganisation of authority so that there is a system of co-responsibility between institutions of governance at the central, regional & local levels according to the principle of subsidiarity, thus increasing the overall quality and effectiveness of the system of governance, while increasing authority & capacities of sub-national levels (UNDP,1999).

By bringing government 'closer to the people', decentralization may reduce bureaucracy & increase competition, increase citizen voice & participation & strengthen accountability. These effects are posited to in turn reduce corruption.

In pursuit of its functions, the Inspectorate of Government takes a holistic approach; and implements strategies comprising of both proactive/preventive measures and reactive/enforcement measures. The focus of enforcement is to increase the likelihood of corruption being detected and punished, while the focus of the preventive measures is to reduce opportunities for corruption.

The IG carries out research into various causes and forms of corruption and abuse of authority mainly within government departments. This enables the IG to develop new strategies in the prevention of corruption

The IG through the Directorate of Education and Prevention of Corruption initiated a strategy to engage with the Inspectorate Departments in MDA/LGs to ensure service delivery and prevention of corruption is attained. In the exercise of its mandate.

The effective and operational structures of the Inspectorate Departments will ease the work of IG and ensure the many corruption and maladministration cases are prevented. The Inspection Units in the selected MDA/LGS have the following mandates;

- (i) In the Ministry of Local Government, the Directorate of Local Government Inspection comprising of the District Inspection and Urban Inspection Departments ensures effective and efficient performance of District LGs by carrying out inspection duties to assess and evaluate adherence to set policies, laws, regulations and procedures.
- (ii) In the Ministry of Health, the Department of Quality Assurance is mandated to ensure that guidelines and standards are developed, disseminated and used; supervision is undertaken and strengthened at all levels; and internal quality assurance capacity is built at all levels including hospitals.
- (iii) In the Ministry of Public Service, the Department of Public Service Inspection is mandated to develop performance standards, carry out inspection and monitor performance of central ministries and local governments to ensure total compliance with set rules, regulations and procedures.
- (iv) In the Ministry of Education and Sports, the Directorate of Education Standards (DES) is responsible for setting and monitoring quantitative and qualitative Education Standards in the Education sector and institutions in Uganda.

2.0 Justification:

The various Inspectorate departments have been in existence and yet corruption and maladministration continues to be rampant. Data available at the IG shows that corruption in such ministries and public offices remains high.¹

Cases reported to the IG for the years 2015 – 2017

	2015	2016	2017	July – Dec 2018
District Local Governments	500	464	601	347
Municipal and Town Councils	214	216	144	43
Min of Public Service	65	49	67	7
Min of Education and Sports	15	24	15	15
Schools (primary & Secondary)	161	161	168	
Ministry of Health	08	32	10	5
Hospitals and Health Centers	25	29	44	12

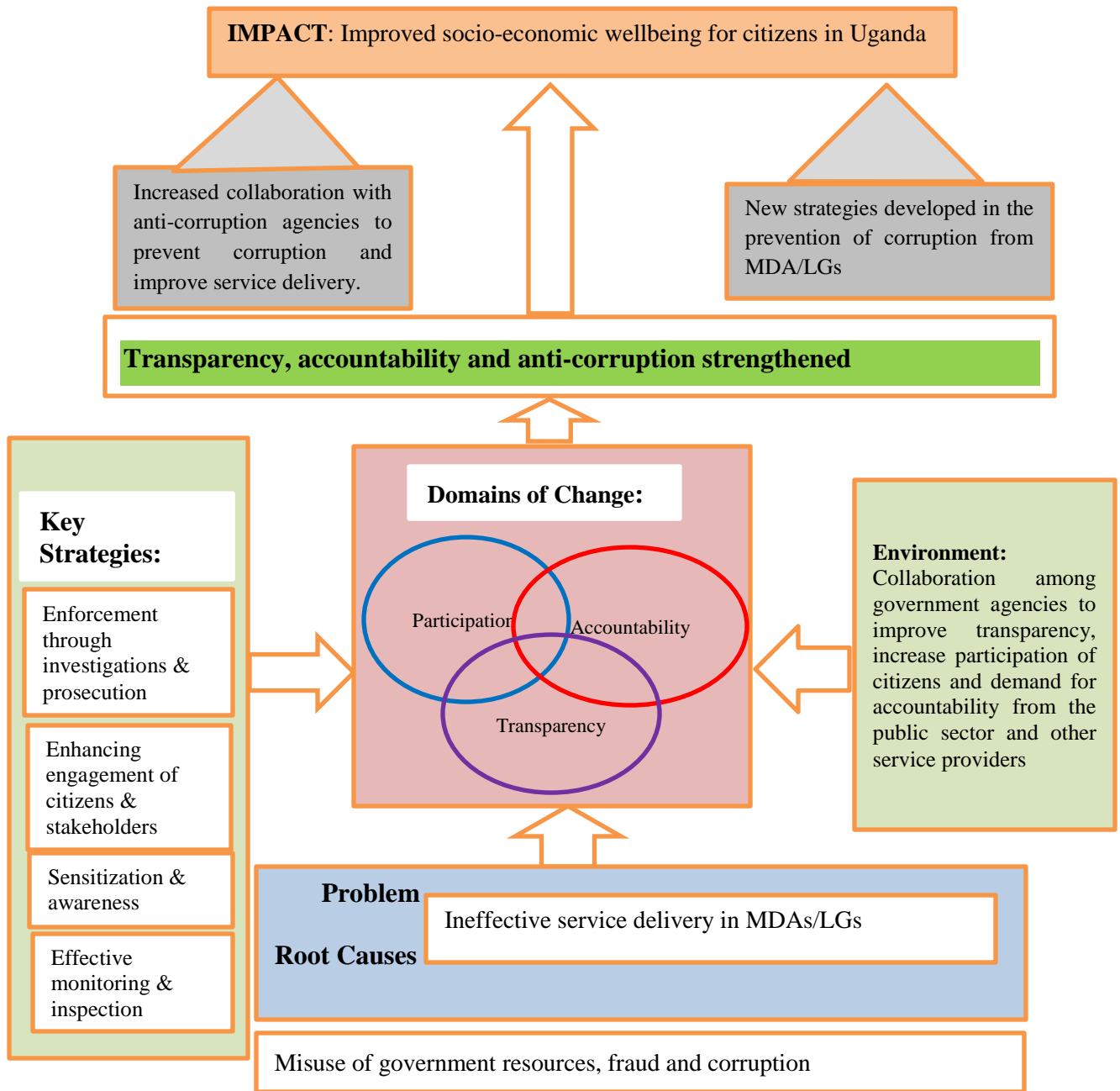
¹ IG Report to Parliament 2015-2017

These cases often arise because of ineffective Inspectorate Departments, absence of adequate grievance handling mechanisms in the MDA/LGs, absence of client charters and where present the charters are not known to stakeholders, weak or poor understanding of basic standards of public administration/service delivery.

It is against this background that the DEP engaged DLGs with a view to assess the performance of Inspection Units and share experiences on prevention and fighting corruption so that there is improved service delivery and good governance in MDAs.

3.0 Theory of change

IF we strengthen collaboration with Inspectorate Departments; build their capacities; enhance citizen & stakeholder engagement in public services, and enforce accountability & anti-corruption mechanisms; **THEN** we will strengthen transparency, accountability and anti - corruption in service delivery.



4.0 Purpose of the activity

The general objective is to formulate strategies that will be used by both the MDA/LGs and the IG to prevent corruption and improve service delivery in the country.

The specific objectives were:

- To establish the existence and effectiveness of the Inspection Units.
- To create anti-corruption platform for engagement with Local Government stakeholders on accountability and prevention of corruption.
- To propose strategies to strengthen collaboration in the prevention of corruption.

5.0 Methodology

5.1 Research design:

The study adopted a qualitative approach using literature review supplemented by Focus Group Discussion that was conducted with purposively selected senior public officials in the District.

Information was collected using interview guides administered to key respondents as well as Focus Groups that targeted Technical Officers and key informant interviews with political leaders for expert information. The discussions were held with the Resident District Commissioners, District Chairpersons, Chief Administrative Officers and Heads of Departments.

5.2 Scope and coverage of the research:

The research covered a sample of 28 districts out of the total 125 districts in Uganda. The districts covered were: Mbarara, Kabale, Arua, Moyo, Hoima, Kabarole, Gulu, Lira, Mbale, Tororo, Soroti, Moroto, Masaka, Lyantonde, Kyangwanzi, Kiboga, Jinja, Kamuli, Kagadi, Kakumiro, Rubanda, Rukiga

Rakia, Bukomansimbi, Kalangala, Kyotera, Omoro and Alebtong.

The Local Governments were selected based on the Districts where the IG Regional Offices are situated with exception of Kampala and Mukono. The newly created Districts were selected to ensure that corruption preventive mechanisms are established with the other operational structures in place in the new Local Governments.

5.3 Validation and quality assurance

Validation workshops were conducted in Soroti, Gulu and Kabarole Districts to validate the findings. During the validation, the targeted sample population were the Technical and Political leaders. The participants were the District Chairperson, Chief Administrative Officers (CAO), Resident District Commissioners (RDC), District Community Development Officers (DCDO), District Speaker, and Heads of Departments (Health, Education and Water).

6.0 Key Findings:

6.1 Awareness of anti-corruption strategy and policies

The National Anti-Corruption Strategy is intended to serve as a guide for MDA/LGs to coordinate and support their efforts to reduce corruption. The strategy provides a set of strategic pillars and programmes around which government departments within these sectors can direct and align their work.

It was established that the Ministry of Local Government formulated a Good Governance and Anti-Corruption Strategy for Local Governments in Uganda for the period 2008 – 2011. The main purpose was to promote the integrity of local leaders in the management of public affairs. Priority intervention in the strategy then was increasing civic participation, capacity building, legislation and policy reforms.

The strategic objective relating to fighting corruption included strengthening participation of non-state actors in fighting corruption in government, enhancing mechanism, systems and procedures for ethical conduct and integrity in service delivery, enhance financial, procurement and human resource management capacity of local governments to fight corruption and strengthen the legal and policy framework for fighting corruption in local governments. The strategy has not been reviewed by the Ministry of Local Government.

When asked about the strategy the leaders noted that;

- Not all stakeholder were brought on board and the strategy was not formally launched and adopted by all local governments.
- The strategy was poorly marketed and as a result misunderstood to be another project with money for those involved. It was perceived as a separate project to be funded from the line Ministry.
- Many stakeholders conceived it as a separate project with separate funding and were therefore not keen to participate when no funds were disbursed to them to implement it.
- It was not well understood and therefore not embraced by all stakeholders.

On being aware about the relevant anti-corruption strategy, policies and laws in place, it was established that most of the DLG officials from the recently created and old districts are not informed. The Heads of Department from Kagadi, Kakumiro, Kamuli, Rubanda, Omoro, Rukiga, Moyo, Soroti, Alebtong, Moroto, Kyangwanzi, Kiboga and Bukomansimbi noted with concern that most of their staff not aware of the anti-corruption laws and requested to be sensitized about the policies, regulations and relevant legal framework in place.

The study further established that the district leaders from Kyotera, Mbarara, Kabale, Kamuli, Lyantonde, Arua, Kalangala, Masaka, Jinja Kabarole, Hoima, Lira, Gulu, Mbale and Tororo were aware of the anti-corruption policies and regulations. Despite the existence of the various strategies, the districts have not included issues of

prevention of corruption in their plans to ensure that all staff are conversant with it.

6.2 Existence and effectiveness of the Inspection Units at the Districts

Government has continued to streamline and rationalize structures, functions and staff establishments of its institutions to make them respond to changes in legislation, policy and operational strategies as a measure of enhancing productivity and service delivery. Over time, the performance of Local Governments has continued to experience challenges following changes and new developments in the operations, management; and legal, policy and economic framework at the national level.

District Local Governments form an important part of the wider Public Service which require continuous reviews and re-organization as a way of making Public Service more effective, efficient and accountable to the people of Uganda; and deliver relevant and quality services. It was noted that Officers in the social sectors have been assigned tasks similar to that of the Inspectorate Departments. These include: Inspectors of Schools; Health Inspectors; Works Supervisors; Community Based Services; Production, Extension workers; Physical Planning Department and Environmental Officers.

All the sampled DLGs indicated that the Inspection Units are in place. However, all the Districts noted that the Inspection Units are not performing effectively due to limited resources; human, capital and financial.

Shortage of manpower in the Local Governments is particularly reflected in unfilled vacancies. This was attributed to inadequate budget support from the centre, the decreased locally generated revenue levels and the stringent measures put in place by Ministry of Public Service to be followed when requesting for clearance for recruitment. However, the CAO for Kyotera confirmed that the Inspection Unit at the district is effectively performing their roles.

It is also noted that the current structure and staffing for the units in Local Governments are primarily focused on management of core

social sector in the Education, Works and Health at the District. There is no special attention accorded to issues related to prevention of corruption especially in terms of regular inspections and feedback to stakeholders.

Kalangala district leaders informed the team that an Anti-Corruption Committee was formed with a main role of monitoring activities in line with the prevention of corruption. However, they noted that the committee has not been functioning effectively due to budget constrain.

6.3 Effectiveness of the District Integrity Promotion Forum as measure to prevention of corruption in the Local Governments.

In a bid to increase accountability and transparency in Local Governments in Uganda, the Directorate of Ethics and Integrity established District Integrity Promotion Forums (DIPF). The DIPF are supposed to act as watchdog to identify corruption incidences at an early stage and act immediately. All the DLGs officials noted that the DIPFs have not been effective and active in the areas of corruption prevention.

On why the DIPF at LG has failed to achieve its purpose, findings reveal that structural, institutional and moral factors have prevented the functionality of DIPF. The issues include; DIPF being abstract in nature and legal status (not a legal body), un-defined sources of funding and corruption allegations against some members themselves; has enabled the forum to become inactive.

The District leaders noted that the DIPF do not have a clear strategy to guide the effective implementation & sustainability of the forums; that is in the event of change and/ or transfer of office bearers. As noted by several respondents, one of the challenges that hampered DIPFs was the frequent transfer of members such as the RDC (Chair to the forum), CAO (Secretary) etc.

Some leaders noted that at the beginning the DIPF's were efficient and did a good job in highlighting corruption tendencies in the districts. However, the problem accrued with the short term of officers like the RDCs who are the central government monitoring officer without a constituency and with the CAO being the Secretary. These two were transferred regularly such that the forum could not keep up and they had started eventually became dormant.

Furthermore, the members also noted that due to lack of clarity, district officials (RDC and the LCV) have failed to agree on which docket funds the DIPF hence often times, lack of funding is advanced as the key reason as to why DIPF are not functioning. Interviews with district officials suggest that LGs do not allocate funds to ensure that the Forums are integrated in the routine district business processes.

6.4 Other Anti-Corruption prevention measures in place

The Local Governments have instituted a number of initiatives to improve their overall effectiveness on service delivery and reduction of incidences of corruption notably by utilization of the legal, policy, fiscal, administrative and innovative actions. However to note majority of existing initiatives are reactive and not preventive in nature. At the forefront of actions has been the decentralization policy which constitutes the backbone for strengthening accountability of local government. Additionally, policies on procurement and fiscal management have been initiated.

On the administrative actions, the Local Governments have relied on internal and external systems for which inspections and the internal assessment are central. Some of the Local Governments have focused on public awareness campaigns coupled with the codes of conduct and cleaning the payroll. A number of the local governments have used administrative sanctions including recovery of funds and punishment of errant officials.

During the validation it was noted that the problem of political influence in service delivery is rampant and it can only stop if service delivery is done according to work plans in place. As part of transparency and accountability, Gulu holds public barazas annually where Heads of Departments report on their work plans and the progress made. Furthermore, in Gulu, budget conferences are done and local community are always invited to attend.

The study also noted that other corruption prevention measures being implemented at the LGs to ensure effective service delivery is undertaken. These include;

- i) Teachers' Code of Conduct and Education Regulations have been enacted to promote effective teaching, learning process and professional conduct in the Education sector. This was due to the many challenges faced in the district in the Education sector.
- ii) Some of the districts also designed tools to monitor the attendance on duty of teachers to try and eliminate cases of absenteeism. Monthly reports are made from the parish level and submitted to the DEO for consideration. Cases of errant officers are forwarded to the District Service Commission for appropriate action.
- iii) Open sittings sessions in which the different departments have meetings and address issues hindering service delivery.
- iv) Payment of staff is based on the number of days worked rather than usual monthly payments.
- v) Spot checks have been done by the technical and political leaders in the various social sector facilities to ensure absenteeism of staff is curbed.
- vi) Development of risk management committees which follows up the expenditure tracking in the district.
- vii) Formation of management Committees; School Management Committee and School Inspectors, Health Management Team, District Health Team, and Hospital

Management Board and Health Inspectors, District Roads Committee, Sub-county Roads Committees and Roads Inspectors and supervisor Committees.

- viii) Notices are put up during the recruitment process warning the candidates not to give bribes.
- ix) Verification of authenticity of certificates of completion for all works performed in the District is done always to prevent payment for ghost or shoddy works.

6.5 Grievance/complaint handling by the District

When asked what grievance handling mechanisms are in place a number of DLG officials stated that it is mainly the management of employee dissatisfaction or complaints (e.g. favoritism, workplace harassment, or wage cuts) that is being handled by the CAO through the Human Resource Department. The members acknowledged that the Human Resource Departments in the Districts are currently established to handle grievances by staff.

In the current system the CAO assigns complaints mainly to do with non-payment of salaries of the district staff through the Human Resource Department. This was being done at Kyotera, Masaka, Kamuli, Lyantonde, Kabarole, Jinja, Moyo, Gulu, Lira, Mbale and Soroti. The other Districts did not indicate but it was established this was the trend in most local governments. Officials from Omoro, Bukomansimbi and Alebtong DLGs stated that no grievance and complain handling mechanism were in place.

6.6 Rewards and Sanction Committees

It was established that the rewards and sanction Committee was put in place in line with circular standing instruction No. 1 of 2011 Public Service Rewards and Sanction framework to create a competitive work environment that supports a culture of continuous search for improvements in performance, productivity, innovation and service delivery. The committee enabled managers and supervisors to reward excellent performance and sanction poor performance in a timely manner.

It was established that out of the sampled 28 Districts Kalangala, Kagadi, Rubanda, Rukiga, Mbarara, Masaka, Kamuli, Lyantonde, Jinja, Kabarole, Hoima, Moyo, Gulu, Lira, Mbale and Soroti DLGs have put in place the Rewards and Sanction Committee.

It was established that Rubanda and Gulu DLG besides establishing the Sanction and Rewards Committee have provided the best performing staff with gifts to uplift their morale and motivation at work. Most of the Heads of Departments of other Districts stated that the Rewards and Sanction Committee concentrates more on the sanctions rather than the rewards which does not motivate the staff.

During the validation exercise officials stated that under the rewards and sanctions, certificates are awarded to best performing heads of departments and grievance handling is handled by use of the normal administrative measures.

7.0 Challenges faced by the District Local Governments:

Many of the new District Local Governments identified the following challenges:

7.1 Lack office space:

Most of the Districts identified lack of office space (premises), infrastructure and equipment and they considered this challenge as a major hindrance in their effort to deliver public services. New local governments sometimes are forced to work under deplorable conditions and even when start-up funds are provided it takes a lot of time for the officers to settle. In Kakumiro District for example, the CAO, CFO and Human Resource Officer were sharing an office due to lack of space.

7.2 Political interference:

It was noted that some of the District Service Commissions (DSCs) have in many cases been under constant pressure from the politicians to appoint, promote, punish, or even dismiss

workers in the Local Governments not necessarily basing on the normal human resource management procedures and regulations. This implies that many times the staff who are appointed or retained may not necessarily have the requisite competences to enable them performed appropriately.

Rubanda DLG officials noted that they have a lot of interference in their work by the political wing. The CAO made a case in point were two persons are occupying the same position. This was due to a court order that was given by the Magistrate to CAO to keep one of the persons appointed on acting role when the district was created. This was despite the fact that a substantive person was appointed to the same position by the DSC.

Political and technical disagreements result into arm twisting and intimidation, this is partly due to the ignorance about policies by the political wing. Some of the DLGs noted intimidation of Internal Auditors in the course of making their reports. Political interference acts as hindrance to the implementation of the Government programs due to differences in views between the technical and political staff which in turn delays service delivery.

7.3 Poor facilitation:

The DLG noted limited resources in all departments both financial and human to do proper supervision and prevention of corruption. Limited vehicles for the monitoring and inspection of Government projects as well as limited accommodation for the members of staff, drug stock outs, and erratic delivery of medicines which all hinder effective delivery of services for instance the health department. The means of transport such as motor vehicles and motor cycles are inadequate and it has affected the monitoring of the projects such as in the production department.

7.4 Limited Wage Bill:

Limitation of the wage bill issued by the Ministry of Finance, Planning and Development that bars recruitments of staff. Low wages and lack of uniformity in wages across the government bodies.

7.5 Lack of awareness about anti-corruption regulations:

Lack of awareness by the staff about the regulations and laws such as the Public Standing Orders and the anti-Corruption laws.

7.6 Absenteeism:

Absenteeism of staff in government facilities such as the Health and the Education departments has ensured service delivery is not attained.

7.7 No clear job description:

One of the problems of the Inspection Units is that the inspectors combine their duties with administration work and hardly have time for the inspection itself. The result is that standards have been falling. Kalangala DLG noted that there was no specific monitoring and evaluation tools in place at the District, the tool being used was one from the center with instructions from the line ministries.

7.8 Hard to reach places:

Kalangala noted that the lake becomes very risky to use during the months of June, July and August making the cost of service delivery so high, because there is no official licensed boat for the District to easily reach the 67 islands.

7.9 Staffing:

One of the challenges experienced by Kagadi District Local Government in the delivery of services was the understaffing in Education Department which affected the student to teacher ratios and the impaction of the skills and knowledge to the beneficiaries. Also limited staff facilities in terms of housing for

the teachers at the various schools was a major setback especially for teachers that travel long distances to work are often late for work.

7.10 Existence of non-functional Sector Committees:

The research findings reveal that most of the sector committees for the social sectors are currently not functional thus acting as a barrier to effective service delivery and the participation of citizens. Communities should receive sensitization on existing committees such as Water User Committees, School Management Committees and Health Unit Management Committees, etc. As part of sensitization efforts, citizens should be educated on how such committees are established, their functions, roles and responsibilities of designated representatives, the role of citizens, etc.

7.11 Delay in investigations:

The leaders also noted that some of the investigations by the IG and Police take very long time thus holding implementation of the projects.

8.0 Areas of possible collaboration:

The team considered the following areas for further engagement to strengthen the collaboration.

- i) Feedback on the various reports completed by the Inspectorate so that the issues can be discussed and solutions found to ensure that the incidences of corruption do not reoccur.
- ii) Regular sensitization of leaders on declaration of income, assets and liabilities. The leaders emphasized that this should be done every year but not only during the period for declaration to ensure all leaders are conversant with the declaration process.
- iii) Provision of Information, Education and Communications materials to DLGs to enable the staff to acquire necessary information on the prevention of corruption.

- iv) Joint supervision and monitoring with the IG representative for projects being implemented by the District so that quick solutions can be arrived at instead of lengthy investigations.
- v) IG to coordinate with DEI such that the District Integrity Promotion Forum members are retrained to be able to prevent corruption related incidences in the district together with the involvement of the CSO groups.
- vi) Regular confidence building forum between IG and the Local Government officials to discuss pertinent corruption issues affecting the district in performance of their roles.
- vii) Development of the District Anti-Corruption Strategy and enlightenment of the staff about their role in the anti-corruption fight by Directorate of Ethics and Integrity (DEI) and the Inspectorate of Government respectively.
- viii) The creation of public awareness about corruption related issues in schools, colleges so as combat the vice. The IG has Integrity Ambassadors' Clubs which can be operationalized and activities coordinated by the School Administration and the District Administration.
- ix) Formulation of the district complaints handling mechanism to address staff grievances at source. The complaint handling mechanism should be well documented and all staff enlighten about the mechanism.

9.0 Recommendations:

- i) The IG should scale up the consultations with the District Executive Committee and make quarterly presentations on corruption incidences in the districts during these meetings. The IG should further ensure regular sensitization activities with the District Executive Committee (DES) on their roles in the prevention of corruption are done so that the political and technical wing understand their roles and play their part to ensure service delivery is attained.
- ii) It is proposed that the CAO should organize regular interface with the staff (lower level officers) of the District Local

- Government with the IG through DEP and the IG Regional Offices on issues to do with service delivery.
- iii) The CAO should designate a Focal Person to coordinate all the IG activities in the District.
 - iv) The CAO in collaboration with the Directorate for Ethics and Integrity should ensure that District Integrity Promotion Forum (DIPF) have continuous training on anti-corruption issues in the DLGs.
 - v) The CAO should ensure that the Local Government Officials are trained in the area of grievance handling so that some of the complaints are handled at the District Level.
 - vi) The Ministry of Local Government should review the Good Governance and Anti-Corruption Strategy for Local Governments in Uganda and ensure that a new strategy is widely disseminated to the Local Government Officials.
 - vii) The CAO should ensure that when formulating their strategic plans the issues of prevention of corruption be embedded in the document and the staff sensitized about it.
 - viii) The IG should ensure that sensitization of leaders who are to declare assets and liabilities is regular and not only during the period for declaration.
 - ix) The IG should ensure that investigations are handled expeditiously by the IG Regional Offices and timely feedback is provided to the relevant authorities in the LGs.
 - x) The CAO should ensure that the roles for the Inspectorate Departments are clearly stipulated.