PRODUCTIVE SOCIAL SAFETY NET (PSSN)

OPERATIONAL MANUAL

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# TABLE OF CONTENTS

ACKNOWLEDGEMENTS ................................................................. III

PREFACE ....................................................................................... IV

ACRONYMS AND ABBREVIATIONS ............................................... VI

PART 1 INTRODUCTION .................................................................. 1

CHAPTER 1 PROGRAMME DESCRIPTION ....................................... 1

1.1 INTRODUCTION ................................................................. 1
1.2 PROGRAMME OBJECTIVE .................................................. 2
1.3 PROJECT COMPONENTS .................................................... 2
1.4 MAJOR FOCUS OF TASAF III ............................................. 3
1.5 GUIDING PRINCIPLES ....................................................... 4
1.6 COVERAGE ................................................................. 4
1.7 TARGET GROUPS .......................................................... 4
1.8 ELIGIBILITY CRITERIA ...................................................... 5
1.9 SAFEGUARDS .............................................................. 5

PART 2 PROGRAMME COMPONENTS ........................................... 7

CHAPTER 2 THE PRODUCTIVE SOCIAL SAFETY NET ...................... 7

2.1 INTRODUCTION ............................................................... 7
2.2 THE PSSN PROGRAMME MANAGEMENT CYCLE .................. 7
2.3 TARGETING ................................................................. 11
2.4 CASH TRANSFERS ......................................................... 14
2.5 PUBLIC WORKS PROGRAMME .......................................... 18
2.6 GRIEVANCE PROCEDURE .............................................. 22

CHAPTER 3 LIVELIHOODS ENHANCEMENT ............................... 24

3.1 INTRODUCTION ............................................................. 24
3.2 TARGET GROUPS ........................................................... 24
3.3 COMMUNITY SAVINGS AND INVESTMENT PROMOTION ....... 24
3.4 LINKS TO FORMAL FINANCIAL SERVICE PROVIDERS ......... 26
3.5 LIVELIHOOD ENHANCING GRANTS .................................. 26

CHAPTER 4 TARGETED INFRASTRUCTURE DEVELOPMENT ........ 28

4.1 INTRODUCTION ............................................................. 28
4.2 TARGETING CRITERIA .................................................... 28
4.3 IMPLEMENTATION ARRANGEMENTS .................................. 29

PART 3 INSTITUTIONS, CAPACITY AND ADMINISTRATION ........... 31

CHAPTER 5 CAPACITY BUILDING ............................................ 31

5.1 INTRODUCTION ............................................................. 31
5.2 STAFFING ................................................................. 31
5.3 TRAINING AND ORIENTATION ......................................... 32
5.4 MANUALS, GUIDELINES AND HANDBOOKS ...................... 32
5.5 RAPID RESPONSE TEAMS AND OTHER ON-GOING SUPPORT . 32
5.6 PROVISION OF KEY EQUIPMENT .................................... 33
5.7 PARTICIPATION ........................................................... 33
5.8 COMMUNICATION ....................................................... 34
5.9 RESEARCH AND DEVELOPMENT .................................... 34

CHAPTER 6 SAFEGUARDS ......................................................... 36

6.1 INTRODUCTION ............................................................. 36
6.2 IMPLEMENTATION STRATEGY .......................................... 37
# Operational Manual

## CHAPTER 7 FINANCIAL MANAGEMENT, DISBURSEMENT AND ACCOUNTING

7.1 Introduction .................................................................................................................. 42

7.2 Elements of the Financial Management System ........................................................ 42

## CHAPTER 8 PROCUREMENT ........................................................................

8.1 Introduction .................................................................................................................. 47

8.2 Implementation of Procurement in TASAF III .............................................................. 48

## CHAPTER 9 AUDITING .................................................................................

9.1 Introduction .................................................................................................................. 54

9.2 TASAF Auditing Procedures ....................................................................................... 54

## CHAPTER 10 INSTITUTIONAL ARRANGEMENTS ...........................................

10.1 Introduction .................................................................................................................. 56

10.2 National Level ............................................................................................................ 56

10.3 Mainland ................................................................................................................... 58

10.4 Zanzibar .................................................................................................................... 60

10.5 Village/Shehia/MtAA Level ....................................................................................... 61

## CHAPTER 11 PERFORMANCE MANAGEMENT AND MONITORING AND EVALUATION

11.1 Introduction .................................................................................................................. 63

11.2 Monitoring ................................................................................................................ 63

11.3 Process Evaluation .................................................................................................... 65

11.4 Impact Evaluation ...................................................................................................... 66

## ANNEX 1: DECISION TREES SUMMARIZING TARGETING DECISIONS ...........

67

## ANNEX 2: INFRASTRUCTURE COMPONENT SUB PROJECT MENU ..............

69

## ANNEX 3: TRAININGS TO BE PROVIDED BY THE PROGRAMME ..............

70

## ANNEX 4: A COMPLETE LIST OF MANUALS, HANDBOOKS AND GUIDELINES

71

## ANNEX 5: FULL LIST OF PROCUREMENT MECHANISMS AND LEVELS AT WHICH THEY ARE COMMONLY USED

72

## ANNEX 6: TMU ORGANOGRAM ............................................................................

74

## ANNEX 7: RESULTS FRAMEWORK AND MONITORING ARRANGEMENTS ......

77

## ANNEX 8: COMPOSITION OF STEERING COMMITTEES FOR UNGUJA AND PEMBA ....................................................................................................................... 80

## ANNEX 9: COMPOSITION OF MANAGEMENT TEAMS FOR UNGUJA AND PEMBA ....................................................................................................................... 82
ACKNOWLEDGEMENTS

This Operational Manual (OM) is a product of a collaborative effort that involved many stakeholders. The TASAF III Project Preparation Team (PPT) led the process which involved stakeholders at all levels. These stakeholders included communities, Shehia representatives, Local Government Authorities, Councillors, Members of Parliament, Non Government Organizations (NGOs), regulatory bodies, private sector organizations and multilateral agencies.

Many individuals worked tirelessly throughout the TASAF III preparation process. However, mention should be made of: Dr. Servacius B. Likwelile, Deputy Permanent Secretary from the Ministry of Finance for chairing the PPT; all PPT members, who worked professionally to put together the vital inputs to this OM; Mr Ladislaus J. Mwamanga, the Executive Director of TASAF, for his guidance and management support during the design process; and the Development Partners, including World Bank, DFID, USAID, UNICEF, WFP led by Ms. Ida Manjolo for their constant inputs on the document.

The members of Secretariat from TASAF Management Unit, namely Elisifa Kinasha, Amadeus Kamagenge, Fariji Mishael and Njego Nyamuko are greatly appreciated for their dedication to the duty, meticulous and efficient service rendered to the PPT throughout the preparation process of TASAF III.
PREFACE

Following successful implementation of two previous phases of the Tanzania Social Action Fund (TASAF I and TASAF II), the Government of Tanzania and the International Development Association (IDA) agreed to work together on a successor project titled TASAF III. Drawing on lessons learned from previous phases of TASAF and international experience in safety nets, the following three key issues have informed the design of TASAF III:

- The Government of Tanzania’s commitment to enabling households to graduate out of both food and basic needs poverty.
- The Government of Tanzania’s understanding of the role that social protection and safety nets can play in both mitigating the short-term affects of poverty and supporting the above graduation.
- The recognition that existing safety net and social protection efforts in Tanzania have provided inadequate coverage.

These lessons learnt during implementation of TASAF I and II and issues provided the framework for wide consultations between the Government, IDA, DFID, USAID, UNICEF, WFP and other Stakeholders involved in community development within the context of the Poverty Reduction Strategy. The resulting programme represents a significant reorientation of TASAF activities to incorporate a large-scale nationwide safety net.

The Operational Manual is the key reference document describing TASAF III operations to national and regional stakeholders and district/island level implementers. The Operational Manual provides overall guidance on how to operationalize TASAF III. It is supported and complemented by a serious of technical handbooks which provide further guidance on key programme components (Cash Transfers, Public Works, Community Savings, Livelihood Enhancing Grants and Targeted Infrastructure), as well as specific stages of programme implementation (e.g. targeting). Community level implementers, particularly the Community Management Committees responsible for public works and cash transfers, will receive simple guidance materials detailing the specific activities they are expected to undertake. The Operational Manual and the technical handbooks are “living documents” and as such are subject to change and improvement.

Part 1 of the Operational Manual provides introductory information on TASAF III; it includes an overview of the poverty and vulnerability\(^1\) situation in Tanzania, and describes the rationale and objectives of the programme. Part 2 describes how the major programme components are to be implemented. These include the Productive Social Safety Net, the Livelihoods Enhancement Component and the Targeted Infrastructure

\(^1\) Vulnerability is about the likelihood of an individual or a social group falling below (or further below) a minimum level in the future. It refers to the risk of adverse outcome, such as impoverishment, ill health, social exclusion. Vulnerability reflects not only the likelihood that an untoward event occurs, but also capacity to cope with it. It is therefore the result not only of individual mishap, but also the social conditions which follow from systematic differences in the flows of resources and opportunities which themselves influence capabilities. Source: ‘Report on Vulnerability and Resilience to Poverty 2002/03 Tanzania Participatory Poverty Assessment’ (2004), URT, Dar es Salaam and ‘Developing Social Protection in Tanzania within a Context of Generalised Insecurity’ (2006), REPOA, Dar es Salaam.
Development Component. Part 3 describes the institutional set-up and management of the programme including the capacity building component, financial management, procurement arrangements and programme monitoring and evaluation.

Amendments to the Operational Manual require the approval of the National Steering Committee and clearance from IDA in collaboration with other participating Development Partners.
ACRONYMS AND ABBREVIATIONS

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Definition</th>
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</thead>
<tbody>
<tr>
<td>AIDS</td>
<td>Acquired Immune Deficiency Syndrome</td>
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<tr>
<td>APL</td>
<td>Adaptable Program Loan</td>
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<td>CBO</td>
<td>Community Based Organization</td>
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<td>CDD</td>
<td>Community Driven Development</td>
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<td>COMSIP</td>
<td>Community Savings and Investment Promotion</td>
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<td>CCTMC</td>
<td>Community Cash Transfer Management Committee</td>
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<td>CMC</td>
<td>Community Management Committee</td>
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<td>CMT</td>
<td>Council Management Team</td>
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<td>CPWMC</td>
<td>Community Public Works Management Committee</td>
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<td>CSG</td>
<td>Community Savings Group</td>
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<td>CSO</td>
<td>Civil Society Organization</td>
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<td>DFID</td>
<td>Department for International Development (UK)</td>
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<td>ESMF</td>
<td>Environment and Social Management Framework</td>
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<td>FMR</td>
<td>Financial Management Report</td>
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<tr>
<td>GAOB</td>
<td>General Advertisement of Opportunity to Bid</td>
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<td>GDP</td>
<td>Gross Domestic Product</td>
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<td>HBS</td>
<td>Household Budget Survey</td>
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<td>HIV</td>
<td>Human Immunodeficiency Virus</td>
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<td>IEC</td>
<td>Information, Education and Communication</td>
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<td>IFR</td>
<td>Interim Financial Report</td>
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<td>IPPF</td>
<td>Indigenous Peoples Policy Framework</td>
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<td>IPP</td>
<td>Indigenous Peoples Plan</td>
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<td>LSP</td>
<td>Local Service Provider</td>
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<td>M&amp;E</td>
<td>Monitoring and Evaluation</td>
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<td>MDG</td>
<td>Millennium Development Goal</td>
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<td>MIS</td>
<td>Management Information System</td>
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<td>MOU</td>
<td>Memorandum of Understanding</td>
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<td>MVC</td>
<td>Most Vulnerable Children</td>
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<td>NSGRP</td>
<td>National Strategy for Growth and the Reduction of Poverty</td>
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<td>NGO</td>
<td>Non-Government Organization</td>
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<td>NSC</td>
<td>National Steering Committee</td>
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<tr>
<td>O&amp;OD</td>
<td>Obstacles and Opportunities for Development</td>
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<tr>
<td>PAA</td>
<td>Project Area Authority (generic term for LGAs/Zanzibar Administrative Authority or district, town, municipal and city councils used in this document)</td>
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<tr>
<td>PMO-RALG</td>
<td>Prime Minister’s Office-Regional Administration and Local Government</td>
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<td>PMT</td>
<td>Proxy Means Testing</td>
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<td>PPT</td>
<td>Project Preparation Team</td>
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<td>PRA</td>
<td>Participatory Rural Appraisal</td>
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<td>PSSN</td>
<td>Productive and Social Safety Net</td>
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<td>PW</td>
<td>Public Works</td>
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<td>RAS</td>
<td>Regional Administrative Secretary</td>
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<td>RPF</td>
<td>Resettlement Policy Framework</td>
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<td>RRT</td>
<td>Rapid Response Team</td>
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<td>SPWG</td>
<td>Social Protection Working Group</td>
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<tr>
<td>Acronym</td>
<td>Full Form</td>
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<tr>
<td>TASAF</td>
<td>Tanzania Social Action Fund</td>
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<td>TICMC</td>
<td>Targeted Infrastructure Community Management Committee</td>
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<td>TMU</td>
<td>TASAF Management Unit</td>
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<td>UNICEF</td>
<td>United Nations Children’s Fund</td>
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<td>URB</td>
<td>Unified Registry of Beneficiaries</td>
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<td>USAID</td>
<td>United States Agency for International Development</td>
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<tr>
<td>VC</td>
<td>Village Council</td>
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<tr>
<td>VEO</td>
<td>Village Executive Officer</td>
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PART 1
INTRODUCTION

CHAPTER 1
PROGRAMME DESCRIPTION

1.1 Introduction

Approximately one-third of the population of Tanzania lives below the
basic needs poverty line, and half of these are so poor they don’t earn
enough to meet their basic food needs. This is despite recent high
economic growth, which has improved the situation for many
Tanzanians but not for poorest.

People living in poverty struggle to provide their families with the
things they need. They can’t invest in improved seeds or fertilizer and
therefore increase the amount of food their families have to eat, and
there is very little access to local employment opportunities which
might help them to earn enough money to purchase food or buy other
necessities. Many poor parents haven’t benefited from education and
therefore don’t understand the importance of children attending
school and not regularly missing days. Such families find it difficult
to afford even basic health care and haven’t adopted a routine of
taking children regularly to clinics to check their progress or receive
regular immunization.

The Government has put in place a number policies and strategies on
poverty reduction. These include the National Strategy for Growth
and Poverty Reduction which was finalized in 2000. The Strategy has
enabled the government to make many achievement including
increasing the coverage of education and health services, investing in
infrastructure and supporting agricultural development.

However, poor households continue to lag behind the rest of the
population not just in terms of income, but also in terms of the food
they eat (both quality and quantity), their educational attainment and
their use of health services.

This situation highlights the need for interventions focused specifically
on poverty reduction and the contribution a robust safety net can
make in Tanzania. An effective safety net will both protect the poor
from the immediate effects of poverty, helping them to meet
consumption needs and prevent further irreversible losses in assets;
but it can also enable poverty-stricken households to invest in their
futures and improve their livelihoods in the long-term. When
complemented by other targeted poverty reducing interventions, the
long-term impact should be higher.
1.2 Programme Objective

The objective of TASAF III is “to enable poor households to increase incomes and opportunities while improving consumption”. TASAF III targets people living under the basic needs poverty line (currently 33.6% of the population).

1.3 Project Components

The Government expects to achieve the above objective by implementing the following four components:

- Establishment of a national safety net incorporating transfers linked to participation in public works and adherence to conditionalities. The safety net component aims to provide transfers to the poor and vulnerable, who will be identified using a unified targeting system.
- Support to community driven interventions which enhance livelihoods and increase incomes (through community savings and investments as well as specific livelihood enhancing grants). The enhanced livelihoods component will first encourage all households participating in the programme to begin saving.
- Targeted infrastructure development (education, health, water) to enable service poor communities to realize the objectives of the safety net; and
- Capacity building to ensure adequate programme implementation by community, local government authority, regional and national levels.

1.3.1 Productive Social Safety Net

The Productive Social Safety Net (PSSN) incorporates transfers linked to participation in public works and adherence to conditionalities. A combination of three transfers protects vulnerable populations from the severest consequences of poverty by enabling households to purchase food, pay for medical care (including making contributions to the Community Health Fund), and reducing the need to pull children out of school in the event of a shock. All households targeted for the programme receive a basic unconditional transfer ensuring a basic level of support. Targeted households with children or pregnant women are also eligible for a variable conditional transfer if they comply with key conditionalities focused on use of education and health services. Households with labour also have the opportunity through Public Works Projects to earn additional transfers to help meet basic needs during the seasonal hungry period.

1.3.2 Enhancement of livelihoods and increasing incomes

This component provides support to community driven interventions which enhance livelihoods and increase incomes (through community savings and investments as well as specific livelihood enhancing grants). It aims to enable TASAF III beneficiaries to save money to
invest in livelihood enhancing activities, by supporting these investments with business development skills and technical training. Additionally, this component provides grants to existing functioning Community Savings and Investment Promotion Groups (or savings groups) to enable the groups to consolidate and further build upon the efforts they have already made to improve livelihoods and progress out of poverty.

### 1.3.3 Targeted infrastructure development

This component supports development of infrastructures that belong to the sectors of education, health and water with a view to enabling service poor communities to realize the objectives of the safety net. It focuses on the construction of primary school buildings, health facilities and potable water supplies in villages without these services and without such services being available in nearby areas or where available services are inadequate. Activities under the Targeted Infrastructure Development Component are as follows:

i) Construction/rehabilitation of Primary and Secondary Schools’ classrooms, teachers’ houses, toilets, water points, teachers’ offices, libraries, laboratories and dormitories.

ii) Construction/rehabilitation of Health Facilities (including outpatient dispensaries, maternal child health centres, staff houses, toilets, incinerators and water points.

iii) Development of potable water supplies.

### 1.3.4 Capacity Building

The Capacity Building Component aims to ensure adequate programme implementation by communities, Local Government Authorities, Regions and National level players (including the TMU and sector ministries) and Zanzibar. This component underpins the functioning of all other components of the programme. It is concerned with ensuring that there is appropriate understanding and capacity for targeting, implementation of the safety net programme (including conditional transfers and public works) and the realization of the livelihood enhancement and targeted infrastructure components.

### 1.4 Major focus of TASAF III

The major focus of TASAF III:

i) Provision of a safety net, timely and predictable transfers on a multi-year basis.

ii) A greater emphasis on savings and financial literacy as a key building block for livelihood enhancement.

iii) Infrastructure development in those areas that lack basic services (particularly health, education and water) and therefore where it is not possible to expect households to comply with basic sector standards of school or health centre attendance.
iv) A combination of protective, human capital enhancing, and productive initiatives targeted to the same beneficiaries in order to ensure that impacts are significant and long-lasting.

v) Emphasis on graduation aimed at enabling poor and vulnerable households to move on to a positive trajectory: stabilising food consumption and preventing long-term consequences of extreme poverty and then focusing on enhancing capabilities, assets and livelihoods.

1.5 Guiding Principles

The following principles guide TASAF operations:

i) Autonomous but operating in harmony with other on-going initiatives within the Local Government Reform Programme;

ii) Demand-driven and follows a bottom up planning and decision-making approach;

iii) Finances beneficiaries and community-initiated projects directly;

iv) Conforms to sectoral norms and standards and ensuring adequate and timely technical support;

v) Non-partisan and apolitical;

vi) Clear modalities and delivery structure that ensures predictable and timely transfers;

vii) Transparency, demonstration of full public accountability and cost-effective operations;

viii) Strengthening community empowerment focusing on graduation from poverty

1.6 Coverage

TASAF III operates nationally covering all local government authorities on the Mainland as well as Unguja and Pemba islands in Zanzibar. However, the programme is rolling-out gradually to enable the development of systems and required capacities.

1.7 Target Groups

The target group constitutes the 13.5 million people currently living below the basic needs poverty line. Nevertheless, during the period 2012-2017 the programme is expected to reach 1 million direct beneficiaries from 275,000 targeted households through the PSSN and livelihood support. The Programme focuses on the poor and vulnerable households. Targeted households are eligible for different programme components on the basis of their differing needs and capabilities. The targeted households receive safety net support as well as the opportunity to participate in livelihood enhancing activities. The broader number of people living under the basic needs poverty line are eligible for livelihood support interventions and are prioritised for the targeted infrastructure support.
1.8 Eligibility Criteria

Eligibility for different programme components is as follows:

**Productive Social Safety Net**

i) All households identified as being poor and vulnerable and targeted by the common targeting system are eligible for a basic unconditional transfer. They will receive this basic transfer alongside any other support for which they are eligible.

ii) Poor and vulnerable households with children, and a pregnant woman, targeted by the common targeting system, are also eligible for the variable conditional transfer. They will receive the full variable conditional transfer as long as all eligible household members meet the key human capital enhancing conditions.

iii) Poor and vulnerable households with members capable of physical activity, targeted by the common targeting system, (i.e. households with labour) are also eligible to participate in the public works. They will receive payment for each day they provide labour to the public works component.

iv) In the event of a shock such as droughts, flood or high food prices, and should additional resources become available, other households in areas severely affected by the shock will also be provided with an opportunity to participate in a scaled-up public works programme.

**Livelihood Enhancement**

v) Households participating in the PSSN and interested in forming savings groups can be supported by the savings sub-component. Existing savings groups (established by TASAF II) may continue to be provided with capacity building (such as financial stationary and training in financial literacy) to enable them to consolidate and further build on the efforts they have already made to improve livelihoods and progress out of poverty.

vi) Savings groups, who have completed a full cycle of savings and have embarked on a second cycle, will be eligible to compete for Livelihood Enhancing Grants.

**Targeted Infrastructure Development**

vii) Villages identified as lacking basic services according to a supply side assessment are eligible to submit applications for the Targeted Infrastructure Development Component.

1.9 Safeguards

Communities are expected to implement sub projects that are small in size and in specific sites chosen by them; and these sub projects will have been selected because of their expected positive benefits. Although small in scale and with anticipated positive impact, it is important that unintended negative consequences don’t result from
oversights in planning or implementation. Therefore, implementation of TASAF requires compliance with the Resettlement Policy Framework (RPF), Environmental and Social Management Framework (ESMF) and Indigenous People Policy Framework (IPPF) that have been approved by the Government and IDA for this Project. Involuntary resettlement, relocation issues, and other matters arising from adherence to these should be resolved before a sub project is approved.
PART 2
PROGRAMME COMPONENTS

CHAPTER 2
THE PRODUCTIVE SOCIAL SAFETY NET

2.1 Introduction

The Productive Social Safety Net will protect vulnerable populations from the severest consequences of poverty by enabling households to purchase food, pay for medical care (including making contributions to the Community Health Fund), and reducing the need to pull children out of school in the event of a shock. It will achieve this by providing households with a combination of cash transfers which will provide a household of a benefit between the equivalent of $60 and $200 per year. The conditional cash transfer component will further enhance this effect by incentivising the attendance of school and the uptake of health services. Public works will not only provide seasonal income, they will help address environmental problems and improve the productivity of the area.

The Productive Social Safety Net provides an opportunity to bring together a range of development partners and government resources into an integrated approach avoiding duplication; and to enable the programme to cover a much larger proportion of the poor.

2.2 The PSSN Programme Management Cycle

The PSSN follows a regular programme management cycle which is made up of start-up activities (which are repeated every 2-3 years) and annual programme implementation.

Start-up activities: Some start-up activities are relevant to the whole programme (such as targeting and the signing of an MOU between the TMU and the PAA), and some are specific to a particular component (such as the Supply Side Assessment for the Variable Conditional Transfer sub component, and the Multi-annual Public Works Planning for the Public Works component).

Annual Programme Implementation: The exact way in which the different components work varies by component:

- Cash Transfers: The Basic Transfer operates throughout the year. The Variable Conditional Transfer also operates throughout the year, although the procedure for the first two rounds of payment is slightly different from the procedure from then on.

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2 Selected household receives the basic monthly transfer equivalent to US$5 per household per month. Households with eligible members are entitled to receive a conditional transfer equivalent to US$5 per month per household. Households having adults that are able to work benefit from a seasonal transfer by participating in the labour-intensive public works for up to 60 days during a four-month period each year at a daily wage of US$1.35 per day.
• **Public Works:** In most years, people will only participate in public works for four months. These four months will be selected by the PAA so as to ensure that public works don't compete with the peak labour period, but, as much as possible, ensures that households have access to additional income during or prior to the hungry season.

The table below presents these activities, and the section of the document in which they can be found:
## PSSN Programme Management Cycle

<table>
<thead>
<tr>
<th>Action</th>
<th>Start-up activities</th>
<th>Annual cycle</th>
<th>Public works period</th>
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<td>Formation of Community Cash Transfer Management Committee</td>
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<td>Application of PMT</td>
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<td><strong>Other Start-up Activities</strong></td>
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<td>Familiarisation of PAA staff</td>
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<td>Selection of payment agencies for each village</td>
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### Operational Manual

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</tr>
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<td></td>
<td></td>
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2.3 Targeting

Before transfers can be disbursed, households in need of safety net support must be identified. Accurately identifying households most in need is critical to achieving the objectives of the programme. If needy households are not included in the programme these objectives will not be met. TASAF III uses a combination of four elements to successfully identify programme beneficiaries:

- A geographical mechanism to identify and select districts, wards and villages and allocate an appropriate level of resources;
- Community targeting to identify extremely poor and vulnerable households in selected villages;
- A Proxy Means Test to verify and minimize inclusion errors; and
- A Community Validation test to confirm the results of the community targeting and Proxy Means Test.

Following the targeting process, targeted households will be invited to enrol in the programme.

Targeting for all sub components of the PSSN uses a common targeting system. This ensures a consistent approach to targeting the programme and is key to ensuring that household are supported by multiple benefits on the basis of need and abilities. The resulting list of beneficiaries will become available on a database as a Unified Registry of Beneficiaries. This registry both helps the programme to keep track of programme beneficiaries and is a resource for other programmes which are interested in providing support to the same or similar target group.

A summary of the key elements of the targeting system can be found below.

2.3.1 Geographic targeting

There are three elements of the geographic targeting:

1. Determination of the order in which the programme rolls out to districts
2. Selection of villages
3. Allocation of resources

**Determination of order in which programme rolls out to districts:**

By the end of the first phase of TASAF III all regions and LGAs/Districts/Islands (Project Administrative Authority\(^3\) (PAA)) will be covered by the programme. Roll-out, however, to these PAAs is gradual in order to enable the development of relevant capacity. The

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\(^3\) In this document, the term Project Administrative Authority will be used as a generic term for LGAs, Districts and Islands
following table indicates the speed of rollout during the first phase of TASAF III:

<table>
<thead>
<tr>
<th>Year</th>
<th>Period</th>
<th>Activity/coverage</th>
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<tbody>
<tr>
<td>1</td>
<td>July 2012-June 2013:</td>
<td>Disbursement: minimal disbursement on CT/PW (Planning)</td>
</tr>
<tr>
<td>2</td>
<td>July 2013-June 2014:</td>
<td>10 PAAs in 6 Regions</td>
</tr>
<tr>
<td>3</td>
<td>July 2014-June 2015:</td>
<td>Additional 75 PAAs in 10 regions = Total of 85 PAAs/16 Regions</td>
</tr>
<tr>
<td>4</td>
<td>July 2015-June 2016:</td>
<td>Additional 79 PAAs 10 regions = Total 164 PAAs/26 Regions</td>
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<tr>
<td>5</td>
<td>July 2016-June 2017:</td>
<td>Total 164 PAAs/26 Regions</td>
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The order in which the programme rolls-out is based on poverty levels assessed according to a poverty-index. Council Directors on the Mainland and the Principal Secretary to the SVPO in Zanzibar are informed by the TMU once their PAAs have been selected for inclusion in the programme.

**Selection of Villages:** The same poverty index is used to select the relevant villages for the programme. All villages within a PAA will not necessarily be included in the programme. Instead only those villages which fall below the required poverty threshold according to the index are included. It is likely that staff, through the Council Director/Principal Secretary to the SVPO, will be asked for village level information concerning poverty to complement any village level data available at national level.

The final list of selected villages is communicated to the respective PAA by the TMU.

**Allocation of Resources:** TASAF III resources are allocated to the PAAs according to needs and levels of poverty using a resource allocation formula and number of poor households in targeted villages/mtaa/shehia. This formula is based on the poverty index, calculated using poverty data. The poverty index is used by the programme to identify villages to be targeted. Upon completion of targeting of households within selected villages, resources will be allocated to the villages, accordingly. It is this beneficiary number which determines: the resources available for transfers and public works wages; financing for the non-wage components of the public works programme; and funding for administrative costs.

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4 Village in rural setting is equivalent to Mtaa in urban areas and Shehia in Zanzibar
Once the geographic targeting process has been completed, a Memorandum of Understanding will be signed between the TMU and the PAA detailing the responsibilities of both parties.

### 2.3.2 Community identification of poor households

The main approach to targeting households for the programme is a community-based targeting approach. Following familiarisation in the targeting process and the formation of a Community Cash Transfer Management Committee (CCTMC) made up of community representatives elected during a Village Assembly, identification of potential beneficiary households will start. The CCTMC identifies potential beneficiary households using pre-determined criteria. The number of households to be identified is the pre-determined beneficiary number for the village plus 20%. Once potential beneficiaries have been identified, key household data is collected to facilitate the application of the Proxy Means Test.

### 2.3.3 Application of the PMT

The above list of identified potential beneficiary households and their key household data are then entered into the Unified Registry of Beneficiaries (URB) at PAA level. The TMU then applies the Proxy Means Test (PMT) and each household entered into the URB receives a welfare score. Those households whose welfare score falls below the extreme poverty line are considered eligible for the programme (even if this means that the resulting beneficiary number for the district is above the target set by the Resource Allocation Formula).

Data collected CCTMC also informs the matching of targeted households with relevant programme components. While all households are eligible for the basic transfer, only targeted households with children or a pregnant woman are eligible for the conditional transfer and only households with able bodied labour eligible for public works. This matching exercise is automated using the URB.

The TMU then provides the PAAs with the lists of households accepted and the list of households rejected by the PMT who, in turn, take these lists to the villages for community validation.

### 2.3.4 Community Validation and Final Listing

The community validates the results of the PMT during a village assembly, confirming whether or not households have been correctly included or excluded from the programme. The Village Assembly can

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5 This committee will initially be responsible for the identification of beneficiaries for the entire PSSN programme. Once targeting is completed, the committee will be allocated new responsibilities to manage the Cash Transfer Component (made up of both the basic and the conditional transfers).
only add or remove households who were included during the community identification process. However, the Village Assembly validation provides an opportunity for households not listed by the CCTMC to complain directly to the PAA who will then facilitate a fast-track grievance process (see section 2.6 for more details).

2.3.5 Beneficiary enrolment

Once the list of beneficiary households has been finalised, households are invited to enrol on the programme. During the enrolment day, households are informed of which component(s) of PSSN support they are eligible for (basic transfer, variable conditional transfer and public works transfer), according to the eligibility criteria outlined in section 1.8 above, and are invited to confirm whether or not they wish to be included in all the components for which they are eligible. Once enrolment is complete, households are issued with identity cards.

After conclusion of enrolment, the computerised MIS (described in section 11.2.2) produces a list of beneficiaries, by sub component, for each village.

2.3.6 Recertification

Recertification of beneficiaries takes place once every three years. This process includes a review of the community identification of poor households, the Proxy Means Test and the community validation.

The overall process of beneficiary identification, including the process of identifying which beneficiaries are eligible for which subcomponent, is summarized in the decision trees included in Annex 1.

2.4 Cash Transfers

The cash transfer sub components is made up of two elements:

- A basic transfer equivalent to $5 per month for all households identified as beneficiaries for the PSSN; and
- A conditional transfer component equivalent to $5 per month for households identified as beneficiaries for the PSSN who have members who are children or pregnant.

The size of the transfer is reviewed regularly and adjusted in line with inflation and on the basis of programme experience.

These two elements use the same transfer modalities and are managed at the village level by the same Community Cash Transfer Management Committee and are therefore treated as one sub component.
The purpose of the basic transfer is to ensure that all households in need of safety net support are guaranteed some support to help households to meet and increase consumption throughout the year. The cash payments under the conditional transfer supplement this basic support and ensure that households with children or a pregnant woman receive an increased sum to meet their higher level of consumption needs. The conditional transfer also creates an incentive for extremely poor families to invest in the education, health and nutrition of their children and of pregnant women, with this transfer conditional on households meeting co-responsibilities.

2.4.1 Co-responsibilities

Co-responsibilities for eligible households are as follows:

i) Children:
   - In areas where health services are available, all children <24 months attend routine health services once per month.
   - In areas where health services are available, all children 24-60 months attend routine health services at least once every six months.
   - In areas where no health services are available primary carers of children ≤60 months attend community health and nutrition sessions every two months.
   - Enrolment of school age children aged 5 and 18 in pre primary, primary and secondary schools (where available) and regular attendance of at least 80 percent of the school days per month.

ii) Pregnant women:
   - Where health services are available all pregnant women within the household must attend 4 prenatal exams
   - Where health services are not available all pregnant women within the household must attend community health and nutrition sessions every two months.

As indicated above, regular community health and nutrition sessions organized by PAs  are also provided to beneficiaries, financed by the programme. Decision on topics to be covered is informed by actual need in each particular PAA. Health and nutrition sessions are conducted in all programme villages. However, in areas without health services attendance is monitored as a co-responsibility. This ensures that there is always some level of co-responsibility associated with the Conditional Transfer even in areas where service provision is inadequate. In addition to improving the knowledge of beneficiaries, the sessions are also used by the programme for three additional purposes:

6 Sessions will be run by extension staff and relevant service providers, depending on the topic. Some topics will be standard, particularly those related to rights and responsibilities towards the programme; but others will respond to local issues and concerns.
i) Remind beneficiaries about the importance of compliance with their co-responsibilities and next payment;
ii) Serve as a mechanism to receive claims and complaints from beneficiaries; and
iii) Explain to any beneficiaries not receiving a full payment why deductions have been made; and counsel households who have non-compliance registered in the previous payment cycle (even though non-compliance may not have yet triggered a deduction to the cash payment).

2.4.2 Key Steps in Implementation of Conditional Transfers

The following project cycle highlights the key steps in implementing the cash transfer sub component of the PSSN:

Supply Side Capacity Assessment and Definition of Co-Responsibilities by Village: A Supply side capacity assessment is carried out by the PAA to determine the actual coverage and quality of available services. On the basis of the assessment, the programme determines which of the co-responsibilities outlined in section 2.4.1 apply in the target village. The assessment is carried out at the beginning of the programme and before recertification.
First and Second Two-Monthly Payments: Households are expected to adhere to co-responsibilities from the start of the programme. However, the first two payments (covering the first four months of implementation) are made in full, without reference to data recording households’ compliance with co-responsibilities. This ensures that the onset of transfers is timely and predictable, and gives adequate time for data entry and analysis.

Households receive the first cash transfer upon enrolment and the second payment two months later. They are informed of the date for this second transfer and the place where they can collect their benefits during enrolment.

Families comply with agreed co-responsibilities: During the enrolment process, registered households receive specific instructions regarding the co-responsibilities they have to comply with, the facilities in education and health they will use and the place and dates for the health and nutrition sessions. After the first payment, households are expected to start complying with their co-responsibilities and monitoring systems are put in place.

Monitoring and Analysis of Compliance: The PAA is responsible for monitoring compliance with co-responsibilities. Data is collected by CCTMCs from schools and health facilities and delivered to PAA level where it is entered into system and used to trigger payments. While schools and health facilities record data on compliance, only non-compliance data is reported and entered into system. A Cash Transfer module, linked to the PSSN MIS, analyses this monitoring data and generates a payroll which is used by payment agencies to effect payment their network of agents.

Transfer Payments: Starting from the third payment cycle, penalties for failure to meet co-responsibilities are applied pro-rata. The first failure to comply does not result in a penalty, but instead the household receives a warning and counselling from the CCTMC. Penalties are only incurred when households fail to meet co-responsibilities in two consecutive monitoring periods, or three times in a year.

The pro-rata system of penalties follows the following approach: in a household with two members eligible for the variable transfer; failure to comply for successive months by one member results in the loss of half the benefit. In a household with five eligible members, failure to comply by one member results in the loss of one fifth of the benefit. If households are unclear about what they have received a reduced payment, they can raise questions during the health and nutrition sessions or using the grievance procedure outlined in section 2.6 below.
In most cases, payments are made using an authorised payment agency. The process for defining payment agencies can be found in section 10.3.3.

2.4.3 Implementation of Basic Transfer

Basic Transfers are paid at the same time as the Variable Conditional Transfers, using the same mechanism. Payment is automatic to all beneficiaries regardless of whether or not they are expected to, and have successfully, complied with co-responsibilities related to the conditional transfer.

2.5 Public Works Programme

The Public Works (PW) Programme provides very poor households with adult able-bodied labour the opportunity to earn seasonal income. This access to seasonal income better enables households to maintain consumption during the annual hungry season, and may provide opportunities for households to earn enough income to make small livelihood investments. Employment opportunities are primarily provided to households who have been targeted using the common targeting system described in section 2.3 above. If additional financing becomes available, for example to increase coverage of the programme in response to a short-term shock, coverage maybe increased to include additional households. In addition to its consumption-smoothing objective, this sub component also aims to create and improve community assets, and enhance beneficiaries’ skills.

Although the authorities in targeted PAAs are responsible for ensuring that employment opportunities are provided, actual management of Public Works sub projects are the responsibility of community based Community Public Works Management Committees.

2.5.1 Public Works Entitlement

The public works programme offers a guaranteed 15 days of paid work per month for four months to eligible households targeted under the PSSN targeting. The daily wage rate is the equivalent of US$1.35 and the total a household can earn in a year is $81.

Households may have more than one eligible member and may split these fifteen days a month between up to two nominated members (a main participant and a substitute). Payment for work is made to the main participant. Eligible members must be resident in the community and between the ages of 18 and 60. Household members who are more than four months pregnant, lactating women in the first ten months after delivery, and sick or disabled members are not
eligible for work and cannot be listed either as a main participant or a substitute.

2.5.2 Eligible Activities for Public Works Programme Financing

Public work activities must be selected from the menu of labour-intensive public works listed in the technical manual. These activities have been selected because of their higher labour requirement compared to other costs (unskilled labour costs must make up an average of 75% of the cost of public works in each PAA), wide communal benefit (including benefits for women), ease of implementation and with a view to maximising environmental benefits and increasing resilience to climate change. Works that only provide private benefits, or benefits which are only felt by a few, better-off, households are excluded. All public works must comply with environmental and social, resettlement and indigenous people safeguards.

Public works only operate during specific periods of the year. Two key considerations are taken into account when deciding the time of public works:

- That works are undertaken when labour demand for agricultural activities is low (and participation in PW will therefore not compete with the need to work on own land)
- Those works are timed, as much as practically possible, so that public work payments are made during or prior to the hungry season.

The exact timing of public works are decided at PAA level and depend on the timing of the peak agricultural period and the lean season.

Participation in public works is paid on the basis of attendance and the effective completion of tasks. Women may be offered flexible working hours and the possibility of working half days, so as to ensure that participation in public works does not compromise their role as care providers.

2.5.3 Key Steps in Implementation of Public Works Programme

The following project cycle highlights the key steps in implementing the cash transfer sub component of the PSSN:
**Multi Year Planning:** Every three to five years the PAA level authorities undertake a comprehensive village level multi-year planning process. The planning process is facilitated by PAA level experts, including extension staff employed at ward level but uses participatory planning approaches and works with a village planning group. The number of beneficiaries in the village determines the scale of the planning, and therefore the number of public work activities needed to absorb the annual number of public works working days. The process is informed by the menu of eligible public works, includes a simple climate risk assessment tool and builds on existing government planning processes (O&OD).

**Annual Prioritisation, design and approval of Public Works Activities:** Each year the multi-year public works plan is reviewed and sub projects for the upcoming year are prioritised in a village level participatory meeting. The highest priority sub projects are then matched to the resources available for the coming year. The prioritisation process includes sub projects that are a priority for both men and women. Ward level extension staff facilitates prioritization with oversight by appropriate sectors from the PAA.

Once the prioritisation is completed, technical sector staff at PAA level undertake detailed design of public works activities. Guidelines and
norms to design subprojects are included in the Public Works Technical Manual.

The resulting designs are then appraised by PAA staff to ensure that the proposed works comply with eligibility criteria, are technically sound and that mitigation measures are adopted to avoid environmental and social negative effects. A separate team of experts and sector ministry representatives at PAA level carry out the technical appraisal process for sub projects. PAA Finance Committee/Unguja and Pemba Steering Committees approve successfully appraised sub projects.

Approved sub projects for the respective year undergo a light review by the TMU to verify that they comply with key PSSN principles (sub project designs comply with menu of activities, a minimum of 75% of public work costs relate to labour costs, and safeguards have been adhered to). The Sector Experts Team (SET) undertake a more detailed review of public works projects on a sample basis to check conformity to sector norms and standards and to extract lessons which can improve the quality of public works implementation in the future.

**Formation and Start-Up activities of Community Public Works Management Committee:** A Community Public Works Management Committee (CPWMC) is formed to support the day-to-day management of public works. In villages with few beneficiaries, one committee may be expected to manage all public works; whereas in villages with a larger scale of activity may have several committees each managing a separate public works project (which may comprise a number of related activities). CPWMC members are selected by public works beneficiaries and are comprised of public works beneficiaries. Their time engaged in committee business is counted as part of their participation in public works. Capacity building of the CPWMCs is carried out by PAA prior to the implementation of public works activities, in particular regarding procurement of materials and equipment and organization of the tasks for which they are responsible. If possible, CPWMC formation should take place before detailed planning so that committee members are engaged in this process.

Following formation, the CPWMC opens a bank account ready for receipt of the PW project funds. As soon as this account is opened, funds for the non-wage costs will be transferred. Once these funds are received, the CPWMC can begin timely procurement of non-labour inputs into the public works and the recruitment of any required skilled labour identified during project design.

**Public Works implementation:** Day-to-day management of public works at village level is the responsibility of the CPWMCs who decide and communicate to beneficiaries the days on which public work
activities are to be implemented, monitor attendance and completion of work by beneficiaries, and submit attendance registers to the PAA Coordinator. The PAA Coordinator enters the information into the Cash Transfer Module of the Management Information System which generates the payroll. Payment agencies, with adequate local outreach, undertake public works payments to beneficiaries fortnightly. Payment agencies are outsourced by the TMU competitively.

Payments are made to beneficiaries within three weeks of the fortnight period in which they undertook the work.

Supervision of the public works is carried out by competent Local Service Providers (LSP) who provide full time supervision. PAA/ward technical staff visits project sites on a regular basis to ensure adherence to technical design and standards.

2.6 Grievance Procedure

Although every effort will be made to ensure a high-standard of programme delivery, it is not possible to avoid any mistakes of implementation or perceptions of unfairness. It is therefore necessary to have a system to hear, and resolve, any grievances. This process will both contribute to the quality of programme delivery and provide high level of accountability.

2.6.1 Implementation of Grievance Procedure

Any person living in a PAA where the PSSN is operational may make a complaint about any aspect of programme implementation. The following mechanisms are the key avenues for making complaints:

**Village Council:** The Village Council is the main complaints receiving body at village level. Complainants can lodge their grievance either directly with the council, or through any of the Community Management Committees who then forward them to the Village Council. The Village Council resolves those disputes it can, depending on the nature of the complaint and where the mandate lies for the issue concerned. Unresolved disputes, or issues beyond their mandate are referred for adjudication at PAA or national level. The Village Council keeps records of all complaints received; whether and how the Village Council resolved them; and, which complaints were forwarded to the PAA Coordinator.

**PAA:** The PAA Coordinator submits unresolved grievances to the PAA Director on the Mainland or the Principal Secretary to the SVPO in

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7 Disputes such as minor complaints about public works arrangements or misunderstandings as to why conditional cash transfer benefits have been withheld are resolved at Village Council level. More complex complaints, for example criticisms of payment agents or abuse of the targeting system are likely to need referral to the PAA.
Zanzibar. The PAA Director/Principal Secretary reviews the complaints and determines the appropriate course of action according to the laws, rules and regulations. All complaints about abuse in service, potential corruption must be channelled to proper authorities in no more than ten days after the complaint is received. The PAA Director/Principal Secretary generates a letter to the complainant to inform them of the action taken.

In addition to submitting complaints to the VC, people may also lodge complaints with any member of the PAA Management Team (CMT). Complaints received by CMT members are logged with the TASAF Coordinator and considered by the PAA Director/Principal Secretary. If the Coordinator is implicated in the complaint, then the complaint is forwarded directly to the PAA Director or Principal Secretary.

**Fast-Track Targeting Appeals Mechanism:** The Village Assembly meeting during which the Community Validation of Targeting takes place provides an important opportunity for households, particularly those who feel they have been wrongly excluded from the programme, to appeal for consideration. At the end of the public meeting, PAA staff operate a fast track complaints mechanism to allow people to officially register concerns and request further consideration regarding whether or not they should be included in the PSSN. Households who wish to pursue a complaint for wrongful exclusion of the programme are provided with the opportunity to provide information which will allow the PMT to be applied and their case to be considered at a national level.

**Complaints Hotline:** A complaints hotline is also in place. This hotline can be used to lodge individual grievances affecting the complainant household or to register concerns about improper programme implementation by any of the implementing parties.
CHAPTER 3
LIVELIHOODS ENHANCEMENT

3.1 Introduction
This component contributes to building the foundation for graduation out of poverty by enhancing households’ abilities to support themselves through strengthened and diversified livelihoods. It does so by supporting and building the capacity of poor and vulnerable households to engage in savings and make livelihood investments. It focuses on the promotion of savings through a group savings methodology, financial literacy training, and group capacity building. Once groups are established further support may become available: groups with sufficient savings may want to become linked to formal financial institutions and groups with a strong track-record in savings and an expressed interest to make investments may be given the opportunity to access livelihood enhancing grants to support livelihood building activities. The scale of the Livelihood Enhancing Grant fund depends on the levels of funding available. PAAAs should not begin activities related to Livelihood Enhancing Grants until requested by the TMU.

3.2 Target Groups
All beneficiaries of the Productive Social Safety Net are eligible for support to form savings group and start saving. Community Savings Groups (CSGs) which have completed at least once cycle of savings successfully will then be eligible for further support in terms of linking them with formal financial service providers and being able to apply to the Livelihoods Enhancement Grant Fund.

3.3 Community Savings and Investment Promotion
This sub component works with existing TASAF III beneficiaries and supports them to start savings using a group methodology. The objective of the Community Savings and Investment Promotion sub component is to increase the ability of programme beneficiaries to save for future needs and investments. Community Savings Groups are self-forming entities who remain independent and self managing, establishing their own rules including how much they should save and whether or not they will provide loans to members. They meet regularly for the purpose of savings, but may also choose to meet for social reasons or because they wish to discuss other issues of common concern. The saving cycle of Community Savings Groups are time bound, and always less than a year. The time-bound nature of the savings cycle is necessary to ensure that group members know when they can realize their savings and convert it into a livelihood investment.
The approach is implemented in two broad phases:

- Awareness Raising and Group Formation
- The Savings Cycle

### 3.3.1 Awareness Raising and Group Formation

Sensitization is conducted at the beginning of the programme. Subsequent awareness-raising sessions may also be held as necessary, particularly if uptake of the approach is low. The sensitization focuses on the value of regularly saving money, but also informs potential beneficiaries on how to go about forming a savings group including the minimum and maximum number of savers to form a group (between 10 and 25). Potential group members should seek out those who they trust and have a good relationship with, and those who may be interested in saving similar amounts of money.

Once a group of households confirm they wish to come together, group formation happens and the group elects its key post-holders of Chair, Secretary and Treasurer. In addition to facilitating group formation, the relevant PAA staff provides a core package of support to groups made up of series of trainings and the provision of a basic savings kit.

### 3.3.2 The Savings Cycle

The savings cycle is made up of four stages:

- **i) Agreement of group constitution and savings (and loans) rules:** At the beginning of each savings cycle the group develops a constitution, including stipulating how much the group will save, the frequency of savings, the duration of the savings period (always less than a year) and whether or not the group is to allow loans to members.

- **ii) Ongoing Savings:** The group then begins savings and meeting regularly in order to deposit these savings. If loans are agreed as part of the group rules, these regular meetings are also the time when loans are approved and granted, and repayment is collected. Day-to-day management of the groups are the responsibility of the group leadership who call meetings, ensure members regularly make savings and undertake record keeping.

- **iii) Technical Support and Supervision:** During this period groups continue to be supported and supervised by relevant PAA and ward staff.

- **iv) End of Cycle:** At the end of the predetermined savings cycle, savings will be paid out to group members, including any income earned from providing loans. At this point the group may choose to disband, or they may choose to embark on another savings
cycle. If they choose to continue to save they will revisit their constitution and may choose to adjust the group rules. During this discussion, they may also choose to re-invest a lump sum of their previous year’s savings in order to create a larger savings pot.

3.4 **Links to Formal Financial Service Providers**

Groups who chose to continue to save after the end of a cycle, and who are building up significant savings may decide to open an account with a bank, micro-finance institution, or even mobile phone company to ensure security of savings. Such groups may also be looked upon favourably by micro-finance institutions as potential loan recipients because of their proven track record in regularly putting money aside and the availability of a pot of capital. PAA staff support these groups with relevant information to help them make these links with formal Financial Service Providers.

3.5 **Livelihood Enhancing Grants**

The Livelihood Enhancing Grants sub component is a grant-making scheme which responds to proposals put forward by existing Community Savings Groups. The objectives of the sub component are:

- To further the efforts made by Community Savings Groups to improve livelihoods and graduate out of poverty
- To empower groups to identify potential livelihood investments
- To reward groups who are successful savers and plan well, providing an incentive to other groups to improve.

This component will be rolled-out once funds become available, and PAAs should not start activities until requested to by the TMU.

Community Savings Groups become eligible to apply to the Livelihood Enhancing Grants Fund after they have completed one cycle of savings and embarked on a second cycle. This ensures that the sub component builds on skills and experience groups have already developed.

Programme implementation falls into two broad phases: Project Preparation and Project Implementation.

3.5.1 **Project Preparation Phase**

The project preparation phase involves the following five steps:

i) **Awareness Raising and Training of CSGs in Project Planning:**

All Savings Groups are informed by the relevant PAA or Ward Staff of the existence of the Livelihood Enhancing Grant Fund
and receive basic information on how it functions, including how to plan and complete proposal format.

ii) **Interested CSGs prepare and submit project applications:** CSGs identify a potential project they wish to apply for and prepare a proposal in the required format.

iii) **Appraisal and Approval of Applications:** An appraisal team is formed and assesses the appropriateness and viability of savings group proposals and makes recommendations on which applications should succeed. This appraisal process will take into account relevant safeguard issues (as described in chapter 6). Recommended sub projects are reviewed by the TMU to verify compliance with TASAF III regulations and presented to the NSC to allow the release of funds.

The PAAs are informed when funds are approved. Both successful and unsuccessful CSGs should be notified in writing of the results of their application and the reasons for their success or failure.

### 3.5.2 Project Implementation

Project implementation involves the following four processes:

i) **Grant Agreement:** A grant agreement is signed between the PAA and the successful CSGs detailing what is expected from each party, the disbursement schedule and the reporting requirements of the CSF.

ii) **Implementation by the CSG:** The CSG implements the project according to the proposal including: managing project funds, undertaking required procurement and preparing project reports.

iii) **Technical support and supervision:** Relevant PAA staff provide support to CSGs implementing the Livelihood Enhancement Grants in technical aspects of their projects. They also closely follow-up successful groups to ensure appropriate use of funds and to provide support should any problems arise.

iv) **Project Evaluation:** Prior to submission of the final report, the CSG undertakes an evaluation of their programme against key indicators identified during the project preparation phase. These evaluation reports will form part of the M&E system.

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8 As with the public works sub projects, the Sector Experts Team will review a sample of sub projects to check conformity to sector norms and standards. However, this is a separate exercise to the approval process and will not hold up the release of funds.
CHAPTER 4
TARGETED INFRASTRUCTURE DEVELOPMENT

4.1 Introduction

This component focuses on the construction of primary schools, health facilities and potable water supplies in villages without these services and without such services being available in nearby areas. Without such services in the vicinity children are less likely to enrol in school and more likely to have poor attendance, people are less likely to make use of health services, and nutritional outcomes are likely to be poorer. Furthermore any efforts to encourage people to make better use of services (including the use of conditional transfers) will be much less effective.

The three following types of sub projects are eligible for support (see Annex 2 for a more complete list of eligible sub projects):

i) Construction/rehabilitation of Primary and Secondary Schools’ classrooms, teachers’ houses, toilets, water points, teachers’ offices, libraries, laboratories and dormitories.

ii) Construction/rehabilitation of Health Facilities (including outpatient dispensaries, maternal child health centres, staff houses, toilets, incinerators and water points.

iii) Development of potable water supplies

The above sub projects should comprise a service package which is in accordance with the respective sector ministries and in harmony with PAA plans. Sectors will provide relevant information such as the currently governing policies, technical drawings and specifications plus technical advice. Sector Ministries, however, should also be open to new ideas and specific requirements coming from the communities and make appropriate adjustments.

The maximum financing from TASAF for a project is 90% (95% for water), with the remaining 10% coming from community contributions.

4.2 Targeting criteria

The programme is focused on areas identified as lacking key services according to the supply side assessment which is undertaken as part of the cash transfer sub component of the Productive and Social Safety Net (see section 2.4.2). Villages which are classified by the supply side assessment as lacking in one or more areas of service provision will be notified of their eligibility to apply for this component.
4.3 Implementation arrangements

The following project cycle highlights the key steps in implementing the Targeted Infrastructure Development component:

**Figure: Sub Project Cycle**

![Sub Project Cycle Diagram]

**Pre Sub project cycle Activities:** Communities eligible for this component (according to the supply side assessment) are informed of: their eligibility, the application procedure, appropriate planning approaches and criteria for sub project funding.

**Sub project Identification:** Interested communities form a Targeted Infrastructure Community Management Committee (TICMC) which then works alongside PAA experts to undertake participatory planning to identify a proposed sub project. The TICMC plays a lead role in writing up the sub project in accordance with appropriate guidelines (including Resettlement, Environmental and Social, and Indigenous Peoples Framework Safeguards).

**Appraisal and Approval:** An initial desk appraisal is undertaken by the PAA to ensure the application is complete, that safeguards have been adhered to and conformity to sectoral standards. On successful completion of the desk appraisal, a more detailed field appraisal is undertaken to check that proper participatory processes were followed, that the sub project has the support of the community, that the community contribution is available and that plans for operation and maintenance are in place. The sub projects are then approved by the Village Council or PAA (depending on the value of the sub project) before being forwarded to the TMU who will facilitate further review of the sub projects by the SET before final approval is given by the NSC.
**Launching:** Following approval by the NSC of the sub project an agreement is signed between the TICMC, VC and PAA, the TICMC opens a sub project bank account and relevant training and orientation of the TICMC and other village level bodies is completed. The project is also formally launched at community level.

**Implementation:** Sub project Implementation is the responsibility of the TICMC and the beneficiary communities. The TICMC procures any necessary goods and services as laid out in the appropriate guidelines, oversees the work, manages the budget, and will ensure the completion of the project within the maximum timeframe of 12 months. It is the responsibility of the Village Council to ensure that communities provide their contribution (a minimum of 10% for all projects apart from water projects where the minimum is 5%) as laid out in the sub project proposal. The TICMC also prepares quarterly reports.

**Supervision and Monitoring:** The VC, technical staff from the PAA/respective Ministries in Zanzibar undertake periodic monitoring and supervision missions.

**Completion and Inauguration.** Once the sub project is complete and inauguration ceremony is held to officially commission the asset.
PART 3
INSTITUTIONS, CAPACITY AND ADMINISTRATION

CHAPTER 5
CAPACITY BUILDING

5.1 Introduction

The Capacity Building component is geared towards ensuring that capacity is in place at community, ward, PAA, regional, SVPO and national levels to implement the programme at the required scale and to an appropriate quality. This component supports the functioning of all other components of the programme. It ensures that there is appropriate understanding and capacity for implementing the social safety net, livelihood enhancement and targeted infrastructure development components. This component also includes a Research and Development sub component which aims to learn lessons from TASAF III implementation and seeks to find ways to improve the programme in the future through research and pilots.

There are eight key elements of the capacity building component:
  i)  Staffing
  ii) Training and orientation
  iii) Guidance Material
  iv) Access to technical support
  v) Equipment and materials
  vi) Participation
  vii) Communication
  viii) Research and Development

This component both seeks to ensure that there is adequate capacity in each district prior to the programme becoming operational in that district; and to maintain and continue to improve capacity once the programme has become operational. It also aims to promote transparency and accountability in the management of TASAF funded activities at all levels.

5.2 Staffing

The staffing available to TASAF III includes permanent government staff assigned specific responsibilities for aspects of programme implementation, long-term direct employees of TASAF and short-term contract staff employed to support specific tasks.

Further details of the Government staff and TASAF employed staff engaged in programme can be found in Chapter 10: Institutional Arrangements.
5.3 **Training and orientation**

In addition to ensuring that the right staff are in place to implement TASAF III, these staff must have the necessary skills and knowledge to implement the programme effectively. Once a PAA has been selected for inclusion into the programme a series of trainings will be launched. Initial trainings are completed prior to the programme becoming operational in the PAA.

TASAF will continue to support training throughout the life of the programme, in order that any new staff (whether directly employed by Programme, or employed by the PAA engaged in programme implementation) can quickly be brought on board with programme procedures. This is necessary given the high levels of staff turnover in the country.

A list of trainings which the programme provides can be found in Annex 3, and will be periodically updated on the basis of reviews of the programme's capacity building efforts.

All trainings conducted are evaluated to ensure that the quality of capacity building is continuously enhanced.

5.4 **Manuals, Guidelines and Handbooks**

Up-to-date manuals, handbooks and other guidance materials are made available to each PAA and the Regions. These guidance materials will be provided in hard copy as each PAA (or Region) joins the programme. In addition, Community Management Committees and Village Councils/Shehia Advisory Council/Mtaa Committee will receive guidance material for their areas of responsibility.

A complete list of manuals, handbooks and guidelines can be found in Annex 4.

5.5 **Rapid Response Teams and Other On-going Support**

In addition to the trainings provided and the manuals and other guidance materials mentioned above, implementers can call on on-going support from staff based in the TMU.

PAA, Region and SET staff can able to request further information or guidance from the TMU by telephone, email or letter. Most queries will be responded to using the same modes of communication either immediately or within two weeks of the request being submitted. More complex matters may take longer to resolve.

In addition, the TMU and SET staff Rapid Response Teams who undertake regular field visits to a sample of PAAs where the programme is preparing for operation or under implementation.
These teams are responsible for conducting regular visits throughout the country to provide on-the-job advice and support based on demand. Rapid Response Teams (RRTs) both provide front line implementers with coaching and support to address any practical problems they face in programme implementation; and generate feedback about any aspects of programme design which are problematic and unclear. Programme Officers and other TMU staff provide the majority of staffing for these teams, but other sector staff (who also know about TASAF procedures) may be brought in as well.

In most cases the TMU will select a sample of PAAs to visit, but PAAs can also request that an RRT visit be made. It may not be possible to respond to all such requests immediately, but every effort will be made to conduct an RRT to a requesting PAA within three months of the request.

5.6 **Provision of Key Equipment**

Each PAA is expected to have adequate equipment to manage TASAF III. A package of equipment is provided for each PAA as they join the programme. This comprises of:
- One computer, printer and accessories
- One fax machine
- One photocopier
- One air conditioner
- One motor vehicle

Officer furniture is the responsibility of the participating PAA and is not provided by the programme. Stationary and other incidentals can be purchased using funds allocated to the PAA for facilitation, monitoring and administrative expenses.

5.7 **Participation**

Participation of beneficiaries, households, communities and other stakeholders is promoted and facilitated in all stages of implementation of components of the Programme. Guidelines on participation provide details of activities performed in all stages, and key players and entities responsible. The guidelines are provided to the beneficiaries, households, communities, facilitators and other stakeholders involved in the implementation, in order to guide and facilitate participation process in various activities supported and implemented.

5.8 **Communication**

A Communication Strategy is in place to support the orientation of key stakeholders, facilitators, community members and beneficiaries. This strategy focuses on ensuring that key stakeholders understand programme objectives, approaches and components. It also focuses
on ensuring that key aspects of the programme including targeting as well as transfer and other programme entitlements are understood. This ensures that programme beneficiaries and stakeholders are accountable. The Communication Strategy uses a range of communication methods and channels including:

i) Print media (brochures, posters, newsletters)
ii) Media outlets (TV, Radio and Newspapers)
iii) IEC (Information Education Communication) materials for orientation sessions.
iv) Chart of rights and responsibilities shared with all programme beneficiaries. This clearly presents the expected rights to the programme, programme benefits as well as beneficiaries responsibilities to the programme.
v) Press releases (electronic and print media).

5.9 Research and Development

The Research and Development sub component aims to learn lessons from TASAF III implementation and seeks to find ways to improve the programme in the future through research and pilots. While it is linked to, and informed by, the M&E system the Research and Development sub component is distinct because it has the flexibility to undertake research, commission studies and pilot activities not currently envisioned under the Monitoring and Evaluation system.

Research and Development (R&D) in TASAF III has a dual purpose:

a) To contribute to finding solutions to immediate operational challenges of project implementation, and
b) Provide a basis for a more long-term platform for promoting learning and knowledge sharing and consulting in social protection and community driven development operations.

R&D comprises three main areas of activity:

1. **Studies** to explore issues which emerge through informal reports and anecdotal evidence. These studies may focus on aspects of programme implementation where challenges in implementation are being reported, or areas which are of particular interest to programme stakeholders.9

2. **Partnerships with Academic Institutions** to enable their Masters and Doctorate students to conduct their academic research on issues related to TASAF III.

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9 Similar programmes elsewhere have looked how to link safety nets to livelihood activities, safety nets and urban areas, and how safety nets operate for populations with different occupations (pastoralist, agriculturalist etc.). In the past the R&D section has commissioned studies and evaluations linked to the pilot Community Based Cash Transfer Programme.
3. **Action research** such as pilots or trialling of alternative programme modalities. One such trial is likely to be launched following a process evaluation in year two. The subject of the trial will depend on the results of this evaluation and will aim to find alternative modes of implementation in areas where difficulties are being experienced. The trial will be designed in a way which will ensure that the Independent Evaluation outlined in Chapter 11 can contribute to the assessment of its impact.

The development of the TASAF III research agenda and strategy agenda is an on-going process fusing the internal operational experience of TASAF staff with external expertise. It also is in line with the National Strategy for Growth and Reduction of Poverty (NSGRP) and the National Social Protection Framework. An initial Research Agenda and Strategy is in place, but will be regularly updated during programme implementation.

The outcome of R&D work includes publications that pull together some of the work done by social protection practitioners from the TMU, PAAs as well as studies and research undertaken by post graduate students from institutions of higher learning within and outside Tanzania. In addition regular knowledge exchange forums are convened to support the dissemination of information and the exchange of ideas.
6.1 Introduction

TASAF III is expected to bring about a number of positive changes in the lives of poor Tanzanians: providing income to allow households to meet short-term consumption shortfalls; encouraging households to make use of key health and education services for children; supporting public works which address environmental problems and improve the productivity of the area; enabling households to invest in future livelihoods; and constructing key social infrastructure to meet gaps in service provision. Despite these expected positive impacts, there is the risk that the programme may have some unintended negative impacts.

Box 1: Examples of potential negative impacts
- A poorly sited and constructed labour intensive road concentrates rainfall run-off leading to soil erosion
- Introduction of exotic plant species in a reforestry sub project which then crowd out local species
- Creation of a woodlot or enclosure of degraded land for replanting disrupts customary access to grazing resources
- A public works or targeted infrastructure sub project may require land, displacing or restricting access by current owners or users
- Decision making processes may exclude minority groups including those classified as indigenous peoples and therefore fail to take into account their needs or protect their interests.
- Programme targeting may create or increase social tensions, and/or show preferential treatment to certain groups of people (at the expense of others who are equally or more in need).

The World Bank has a series of safeguard policies to ensure that supported interventions do not have unintended negative impacts. These safeguard policies often back-up existing recipient country legislation which has a similar purpose. Three safeguard policies have been triggered:
- Environmental Assessment
- Involuntary Resettlement
- Indigenous Peoples

The Environmental Assessment policy has been triggered to enable reviewers identify potential adverse environmental impact of public works or targeted infrastructure subprojects, assess the impacts, design and implement measures and plans to avoid, minimize, mitigate or compensate for adverse impacts including development of associated management and monitoring measures. The Involuntary Resettlement policy has been triggered because of the potential that
public works or targeted infrastructure sub projects may require land displacing or restricting access by current users.

TASAF III will generate potential benefits to Indigenous Peoples and may also lead to some impact on these groups. However, due to the demand-driven nature of the project, the areas where the subprojects will be implemented and whether there are Indigenous Peoples in those areas are not yet known. Therefore, given the likelihood that TASAF III will be implemented in areas where Indigenous Peoples are present, OP 4.10 was triggered and the IPPF has been prepared to guide project interventions. The purpose of the IPPF is to ensure that the development process fully respects the dignity, rights, economies, and cultures of Indigenous Peoples. Therefore, subprojects to be financed under TASAF III will be screened and if Indigenous Peoples are present in, or have collective attachment to the subproject area, a subproject-specific Indigenous Peoples Plans (IPP) will be prepared. Subprojects will not be implemented until the associated IPP has been developed in agreement with the affected Indigenous Peoples communities, cleared and disclosed.

Subprojects under TASAF III will ensure that any negative impacts on Indigenous Peoples affected by the project are mitigated and positive impacts are enhanced based on free, prior, and informed consultation. At the preparation phase, negative impacts (if any) will be identified and their related mitigation measures will be provided. Indigenous Peoples Plans will be developed based on the social assessment which will provide practical measures to address adverse effects and to ensure project benefits in a culturally appropriate manner. Gender considerations will be factored into the subproject implementation processes. Grievance mechanism will be incorporated to ensure the voice of these groups is heard.

6.2 Implementation Strategy
The three safeguard frameworks have varying implications triggered by different aspects of programme implementation. Whereas the Environmental and Social Management Framework and the Resettlement Policy Framework apply only to sub projects under the Public Works, Targeted Infrastructure and Livelihoods Grants component and sub components, the Indigenous Peoples Policy Framework applies to all aspects of programme implementation in districts and villages where such groups live.

6.2.1 Indigenous Peoples Policy Framework
An initial social assessment is prepared for all aspects of programme implementation (targeting as well as all programme components) in all selected villages in which the ethnic groups identified as Indigenous Peoples live. This assessment includes information on the demographic, social, cultural, and political characteristics of
Indigenous Peoples living in the area, as well as an initial assessment of any potential issues arising from implementation of the programme in the light of the presence of Indigenous Peoples.

As sub projects are identified, sub projects will be screened to assess potential negative impacts of interventions and appropriate mitigation measures will be identified and incorporated into sup-project plans.

In addition to screening and mitigation measures for specific public works, infrastructure and livelihood enhancing grant sub projects; other key aspects of programme implementation (targeting, cash transfers and community savings groups) must also be screened for potential negative impacts and necessary mitigation measures identified and incorporated into programme implementation. The results of the screening and development of mitigation measures form the Indigenous Peoples Plans of the sub projects and the sub components. The table below summarizes the procedure to be followed.

<table>
<thead>
<tr>
<th>Subproject stages</th>
<th>Procedures</th>
<th>Process and outcome indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subproject identification and planning stage</td>
<td>Identify locations of the IP in subprojects sites</td>
<td>IP screening checklist</td>
</tr>
<tr>
<td></td>
<td>Identification of indigenous community stakeholders</td>
<td>List of all indigenous communities in the subproject area</td>
</tr>
<tr>
<td></td>
<td>Sensitization and consultation through focus group discussion with indigenous committee groups</td>
<td>Documentation of the number of discussions and minutes of the meetings</td>
</tr>
<tr>
<td></td>
<td>Identification of environmental and social issues affecting IP and possible impacts</td>
<td>Documentation of issues</td>
</tr>
<tr>
<td></td>
<td>Consultations to establish existing concerns related to:</td>
<td>Justification for preparing IPP</td>
</tr>
<tr>
<td></td>
<td>- Land availability and tenure</td>
<td>List of spatial and non spatial issues</td>
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<tr>
<td></td>
<td>- Current livelihood options</td>
<td></td>
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<tr>
<td></td>
<td>- Access to</td>
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<tr>
<td>Subproject stages</td>
<td>Procedures</td>
<td>Process and outcome indicators</td>
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<tr>
<td></td>
<td>infrastructure</td>
<td></td>
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<tr>
<td></td>
<td>• Access to local government service</td>
<td></td>
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<tr>
<td>Discussion of possible interventions measures through subprojects, their likely impacts and safeguards measures to be incorporated</td>
<td>List of safeguards measures.</td>
<td>List of subprojects impacts</td>
</tr>
<tr>
<td>Participatory approach to be taken up to involve IP in finalizing subproject plans</td>
<td>Measures undertaken in complying with IPP</td>
<td></td>
</tr>
<tr>
<td>Implementation stage</td>
<td>Implementation of safeguards measures</td>
<td>Measures taken as identified in safeguards framework</td>
</tr>
<tr>
<td>Post-implementation</td>
<td>Evaluation of safeguards undertaken</td>
<td>Indicators developed for evaluation of subprojects impacts</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Listing of modified tasks to be implemented for improving IP living standards/livelihoods</td>
</tr>
</tbody>
</table>

In deciding whether to proceed with the subproject, and on the basis of the social assessment and free, prior, and informed consultation, TASAF III will examine whether the affected Indigenous Peoples’ communities broadly support the subproject.

The social assessment, sub project screening and development of mitigation measures are facilitated by relevant members of the PAA Management Committee in consultation with the Village Council and appropriate cultural leaders.

Further details on how to implement safeguards related to Indigenous Peoples including consultation procedures, and relevant checklists and forms can be found in the Indigenous Peoples Policy Framework.
6.2.2 Environmental and Social Management Framework

All Public Works and, Targeted Infrastructure and Livelihoods Enhancement sub projects must be screened to assess whether any sub project is likely to have potential negative environmental and social impacts. The community, facilitated by PAA staff including the Environment Officer, conducts screening using sector environmental checklists, scoping and preliminary impact assessment. The screening determines whether there is/no need for any further action (because there are no potential negative impacts), or whether further analysis and the development of mitigation measures are required.

Any sub project identified as having potential negative environmental impacts, triggers to scoping, Preliminary Environmental Impact Assessment, development of environmental and social management plans, review and approval. This assessment is conducted by PAA Planning Team/Local Environmental Expert. The mitigation measures and their associated costs are then incorporated in the sub project proposals. Detailed information, and the required forms and formats, on how to mainstream the environmental assessment process into the sub project cycle are detailed in the ESMF.

Environmental safeguard issues are considered during PAA appraisal of sub projects. The CMT will generally reject a sub project proposal that will be found to have very costly (in comparison to the project cost) mitigation measures.

6.2.3 Resettlement Policy.

All Public Works, Infrastructure and Livelihoods Enhancement sub projects are screened by filling a specially designed form during sub project identification process. This determines whether or not the proposed sub project entails acquisition of land, the required area and availability. If a sub-project requires land or any other assets, screening is carried out to identify the areas or sites expected to suffer resettlement impacts due to land acquisition or restriction of access to resources.

At this stage, communities may decide to drop the sub project on that basis. If they decide to continue with the sub project, they will be advised and assisted (by relevant PAA staff) to prepare a Resettlement Action Plan for the Project Affected Persons. The following procedural guidelines applies when it is determined that a Resettlement Action Plan would be developed:

(i) All potential PAPs should be identified (through a scoping exercise) and be informed about their options and rights
pertaining to the compensation for land and assets to be acquired by the sub-project(s);
(ii) PAPs must be consulted about land acquisition and compensation and offered technical and financial options, including the most economically feasible alternatives;
(iii) PAPs should receive reasonable compensation at full replacement cost for losses of assets and access attributable to the sub-project; and
(iv) Sub-projects specific Grievance mechanisms should be established which are easily accessible to the PAPs.

A full description of the process of how to address resettlement issues, and the required forms and formats, can be found in the Resettlement Policy Framework.

Resettlement safeguard issues are considered during PAA appraisal of sub projects. The PAA Management Team will generally reject a sub project proposal that will be found to have very costly (in comparison to the project cost) mitigation measures.
CHAPTER 7
FINANCIAL MANAGEMENT, DISBURSEMENT AND ACCOUNTING

7.1 Introduction

A strong financial management system is critical for effective programme implementation and for ensuring programme accountability. Programme implementation is dependent on it because the need for the timely provision of funds to the correct implementing agency to finance implementation. This is particularly critical for a safety net programme where delays in cash transfers to beneficiaries can undermine the predictability and therefore effectiveness of the intervention. Strong and transparent record keeping, the implementation of effective internal controls and a timely and accurate reporting system all contribute to an accountable and transparent system in which key stakeholders, including development partners, the Government, and Tanzanian citizens, can have trust.

TASAF III maintains the Directorate of Finance whose main function is the development and maintenance of a sound Financial Management and Accounting Systems (FMAS) to support TASAF III activities at all levels i.e. at TMU, PAA and Communities. The key elements of this Financial Management and Accounting Systems include:

- Planning and budgeting
- Flow of Funds
- Proper Accounting
- Internal Controls, and
- Reporting

These elements are described in the sub-sections below. Detailed instructions for the FMAS can be found in the Financial Management and Accounting Systems Manual.

Implementation of the FMAS requires an adequate number of staff with relevant Accounting and Financial Management skills. These include staff in the TMU, but also PAA financial staff who will be trained in the TASAF III financial accounting procedures.

A final key element of an effective financial management system is appropriate audit arrangements. Such arrangements are described separately in Chapter 9.

7.2 Elements of the Financial Management System

7.2.1 Planning and Budgeting

Annual planning and budgeting for TASAF III takes place from November to April of each year. Plans, and accompanying budgets, are initiated at community level before being consolidated and
enhanced first at PAA level. PAA plans and budgets include plans for all programme components, including cash transfers and community identified sub projects, as well as PAA implemented activities such as training and supervision.

PAA plans and budgets are then consolidated at a national level, and are supplemented with plans and budgets for regional supervision and TMU implemented activities. The Annual TASAF III budget is finalised in April of each year and incorporated in the National Budget. A copy of approved TASAF III Annual Plan and Budget will be submitted to Development Partners on or before 31st May each year.

<table>
<thead>
<tr>
<th>Box: Formula for Determining Annual TASAF III Budget for PAAs</th>
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<tbody>
<tr>
<td><strong>PSSN</strong></td>
</tr>
<tr>
<td><strong>Cash Transfers</strong></td>
</tr>
<tr>
<td>Sup-project or direct project costs</td>
</tr>
<tr>
<td>88%</td>
</tr>
<tr>
<td>Programme Administration</td>
</tr>
<tr>
<td>12%</td>
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</tbody>
</table>

### 7.2.2 Flow of Funds

The Treasury has opened a designated account with the Bank of Tanzania through which the IDA and Development Partners channel their funds. The TMU operates a Project account with a commercial bank for receiving funds from designated account and for disbursement. From this account the TMU disburses funds:

- Through payment agencies to beneficiaries;
- To the PAAs for all other aspects of programme implementation and for PAA facilitation and supervision, Ward and village level implementation; and
- To the regions for monitoring and supervision.
The following diagram depicts the flow of funds:

Replenishment of funds at a national level is triggered by the level of the balance in the Designated Account.

Disbursements to the PAAs are effected upon receipt of approved applications/requests as per programme procedures. The requests take into account the need for pre-procurement by CPWMCs of items.
required for public works as well as the expected timing of training
and supervision activities.

Disbursements to payment agencies are triggered by payrolls
generated by the Cash Transfer Module of the Management
Information System. Agreements with payment agencies stipulate
timely and secure transfer of funds to beneficiaries as well as a
reliable reporting system on progress in making transfers. Payment
agencies may include banks, SACCOs, mobile phone companies and
any other financial institution registered by the Central bank
depending on their ability to make timely payments to programme
beneficiaries in selected programme areas. In areas with little or no
coverage by commercial payment agencies, Community Management
Committees (CMCs) may be contracted to provide this service.

7.2.3 Proper Accounting

All payments made by TASAF III follow strict accounting procedures
regarding payment requests and approvals. Each payment request is
approved by the designated budget vote holder, to ensure that the
responsible person is aware of all expenditure incurred and is
managing the budget appropriately. Approval powers and limits shall
comply with the Public Finance Regulations. The TASAF III Financial
Management Handbook provides details and how to administer them.
Financial staff shall further verify and approve payments to ensure
proper coding of all payments and accountability of utilised funds.

Financial accounts are maintained on an accrual basis of accounting
in accordance with International Financial Reporting Standards in a
computer based standard Financial and Accounting software package
(EPICOR).

If desired, development partners can request that their funds only be
used to finance certain aspects of programme implementation. Such
requests will be formalized in legal agreements. Separate codes shall
be created in the chart of accounts to track down the usage of these
funds for reporting purposes.

7.2.4 Internal Controls

A number of internal controls are built into the system to ensure the
highest level of accountability, to minimize abuses of the system, and
to facilitate early detection of any abuses. These internal controls
include:

- A well defined approval processes
- Segregation of duties
- Regular reconciliations of accounts
- Compliance with applicable laws and regulations
- Good and reliable reports.
The internal controls are further elaborated in the Financial Management Accounting System Manual.

7.2.5 Reporting

The Financial Management System captures and tracks all the financial transactions in such a way that financial reports can be produced online to monitor performance and ensure accountability of funds. The system can produce unaudited interim financial report (IFR) and draft financial statements for audit purposes. The IFRs, which includes Statement of Expenditure, Financial Monitoring Report (FMR) and Designated Account Activity Statement as per DFA and IDA Disbursement letter, form part of financial management monitoring tool. The financial management system shall comply with the International Financial Reporting Standards.

The financial reporting system mirrors the flow of funds. PAAs receive monthly reports on expenditure from CMCs and quarterly reports from Village Councils\(^\text{10}\) and Wards. They consolidate this information and incorporate any expenditure incurred at the PAA/SVPO level and submit quarterly reports to the TMU. The RASs also submit quarterly reports to the TMU. Reporting by payment agencies to the TMU takes place on an ongoing basis as laid out in signed agreements.

The Directorate of Finance within the TMU is responsible for preparing and submitting periodical financial reports to facilitate TMU decision making and for submission to Development Partners and the Government. These include: monthly, quarterly, and annual reports; and cumulative information on the status of funds. Financial Reports shall be prepared using FMR agreed and approved format. The annual financial statements shall be prepared using International Accounting Standards and shall include additional schedules of supporting information on the accounting policies and notes to the accounts. The TMU shall submit to IDA, Development Partners, President’s Office, Ministry of Finance, and Prime Ministers Office - Regional Administration and Local Government copies of its quarterly and annual financial reports as stipulated in TASAF III Financial Management Accounting Manual.

Submission of FMRs to IDA and Development Partners (DPs) is done within 60 days after the end of the quarter, while the Audited Financial Statements shall be submitted to IDA, DPs and GOT on or before the 31st, day of December each calendar year in accordance with the Loan Change Initiative (LACI) Implementation Handbook, the DFA and the Disbursement Letter.

\(^{10}\) Shehia Advisory Council (Zanzibar) and Mtaa Committee (urban areas) are equivalent of Village Council (rural areas)
CHAPTER 8
PROCUREMENT

8.1 Introduction

Strong procurement procedures will improve the efficiency and effectiveness of the implementation of TASAF III through:

- The timely purchase of needed goods and services which ensures they are available when needed;
- The ability to achieve value for money through the use of competitive processes; and
- The use of transparent and accountable systems which both engender trust by programme stakeholders, and safeguard the reputations of the programme and its implementers.

The objective of TASAF III procurement is to ensure economy, efficiency, transparency and accountability in the acquisition of goods and services for programme implementation.

Procurement takes place at all levels of programme implementation: National, Regional, PAA and Community. Community level procurement is guided by the Community Procurement Handbook and procurement at other levels should follow the procedures laid out in the Procurement and Stores Procedures Handbook. While this handbook is the key guiding document it is based on the regulations laid out in the following documents:

- The World Bank Guidelines for Simplified Procurement and Disbursement of Community Based Investment issued in March 03, 1998
- The Public Procurement Regulations 2005, GN No 97 (Goods, Works, Non Consultancy Services, Consultancy Services and Disposal of Public Assets);
- The Public Procurement Regulations, 2005 GN No 98 (Selection and Employment of Consultants), 2005; and
- The provisions stipulated in the Legal Agreement and the MOU between DPs and the Government.

In the event where there is a conflict between the Tanzania procurement law and World Bank Guidelines described in TASAF Procurement Manuals and Handbooks, the World Bank policies shall prevail.
8.2 Implementation of Procurement in TASAF III

TASAF III makes use of a range of procurement methods to effectively and efficiently purchase the goods and services needed to implement the programme. The procurement methods include international and national competitive bidding, local bidding shopping, single source and a range of mechanisms for recruiting consultant services on the basis of cost and/or quality. A full list of the mechanisms and the levels at which they are commonly used are included in Annex 5.

The sections below explore the main features of procurement activities at four levels:

- Community level
- PAA
- Regional level
- National level

For each level of implementation the sections consider the main actions in relation to procurement, the approaches used, and the key parties responsible.

8.2.1 Community level

The majority of procurement related to sub projects takes place at community level by community management committees. This includes the procurement of tools, materials, transport services, artisans and other skilled labour, technical supervision, stationary and other services.

Procurement is the responsibility of the relevant community management committees. Public works procurement will be undertaken by the CPWMC, targeted infrastructure related procurement – by the TICMC and procurement related to livelihood grants – the management committee of the community savings groups (CSGs). A simplified set of procurement tools have been developed for procurement by these groups which are laid out in the community procurement handbook. These methods include:

- Local Shopping where a contract is awarded competitively on the basis of quotations obtained from three qualified local service providers and/or suppliers in response to a written request for quotations;
- Local Bidding where a contract is awarded competitively on the basis of bids obtained from qualified service providers and/or suppliers in response to a local advertisement in the community;
- Direct contracting from a single source, only when justified and when the contract price is within the PAA market price; and
- Force Account when the communities implement subprojects using their own skilled and unskilled labour.
Decisions on which supplier or service provider is to be contracted or used are made by the full CMC.

CMCs receive training in procurement and the preparation of sub project Procurement Plans from relevant PAA staff. The TMU facilitates this training however training is conducted by Ward level extension staff on the mainland and facilitation teams in Unguja and Pemba with support and oversight from PAAs respectively. They also receive guidance throughout their procurement activities to ensure effective procurement which adheres to guidelines.

**Village Councils** also undertake small amounts of procurement, mainly through local shopping. This includes the purchase of equipment to support safe storage of CMC materials, renovation of the VC office, office furniture and stationary. Decisions on which supplier is to be used are made by the village council.

### 8.2.2 Project Area Authority

**Support to Community Procurement**
The PAAs are responsible for training and providing procurement expertise to CMCs, monitoring of procurement activities at community level and consolidating progress reports from communities on the procurement implementation status of the sub projects and submitting it to RAS for review and subsequent submission to TMU and other stakeholders. In this respect the PAAs:

(i) Provide the community with operational bills of quantities and facilitate micro planning and procurement planning;

(ii) Assist communities with standard technical specifications required in procurement of goods and services, e.g. trees, grasses and other plants, cement, timber, water pumps, etc.;

(iii) Prepare the General Advertisement of Opportunity to Bid (GAOB) and publishes in local newspapers. The GAOB should be updated every time when new sub projects have been approved for support by TASAF and published in local newspapers;

(iv) Maintain and update PAA market price list (data bank) of all basic goods and services that are commonly used in the implementation of the sub projects, not less than forty (40) items in number;

(v) Regularly provide the communities with updated district market unit prices (from the above data bank) to assist their decision making processes;

(vi) Provide procurement expertise to communities and supervision of procurement works;

(vii) Facilitate communities to maintain appropriate community contracting documents; and

(viii) Receive quarterly procurement report from CMC and submit to RAS for review and subsequent submission to TMU and other stakeholders.
Procurement
The PAAs also undertake their own procurement. They purchase stationary, fuel, supplies, and maintenance services for both equipment and vehicles from the administrative budget allocated to them. They will also procure technical supervision services from local service providers using the technical supervision budget line. The following methods are commonly used at PAA level:

- Shopping on the basis of quotations obtained from three qualified local contractors and/or suppliers in response to a written request for quotations;
- Single sourcing of goods or consultant services, only when justified and when the contract price is within the regional market price;
- Local Bidding mainly of consultant services from local service providers related to the technical supervision of works where a contract is awarded competitively on the basis of bids obtained from qualified consultants.

While the above are the most common methods used by PAAs, other methods are open to them and PAA procurement specialists should make themselves aware of the full range of procurement methods and the thresholds at which they come into force. This information can be found in the Procurement and Stores Procedures Handbook.

In most instances procurement at PAA level involves the following key actors:

- The relevant technical department prepare specifications of the goods and services to be purchased
- The Procurement department use these to develop the appropriate bid documents which will then be used to solicit quotes or bids depending on the procurement approach used.
- An independent committee consider the resulting bids and quotes and make a recommendation as to which supplier will be contracted
- A tender board approves the bidding document, the awarding of contracts to the chosen supplier, and other steps when required (shopping of less that TZS 10,000,000 does not require a tender board decision, but can be approved by the head of the procuring entity).

PAAs receive training and technical support on procurement from the TMU. This includes training on: the above procedures, the support they are expected to provide communities and reporting procedures. The PAAs report quarterly on procurement activities.
8.2.3 Regional level

**Supervision and Reporting**
RAS is responsible for strengthening accountability by supervising and monitoring procurement activities as part of overall supervision and monitoring of TASAF III activities. RAS also receives and consolidates implementation progress report from PAAs.

**Procurement**
RAS also undertakes small amounts of procurement using their Regional Monitoring and Supervision budget. Items purchased include stationary, fuel, supplies, and maintenance services for both equipment and vehicles. The majority of supplies will be purchased using the Shopping method outlined above or other acceptable methods. The RAS prepares technical specifications for any procurement, prior to engaging the procurement department in the same way as is used by the PAA.

8.2.4 National level

The Procurement Department of the TMU has overall responsibility for ensuring economy, efficiency, transparency and accountability in TASAF III procurement. They achieve this through four main areas of work:

- Procurement Planning and Management
- Technical Support and Supervision
- Maintenance of a price databank
- Largescale procurement on behalf of the programme as well as procurement for the TMU.

**Procurement Planning and Management**
The initial eighteen months procurement plan was prepared by the Government during project preparation. The procurement plan will be updated annually or as need arises throughout the duration of the project and all subsequent updates are published once approved through the National Media and World Bank. Annual procurement plans include information on approved sub projects.

TMU implements the Procurement Plan in the manner in which it has been approved by the World Bank and reports on actual status of all procurement in quarterly and annual reports.

**Training Support and Supervision**
Relevant TMU staffs are trained in IDA Procurement procedures, and on-going support will be provided from the World Bank throughout the project life. The TMU, in turn, is responsible for the provision of procurement technical support to Regions and PAAs and to monitor procurement activities at all levels. The TMU provides manuals and guidance materials to PAAs alongside regular procurement training.
Monitoring of the procurement activities for the sub projects is supplemented by monitoring by the TMU. Such monitoring includes random field visits and reviews of procurement processes and documentation to ensure that the procedures described in this manual are adhered to and proper records are kept. This process aims at ensuring that programme funds are used appropriately. The TMU is also responsible for conducting ex-post procurement reviews of the adequacy of procurement procedures by the PAAs.

**Price Data Bank**
The TMU maintains a database of market unit prices of commonly procured items for project areas. This database assists TMU staff to determine that pricing of sub projects is transparent and economical as part of the cost control system. The PAAs submit to the TMU specific market unit prices for goods and services for at least 40 of the most commonly required items. Such unit prices should be updated on quarterly basis and submitted together with the progress report.

**Procurement**
The TMU is responsible for a wide range of procurement which includes:

- Programme wide procurement such as packages of support to the PAAs (which include vehicles, computers, and other support); contracting of services to develop MIS systems and the recruitment of consultants to undertake monitoring and evaluation exercises
- Procurement for the items to be used by the TMU such as equipment, stationary, fuel etc.

Due to the large scale and wide range of items procured, the TMU makes frequent use of a large number of procurement methods such as international and national competitive bidding, shopping, single source and various competitive methods for selecting consulting firms or individuals depending on the nature of the services required and procurement thresholds. Details of how and when to use these methods can be found in the Procurement and Stores Procedures Handbook.

In most instances procurement at TMU level involves the following key actors:

- The relevant technical department prepares specifications of the goods and services to be purchased.
- The Procurement department uses these to develop the appropriate bid documents which are then used to solicit quotes or bids depending on the procurement approach used.
- An independent committee considers the resulting bids and quotes and make a recommendation as to which supplier will be contracted.
- A tender board approves the bidding document, the awarding of contracts to the chosen supplier, and other steps when required
(shopping of less that TZS 10,000,000 does not require a tender board decision, but can be approved by the Executive Director).
CHAPTER 9
AUDITING

9.1 Introduction
The purpose of auditing in TASAF III is twofold. Firstly, auditing ensures accountability for funds entrusted to TASAF III for the benefit of poor communities and households by assessing that accounting and reporting is accurate and in line with approved procedures. Secondly, it identifies ways of improving the management and cost effectiveness of project delivery and internal operational activities. Audit activities are divided into Internal, External and Technical audits.

The objectives of the audit function are to:
(i) Ensure that there is proper accountability and transparency at all levels of implementation;
(ii) Ensure that TASAF III stipulated systems of internal controls and financial and accounting procedures are being complied with;
(iii) Ensure that project management processes are in accordance with the OM and DFA;
(iv) Ensure value for money;
(v) Comply with the provisions of the DFA and statutory requirements; and
(vi) Safeguard assets from various types of risks.

Institutions participating in the programme at national, regional, Project Area Authority and Community Level and utilizing TASAF III funds are obliged to:
(i) Cooperate with the teams conducting audits and provide all relevant information;
(ii) Act on the audit recommendations in an appropriate manner including addressing the weaknesses identified in the audit reviews expeditiously.

9.2 TASAF Auditing Procedures
9.2.1 Internal Audit
Internal audits assist the management to ascertain that the system of controls is operating as it should and assess risks of operations and ways of managing these risks. Internal auditing activities are undertaken at two levels:

(a) Project Area Authorities Level
The existing Internal Audit Offices in PAAs provide internal audit services of activities being financed from the Project in their jurisdiction in accordance with the Internal Audit
Guidelines issued by the TMU. Reports from these internal audits are used by the relevant levels management within the PAAs (both at PAA level and at communities) to improve the system of controls; and are forwarded to the TMU on a quarterly basis.

(b) **TMU level**

Internal Auditors at TMU conduct financial and non-financial audits of TASAF supported activities. This includes assessment of TMU level activities as well as conducting spot audits and operational audits as per the approved audit plan, and Special Audits (investigative audits) when a need arises. The reports are shared with respective accounting officers at the TMU and in the Project Area Authorities. The Directorate of Audit is responsible for compiling PAAs’ Internal Audit Reports on quarterly basis for submission to the Management and Audit committee. A summary of Audit Committee deliberations is submitted to NSC.

**9.2.2 External Audit**

External audits of TASAF III take place on an annual basis. They audit the annual accounts of the programme by reviewing financial records and processes at the TMU and at a sample of Programme Area Authorities.

In accordance with Public Finance Act, 2001, the NAO has the responsibility for the audit of all government organizations including Local Government Authorities and public corporations and donor funds. The Controller and Auditor General has the power to authorize any person carrying on the profession of accountant to conduct an audit on his behalf. The auditors are required to audit the Project and express an opinion on the Project Financial Statements, in compliance with International Standards on Auditing (IFAC pronouncements). In addition, NAO should issue a detailed management letter containing the auditor’s assessment of the internal controls, accounting system and compliance with financial covenants in the Development Financing Agreement.

**9.2.3 Technical Audit**

TASAF III undertakes periodic Technical Audits to assess the cost-effectiveness and adherence to standards of interventions involving construction (Infrastructure and Public Works Sub projects). Technical Audits are contracted out to consultants with the required expertise by the TMU. The resulting reports are shared with NSC, Development Partners and other relevant stakeholders.
CHAPTER 10
INSTITUTIONAL ARRANGEMENTS

10.1 Introduction

TASAF III institutional arrangements build on progress made in TASAF I and II with regards to operating within existing Government structures and under the direction of the Decentralization by Devolution Policy.

Tanzania is divided into 25 geographic administrative regions headed Regional Administrative Secretaries (RAS). There are 163 project area authorities including 161 local government authorities as well as including Pemba and Unguja. These authorities are headed by the district executive director/municipal director (DED/MD). Below the district is the ward level headed by the ward executive officer. The lowest level of government is the village council/shehia (for Zanzibar) with a village executive officer.

At National level, the National Social Protection Framework set by the Government of Tanzania mandates TASAF as one of the lead agencies for operationalizing social protection, while at Regional, Zanzibar and Project Area Authority11 level existing Government entities provide the main programme staffing.

10.2 National Level

At the national level, TASAF is under the President’s Office with oversight vested in the National Steering Committee (NSC). Members of the NSC are drawn from the public and private sectors and with tenure of three years12. The NSC members are appointed by the President of the United Republic of Tanzania. The composition of the NSC takes into account the sector ministries that have a safety net mandate which include the State House, Ministry of Health and Social Welfare, Ministry of Community Development, Gender and Children, Ministry of Labour, and Ministry of Finance. Other ministries have a technical mandate in the implementation of TASAF III, such as Ministry of Finance, Vice Presidents’ Office (Environment Division), Disaster Risk Management Unit, Ministry of Works, Ministry of Agriculture and Food Security, Health, Education, Prime Minister’s Office-Regional and Local Government Administration (PMO-RALG).

The NSC is responsible for setting policy, clearing the annual work plans and budgets, as well as reviewing the progress reports and monitoring the impacts of the TASAF III activities.

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11 Project Area Authority is used as a term which, for the purposes of TASAF III, includes Local Government Authorities, the islands of Pemba and Unguja and municipal councils.
12 Members can serve up to two terms on the NSC.
The **TASAF Management Unit (TMU)** is responsible for the day-to-day operation of TASAF and ensuring that programme implementation is in accordance with the Operational Manual and other guidance; and is answerable to the NSC. The functions of the TMU include:

- Timely disbursement and thorough accounting of programme funds;
- Procurement at national level;
- Recruitment and human resource development of necessary staff;
- Preparation of annual work plans and budgets;
- Monitoring, evaluation and regular reviews of programme design to improve programme quality;
- Large-scale procurement of equipment and services needed for implementation of TASAF III, including the appointment of Payment Agencies to undertake cash transfers and public works wage payments
- Technical guidance and support to programme implementers; and
- The preparation and submission of all financial and narrative reports to the NSC, Development Partners and the Ministry of Finance.

In order to fulfil these functions, the TMU is made of a number of directorates and departments. A full organogram is included as Annex 6.

At the national level, a **Safeguard Team** has been established at TMU to oversee implementation and reporting of safeguard issues. The Sector Experts Team, described below, is responsible for checking whether environmental assessment has been carried out for each funded sub project. It also checks whether resettlement and indigenous peoples’ issues, where applicable, have been addressed adequately. If the environmental assessment, resettlement and indigenous people processes have not been carried out, the TMU will request the relevant operational areas to ensure that safeguard policies are completed before sub project funds are released.

The existing **Social Protection Thematic Working Group** (SPWG) continues to meet regularly on the broad range of social protection issues and programs in Tanzania. Development partners of PSSN and their Government counterparts form a new sub-committee of this working group to facilitate regular oversight of the programme. Government members of this sub-committee are made up of the Chair of the SPWG, the Executive Director and required technical staff of the TMU, and the Chair of the NSC or his/her delegate. The donor lead for PSSN supervision missions (which may shift between Development Partners), acts as donor lead for the sub-committee, which is chaired by the appropriate member of the Government team. For the first eighteen months of implementation, this sub-committee are meeting
monthly in order to support the effective roll-out of the PSSN. The sub-committee reports regularly to the SPWG on programme progress and the findings of relevant programme assessments and evaluations.

10.3 Mainland

10.3.1 National

A Sector Experts Team (SET) constituted from senior sector experts, chaired by Director of Local Government in the PMO-RALG supports the NSC. The functions of the SET include the following:

i) Link the project with other programmes, projects and initiatives in their respective sectors so as to avoid duplication;

ii) Ensure compliance to TASAF III - PSSN safeguards policies (Environmental and Social Management; Resettlement Policy Framework; and Indigenous People Policy Framework);

iii) On a sample, basis pre and post review Public Works (PW) and Infrastructure sub projects submitted for NSC approval for conformity with sector norms and standard;

iv) Participate in supervision/review missions organized by DPs so as to provide required input regarding their sectors and be updated on the changes introduced for purposes of improving performance.

v) Provide technical support to PAAs to define multi-year interventions in PW;

vi) Review quarterly implementation reports prior to submission to NSC.

10.3.2 Regional Level

At the regional level, the Regional Administrative Secretary (RAS) appoints a TASAF focal person from among the Regional Secretariat staff to liaise with PAA Directors in the respective region and get and consolidate implementation progress reports from PAAs. The RAS strengthens accountability by reviewing trends in PSSN funded activities. The RAS reviews and forward reports produced by the TASAF focal person to PMO-RALG and TASAF. TASAF allocates resources for the regions for effectively monitoring of the project, especially for production of reports by the PAAs.

10.3.3 PAA and Ward Levels

At the PAA level the programme is managed by PAA Director\textsuperscript{13} who has overall responsibility for all operations in LGAs and other PAAs. The existing PAA Finance Committees \textsuperscript{14} have responsibility for approval of Respective PAA Level TASAF III activities (including sub projects and components) and ensuring prompt and efficient oversight

\textsuperscript{13} Town Director/City Director/ Municipal Director for urban councils and District Executive Director for district councils

\textsuperscript{14} Refers to Finance, Administration and Planning Committee for District Councils; and Finance and Administration Committee for Urban Councils
of implementation of the TASAF III activities, as they do for other activities happening within PAA. TASAF shall enter into a Memorandum of Understanding (MoU) with the Director from each PAA. The MoU will clearly articulate roles and responsibilities of the parties, as it relates to TASAF supported activities.

The PAA Director appoints a **Focal Person or Coordinator** for TASAF activities and an Accountant to handle financial matters (including the consolidation of the public works payrolls for entry into the MIS). The Coordinator is expected to work full-time on TASAF III activities and coordinates the day-to-day TASAF activities: consolidating annual public work plans; ensuring timely disbursement of funds for public works procurement; preparing and submitting quarterly financial and physical performance reports; monitoring programme progress; and coordinating IEC and capacity building. A temporary Data Entry clerk will be recruited to support the entry of baseline and Proxy Means Testing data following the initial community identification of eligible households. The cost of maintaining the data entry clerk will be borne by the TMU.

The coordinator is supported by the multi-sectoral Council Management Team (CMT). These, already existing, CMTs play key roles in supporting all four components of TASAF III. CMT meetings review plans, progress reports and other areas of programme implementation in their regular meetings. Members of the CMT work with the coordinator on specific areas of programme implementation relevant to their sector. CMT members assist in the implementation of the overall targeting of the programme by training and providing oversight for the community targeting exercise. They further support the cash transfer component by coordinating with schools and health service providers with responsibility for monitoring adherence to co-responsibilities. In support of public works, CMT members facilitate village level multi-year participatory planning, support the detailed design of public works prioritized during the annual planning exercise, appraise and approve annual public works plans, and support public work implementation. Relevant CMT members also provide awareness raising regarding the value of savings to TASAF III beneficiaries as well as specific training and support to savings groups once they are formed.

Specific CMT members are be nominated to ensure proper implementation of **Safeguards**. Three members are be nominated:

- An environment officer to ensure implementation of the ESMF (often from the Natural Resources sector, but also community development, land or other sectors with relevant experience);
- A person responsible for resettlement issues (usually from the land office); and
- A person responsible for supporting Indigenous People (usually from the division of culture).
TASAF employs and place one Technical Assistant (TA) for each PAA to provide technical support in areas of implementation (project and financial management) and reporting. The TA reports on a day-to-day basis to the PAA director, but also has reporting responsibilities to the TMU. The Technical Assistant supports the Coordinator and other PAA staff to follow programme procedures including ensuring timeliness of transfers. He/she also participates and provides technical support to trainings, assessment and in reporting.

The CMTs may identify Local Service provider operatives with relevant skills and experience which could augment capacity at the PAA level in various areas of programme operation (targeting, public works etc.). The CMT outsources areas of technical support or supervision using approved contracting methods.

Ward level extension staff lead community level sensitization, training and participatory planning with support and oversight from the CMT. Where there is need for specialist knowledge inputs, such as engineering interventions this shall be undertaken by the respective PAA sector expert, or Local Service Provider.

Public works and cash transfer payments are undertaken by Payment Agencies with adequate local outreach. Payment agencies will be selected by TMU using appropriate procurement methods (and informed by an assessment of coverage) and may include mobile phone providers, banks, micro-finance institutions etc.

10.4 Zanzibar

10.4.1 Office of the Second Vice President (SVPO)
TASAF III is coordinated by the Office of the Second Vice President (SVPO). The SVPO appoints Coordinators for Pemba and Unguja and Focal Person in the office of SVPO to oversee all TASAF III operations and a Memorandum of Understanding is signed by the Principal Secretary.

10.4.2 Sector Experts Team
A Sector Experts Team (SET) constituted from senior sector experts is chaired by the Director of Coordination in the SVPO. The functions of the SET in Zanzibar and the Mainland are similar.

10.4.3 Steering Committee (SC)
Unguja and Pemba each has a Steering Committee (SC) that perform similar functions to the PAA Finance Committee. Composition of the Steering Committee is shown in Annex 8.
10.4.4 Management Team (MT)

Unguja and Pemba each has a Management Team (MT) with responsibilities similar to the PAA Council Management Team (CMT). The composition of the Management Team is shown in Annex 9.

10.5 Village/Shehia/Mtaa level

The existing Village Council/Shehia Advisory Council/Mtaa Committee and Village Assembly plays a key role in programme oversight with a number of specially constituted community management committees (CMC) playing key operational roles.

The basic and conditional cash transfer component is managed by a Community Cash Transfer Management Committee (CCTMC) which also has responsibility for conducting the initial household identification process as part of the programme targeting. This CCTMC, elected by the community, identifies poor and vulnerable households, collects the required data to enable the PMT to verify targeting, and monitors and supports compliance with co-responsibilities.

Public Works implementation is managed by a Community Public Works Management Committee (CPWMC) which is selected by the public works beneficiaries from amongst their number. This committee oversees the day-to-day management of public works, procures inputs required, recruits any skilled or semi-skilled labour or support, and maintains attendance records for submission to the PAA.

Targeted Infrastructure implementation is managed by a Targeted Infrastructure Community Management Committee. This committee oversees the day-to-day management of a targeted infrastructure sub project; procures materials, works and services; and reports on sub project progress.

The Village Council (VC)/Shehia Advisory Council (SAC)/Mtaa Committee (MC), has overall responsibility for the economic and social development of the village/Shehia/Mtaa and oversees the work of the above committees. The VC/SAC/MC, supported by the Village/Shehia/Mtaa Executive Officer\(^\text{15}\):

- Ratifies the selection of the above committees, after endorsement by VA/Shehia/Mtaa meeting and officially delegates to them responsibility for component implementation.
- Receives progress reports from the relevant community committees

\(^{15}\) The VEO works as a village secretary with responsibilities for minutes, record keeping and general documentation.
• Presents quarterly reports to the Village/Shehia/Mttaa Assembly
• Endorses CMC quarterly reports and ensures they are submitted to the PAA.
• Supervises the process from pre-project cycle to post completion stage; and
• Provides store premises and security.

The VC/SAC/MC also works under the PAA CMT to facilitate the multi-annual participatory planning process for public works to ensure that a range of sections of the community are consulted in the development of the plan. Once the multi-annual plan has been approved by the Village Assembly (described below), and the annual prioritization process, the VC/MC forwards the resulting plans to the PAA.

The Village Assembly/Shehia Assembly/Mttaa meeting:
• Elects the Community Management Committee responsible for targeting and for the Cash Transfer sub component.
• Reviews and adjusts the beneficiary list generated by the community targeting and Proxy Means Test before approving the final beneficiary list;
• Plays a key role in the public works planning process during which they participate in the prioritization of activities for the annual public works plans.
• Endorses the proposed members of the Community Management Committees responsible for sub component and sub project implementation.
• Receives and discusses sub project progress reports submitted by the VC/SAC/MC

Communities play key roles in ensuring that Safeguards are adhered to. They are responsible for filling the various screening forms\(^\text{16}\). The planning teams (or extended PRA teams) facilitate and guide communities in filling these. The community is also be responsible for monitoring implementation of the Environmental Management Plan, and Indigenous People’s Plan (IPP), where applicable, during implementation.

\(^{16}\text{These forms can be found in the respective framework documents.}\)
CHAPTER 11
PERFORMANCE MANAGEMENT AND MONITORING AND EVALUATION

11.1 Introduction

The overall objective of Monitoring and Evaluation (M&E) is to ensure better planning, targeting, and implementation of programme components through efficient and reliable feedback of information to relevant stakeholders and timely decision making. As such the TASAF III Monitoring and Evaluation system aims to:

(i) Improve management of programmes at all levels of implementation;
(ii) Improve transparency and accountability with a view to ensuring that resources made available to components and sub project are used to meet the intended purposes;
(iii) Draw lessons from experience so as to improve the relevance, methods and outcomes of sub projects and components; and
(iv) To demonstrate efficient and effective use of resources.

To achieve the objective, a result-based M&E system monitors the project processes on the basis of the following:

(i) A well defined result framework (see Annex 7) that is derived from clearly defined goal, outcomes, outputs and activities with corresponding indicators to measure the achievements of the Project;
(ii) A well defined M&E strategy for project processes, information requirement, tools and methodologies for data collection, analysis and reporting; and
(iii) A comprehensive M&E plan with clear roles and responsibilities as they relate to indicators tracking with respect to data gathering and reporting.

The key elements of this monitoring and evaluation system include:

- Programme monitoring which combines a computerised management information system and regular narrative (and financial) reporting;
- Periodic process evaluations to review programme roll-out and key elements of programme design; and
- An Impact Evaluation which looks at both impacts on households and their perceptions regarding the services they have received.

These elements are described below. Details of the methods used to implement them are described in full in the Monitoring and Evaluation Handbook which also details the M&E strategy and plan.

11.2 Monitoring

Monitoring of the TASAF programme uses a number of tools including:
• Regular financial and narrative reports
• The computerised Management Information System
• Community Score Cards; and
• Rapid Response Teams

11.2.1 Regular Financial and Narrative Reports

All levels of programme implementation provide regular narrative and financial reports:

• Community Management Committees responsible for implementation of various sub components and sub projects submit quarterly financial and narrative reports to PAAs.
• These reports are consolidated at PAA level, and the resulting combined report discussed during PAA Management Team meetings in order that any issues arising can be addressed.
• The consolidated report is then sent to the RAS, who combines it with reports from other PAAs before forwarding to the TMU.
• The TMU reviews reports in order to assess programme progress and identify areas where greater support is needed. They then consolidate reports into a six-monthly report which is submitted to Development Partners and the NSC.

Reports include programme progress (both for the reporting period and cumulative), updates on the implementation of safeguard issues, challenges faced in programme implementation, expenditure and the plans for the coming period.

11.2.2 Computerised Management Information System

The Computerised Management Information System is comprised of the Unified Registry of Beneficiaries and three connected applications:

• The Cash Transfer System
• The Sub Project Tracking System; and
• The Financial Management System

These are described below.

The Unified Registry of Beneficiaries (URB) is a database that lists information of all households considered for the programme, using the data during the community identification of poor households (described in section 2.3.2). The URB: functions as a baseline for the PSSN and Livelihoods Enhancement components; identifies eligible applicants through the community identification of poor households and Proxy Means Testing; and provides an opportunity to link the PSSN with other programmes such as the MVC programme. It is expected that in the medium-term the URB will not only serve for TASAF III, but will become a resource for other programmes seeking to target poor and vulnerable households.
The **Cash Transfer System** of the computerised Management Information System (MIS) supports the analysis of benefits to be paid to programme beneficiaries through all PSSN transfer modalities: Basic Cash Transfer, Conditional Cash Transfer and Public Works wages. All households targeted by the PSSN are listed in the module along with the benefits they are expected to receive. Data concerning non-compliance with programme responsibilities and public works attendance are entered into the module at PAA level, with the resulting payrolls generated at TMU level in order to instruct payment agencies.

The **Sub Project Tracking System** tracks the progress of public works and targeted infrastructure sub project, as well as the performance of Community Savings and Investment Groups. It contains information on funds utilised, what assets have been built and whether or not sub projects have been completed. Subproject information are entered in the system at PAA level.

The **Financial Management System** (also known as EPICOR) is the software used to maintain financial accounts (as described in section 7.2.3). It enables accurate real-time recording of financial transactions as well as a mechanism to easily transmit information between different levels of implementation.

### 11.2.3 Community Score Cards

The community score card is a participatory tool between facilitators and community members to assess the level of satisfaction of the community with the services provided. A sample of PAAs are covered each year by the exercise which is contracted out to firms with the relevant expertise.

### 11.2.4 Rapid Response Teams

Rapid Response Teams undertake regular field visits to PAAs to provide on-the-job advice on programme implementation and to act as an early detection mechanism for challenges in implementation. Their functioning is further described in section 5.5 of Chapter 5: Capacity Building.

### 11.3 Process Evaluation

TASAF III represents a significant shift in programme approach and design. With such substantial changes, it is critical to review the programme design on an on-going basis over the first phase of the programme. The first **process evaluation** will take place after the first year of implementation in which about 10,000 households will be enrolled in the PSSN key institutional elements are in place. A second process evaluation is also anticipated two to three years later.
These process evaluations are complemented by two \textbf{beneficiary assessments} which will elicit feedback from beneficiaries about the systems and structures in place and will serve to: (i) adjust programme settings, as well as sector services (education and health); and (ii) adjust the IEC strategy.

The process evaluation supports the identification of possible pilots and trials described in the R&D section 5.9.

\textbf{11.4 Impact Evaluation}

An \textbf{independent impact evaluation} using randomized sampling will be commissioned at project inception with the purpose of informing the stakeholders if the intended impacts of the programme have been realized. A baseline survey will be conducted at the beginning of the programme (during year one), and follow up surveys after 18 (during year 3) and 36 months (towards the end of year 4 or beginning of year 5) of programme implementation. The terms of reference and selection of implementing firm/organisation will be agreed by key government and development partner stakeholders.

The baseline survey (and subsequent follow-ups) will be conducted in a sample PAAs in which the programme will be launched first and second to ensure an adequate period of evaluation prior to the final follow-up survey. Any trialling or pilots launched as a consequence of the process evaluation (described in 5.9) will occur within this group of PAAs in order to ensure that results can also be assessed using the independent evaluation.

\textbf{Citizen Report Cards} (CRC) are participatory surveys that provide feedback on user perceptions on the quality, adequacy and efficiency of public services. The specific aspects addressed in the survey include availability of service, usage, satisfaction, service standards, major problems with service, effectiveness of grievance redress systems, corruption encountered and other hidden costs experienced by citizens on account of poor service. The first CRC survey will take place after the first year of implementation, subsequent surveys will take place every two years.
ANNEX 1: DECISION TREES SUMMARIZING TARGETING DECISIONS

Stage 1 Decision Tree: Selection of Programme Beneficiaries

Is HH poor and vulnerable

Yes
List HH

No
Don't list

Are the number of listed HHs more or less than the quota given the village plus 20%?

Yes
Rank listed HHs in order of poverty.
And produce final list of HHs equal to the quota plus 20%

No
All HHs go forward to final list

Collect key HHs data for HHs on list

Data entered into database

PMT applied

HH PMT score below threshold
HH name put forward for inclusion in the programme

HH PMT score above threshold
HH name recommended for exclusion for the programme

List of included and excluded HHs presented for community verification at village assembly

Village assembly agree that HHs should be included

Village assembly recommends that HH included by PMT be taken of programme list

Village Assembly may substitute a wrongly included HH for a wrongly excluded HH

List of beneficiary HHs confirmed

Village assembly agrees that HHs should be excluded

Village assembly recommends that HH excluded by the PMT actually be included by the programme

HH comes forward as having been wrongly excluded in the initial HH listing by the CCTMC

Fast track grievance procedure implemented

List of beneficiary HHs confirmed
Stage 2 Decision Tree: Matching of households with relevant programme components.

**HHs assessed for eligibility for different PSSN components**

- **All HHs listed for Basic Transfer**
  - During enrolment HH confirms interest in receiving basic transfer
    - HH indicates yes: Included
    - HH indicates no: Not included as a VCT beneficiary, but does not affect entitlement to basic transfer (or VCT transfer)

- **Does HH have children and /or pregnant woman**
  - During enrolment HH informed of co-responsibilities. Asked whether wishes to participate in programme
    - HH indicates yes: Included
    - HH indicates no: Not included as a VCT beneficiary, but does not affect entitlement to basic transfer (or VCT transfer)

- **Does HH have adult able bodied labour**
  - During enrolment HH informed of PW programme and responsibilities of participants
    - HH indicates yes: Included
    - HH indicates no: Not included as a PW beneficiary, but does not affect entitlement to basic transfer (or VCT transfer)
ANNEX 2: INFRASTRUCTURE COMPONENT SUB PROJECT MENU

Below are some of service packages as per Sector Ministries:

**Education Sector**

i) Construction of Classrooms Project  
ii) Construction of Community Libraries and Resource Centres  
iii) Construction/Rehabilitation of Staff Houses Project  
iv) Construction/Rehabilitation of Toilets Blocks Project  
v) Construction/Rehabilitation of Playground:  
vi) School Furniture (Desks, chairs, tables, shelves, notice boards & cupboards)  
vii) School Environmental Management Programme: (Landscaping, tree/grass planting etc.)

**Health Sector**

i) A functional health care delivery system, with rehabilitated infrastructure, working laboratories, a mixed skill of well motivated staff, supportive communities and compliant patients.  
ii) Reconstruction, Renovation, Rehabilitation and/or Preventive Maintenance of the Health Infrastructure:  
iii) Establishment of Community Health Fund  
iv) Waste Management (Solid Liquid) and Specifically “Medical Waste Management”  
v) Community Transport

**Water Sector**

i) Rainwater Harvesting  
ii) Windmill Water Supply  
iii) Solar System Water Supply  
iv) Protection of Water Sources  
v) Construction/ Rehabilitation of Earth/charco Dams  
vi) Construction/ Rehabilitation of Shallow Wells:  
vii) Construction/ Rehabilitation of Boreholes  
viii) Construction/ Rehabilitation of Piped Water Schemes  
ix) Construction/ Rehabilitation of Water Storage Facilities
ANNEX 3: TRAININGS TO BE PROVIDED BY THE PROGRAMME

1. General awareness raising for key PAA and Regional Staff
2. Cascading training\(^{17}\) on Targeting for PAA staff
3. Cascading training on Cash Transfer component for PAA staff
4. Cascading training on Public Works component for PAA staff
5. Cascading training on public works planning
6. Cascading training on Cash Transfer component for PAA staff
7. Cascading training on Livelihoods component for PAA staff
8. Cascading training on Infrastructure component for PAA staff
9. Cascading training on the management of grievance procedures\(^{18}\)
10. Cascading training of trainers for PAA staff to enhance quality of community trainings
11. Cascading training on safeguard procedures for Regional and PAA staff
12. Financial Management for Regional and PAA staff
13. Internal Audit Procedure training for Regional and PAA staff
14. Procurement Management for Regional and PAA staff
15. M&E training of TMU, Regional and PAA staff
16. MIS training of TMU and PAA staff
17. General awareness raising for the VC and VOE
18. Training of the CCTMC on targeting
19. Training of the CCTMC on management of conditionalities
20. Training of the CPWMC on management of public works
21. Training of TICMC on management of infrastructure
22. Specific trainings of CPWMC on the technical requirements of selected PW or infrastructure
23. Awareness raising for communities on importance of saving
24. Training of CSGs on group management and savings
25. Training of CSGs who receive livelihood’s grants on grant management.
26. Specific trainings of CSGs on livelihood interventions

\(^{17}\) Cascading training is used when training is provided to selected PAA staff, who then cascade training to other relevant PAA and ward members

\(^{18}\) This training will cascade to Village Council Level
ANNEX 4: A COMPLETE LIST OF MANUALS, HANDBOOKS AND GUIDELINES

1. The Operational Manual
2. Targeting for the PSSN Manual
3. Targeting Guidelines for the CCTMC and Village Council
5. Conditional Cash Transfer Guidelines for the CCTMC
7. Public Works Planning Guidelines, including Infotechs
8. Guidelines for the Management of Public Works Sub projects for the CPWMC
9. Grievance Procedure Guidelines
10. Livelihoods Component Handbook
11. Community savings guidelines for CSGs.
12. Targeted Infrastructure Handbook
13. CMC Guidelines for Managing Targeted Infrastructure Sub projects
14. Training handbook
15. Rapid Response Guidelines
16. Communications Strategy
17. Environmental and Social Management Framework
18. Resettlement Framework
19. Indigenous Peoples Framework
21. Procurement and Stores Procedures
22. Community Procurement Handbook
23. Internal Audit Guidelines
25. MIS Handbook
### ANNEX 5: FULL LIST OF PROCUREMENT MECHANISMS AND LEVELS AT WHICH THEY ARE COMMONLY USED

<table>
<thead>
<tr>
<th>Procurement Method</th>
<th>Level at which commonly used</th>
<th>Brief description of when used</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Goods, Works and Non-Consultant Services</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>International Competitive Bidding</td>
<td>X</td>
<td>Goods and services not available in country, or when value is &gt; $500,000</td>
</tr>
<tr>
<td>National Competitive Bidding</td>
<td>X</td>
<td>Value &gt; $50,000 and &lt;$500,000 or there is a lack of information regarding potential sources</td>
</tr>
<tr>
<td>Local Bidding</td>
<td>X</td>
<td>Use for larger scale, higher cost goods, works and services contracted by CMC</td>
</tr>
<tr>
<td>Shopping</td>
<td>X X X X X X</td>
<td>Less than $50,000 and sources known</td>
</tr>
<tr>
<td>Single Source</td>
<td>X X X X X X</td>
<td>Goods or services is so unique can only be provided by one supplier, or other circumstances provided for in guidelines</td>
</tr>
<tr>
<td>Force Accounts</td>
<td>X</td>
<td>When employment of local unskilled workers from within the community is desirable</td>
</tr>
<tr>
<td><strong>Consultant Services</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Quality and cost based selection of firms</td>
<td>X</td>
<td>For larger assignments when both quality and cost are factors for selecting a firm</td>
</tr>
<tr>
<td>Quality based selection of firm</td>
<td>X</td>
<td>Complex assignment where it is difficult to define the TOR precisely</td>
</tr>
<tr>
<td>Selection of consultants (firms) based on consultant qualifications</td>
<td>X</td>
<td>For small assignments when competitive proposals are not justified</td>
</tr>
<tr>
<td>Fixed budget selection of firms</td>
<td>X</td>
<td>When budget is fixed and assignment is simple and can be precisely defined.</td>
</tr>
<tr>
<td>Least cost selection of firms</td>
<td>X</td>
<td>For routine assignments, like audit, where there are well established practices and standards</td>
</tr>
<tr>
<td>Single Source selection of firms</td>
<td>X</td>
<td>Service so specialized only one firm can deliver the service, or other circumstances provided for in guidelines</td>
</tr>
<tr>
<td>Qualification based selection of individuals</td>
<td>X X</td>
<td>For the employment of TMU staff, and for short term assignments (where teams are not required) and technical supervisors when required by the TMU or PAAs</td>
</tr>
<tr>
<td>Procurement Method</td>
<td>Level at which commonly used</td>
<td>Brief description of when used</td>
</tr>
<tr>
<td>-----------------------------------------</td>
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<td>-------------------------------------------------------------------</td>
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<tr>
<td></td>
<td>TMU</td>
<td>Reg.</td>
</tr>
<tr>
<td>Local bidding for NGOs, CSOs or individuals</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Single Source selection of individuals</td>
<td>X</td>
<td></td>
</tr>
</tbody>
</table>
ANNEX 6: TMU ORGANOGRAM

TASAF III Organogram
KEY:

AA - Assistant Accountant
AAO - Assistant Administrative Officer
AD - Accountant Disbursements
AFA - Accountant-Final Accounts
AM - Accounts Manager
AO - Administrative Officer
AOMS - Assistant Office Management Secretary
ASO - Assistant Supplies Officer
CCTM - Conditional Cash Transfer Manager
CM - Coordination Manager
CTSO - Coordination & Technical Support Officer
DCO - Development Communication Officer
DC-S - Development Communication Specialist
DM - Disbursements Manager
GD - Graphic Designer
HRM - Human Resources Manager
IA - Internal Audit
IAM - Internal Audit Manager
ICT-S - Information and Communication Technology Specialist
IDM - Infrastructure Development Manager
KM&AD - Knowledge Management & Advocacy Director
LEM - Livelihood Enhancement Manager
M&E-O - Monitoring and Evaluation Officer
M&E-S - Monitoring and Evaluation Specialist
MISA - Management Information Systems Assistant
MISO - Management Information Systems Officer
M&E-S - Monitoring and Evaluation Specialist
MIS - Management Information Systems Specialist
NSC - National Steering Committee
PAA - Project Area Authority
PAA TA - PAA Technical Assistant
PrM - Procurement Manager
PrO - Procurement Officer
PrM - Procurement Manager
PS - Public Works Program Manager
R&D-O - Research and Development Officer
R&D-S - Research and Development Specialist
R&D-S - Research and Development Specialist
SO - Supplies Officer
SPS - Supporting Staff
SS - Safeguards Specialist
SET - Sector Experts Team
TrO - Transport Officer
URBM - Unified Registry of Beneficiaries Manager

ASSUMPTIONS:
1. Maximum number of Directors reporting to the Executive Director not exceeding six (6)
2. Staffing/skills aligned to the related functions
3. Standardized qualifications and experience across similar levels
4. Lined up to offer services to others, e.g. URB Manager
5. Minimum positions at the level of Director
### SUMMARY:

1. Directors (5)  
2. Managers (10)  
3. Specialists (7)  
4. Officers (36)  
5. Assistant Officers (14)  
6. Secretaries (7)  
7. Support Staff (4)  
8. Drivers (15)  
9. Technical Assistants (162)  
10. **TOTAL STAFF (253)**
### ANNEX 7: RESULTS FRAMEWORK AND MONITORING ARRANGEMENTS

<table>
<thead>
<tr>
<th>Hierarchy of Objectives</th>
<th>Objectively Verifiable Indicators</th>
<th>Means of Verification</th>
<th>Risks and Assumptions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Overall Goal</strong></td>
<td>To contribute to the achievement of the MKUKUTA/MKUZA objectives and through these the millennium development goals.</td>
<td>MKUKUTA/MKUZA M&amp;E System</td>
<td>The economy grows steadily from moderate to high levels</td>
</tr>
<tr>
<td><strong>Development Objective</strong></td>
<td>To enable poor households to increase incomes and opportunities</td>
<td>Impact Evaluation, Commissioned studies, Annual Reports, Quarterly Reports</td>
<td></td>
</tr>
<tr>
<td></td>
<td>1. Proportion of targeted households with increased income (income)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Proportion of targeted households food consumption score &gt; 35 (consumption)</td>
<td></td>
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<tr>
<td></td>
<td>3. Proportion of households with stable or increasing asset level (ability to cope with shocks)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>4. Proportion of children in beneficiary households aged 6-18 years enrolled in primary schools with more than 80% of attendance a month total and disaggregated by age (protecting human capital)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>5. Proportion of women in beneficiary households attending at least 4 pre-natal exams during their last pregnancy (protecting human capital)</td>
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<tr>
<td></td>
<td>6. Direct Project beneficiaries</td>
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<td></td>
<td>7. Female beneficiaries</td>
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<td></td>
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<td></td>
<td>8. Proportion of registered households with updated information on compliance with co-responsibilities</td>
<td></td>
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<td></td>
<td>9. Proportion of caretakers who know their rights and responsibilities in terms of co-responsibilities, programme operations and entitlements</td>
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<tr>
<td></td>
<td>10. % Transfer payments made within 5 days of when they are due, according to the annual payment calendar issued by TASAF in January each year</td>
<td></td>
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</tr>
</tbody>
</table>
## Operational Manual TASAF III

<table>
<thead>
<tr>
<th>Hierarchy of Objectives</th>
<th>Objectively Verifiable Indicators</th>
<th>Means of Verification</th>
<th>Risks and Assumptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Intermediate Outcomes by project Components:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Component 1: Integrated Social Safety Net</td>
<td>i) Public Works</td>
<td>Number of households benefiting from the PW (total male and female, age groups; direct and indirect benefiting from community assets)</td>
<td>MIS database, PAA/Regional Monitoring Reports, Quarterly Reports</td>
</tr>
<tr>
<td></td>
<td></td>
<td>No of person days provided in labour intensive PW</td>
<td>Annual Reports</td>
</tr>
<tr>
<td></td>
<td></td>
<td>% of households who worked the desired 15 days a month</td>
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<tr>
<td></td>
<td></td>
<td>% Share of PW wage bill/total subproject cost</td>
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<tr>
<td></td>
<td></td>
<td>Number of PW projects delivered at the community by type (community selection)</td>
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<tr>
<td></td>
<td></td>
<td>Satisfaction level of the community with the assets created with respect to the expected value of the asset during project selection process</td>
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<tr>
<td></td>
<td></td>
<td>Proportion of households receiving timely and predictable PW benefits</td>
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<tr>
<td></td>
<td></td>
<td>Proportion of communities with climate risk assessment incorporated into a multi year planning</td>
<td></td>
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<td></td>
<td></td>
<td>Proportion of projects identified by the climate risk assessment that include measures for reducing climate risks or increasing climate resilience</td>
<td></td>
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<tr>
<td></td>
<td>ii) Community Savings Promotion</td>
<td>Number of savings groups formed</td>
<td>MIS database, PAA/Regional Monitoring Reports</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Number of people participating in savings</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Average Amount of savings</td>
<td></td>
</tr>
<tr>
<td>Component 1B: Targeted Cash Transfers</td>
<td></td>
<td>Number of households in the CCT Programme (total and disaggregated by gender and age)</td>
<td>MIS database, PAA/Regional Monitoring Reports, Quarterly Reports, Annual Reports</td>
</tr>
<tr>
<td>Component 1C: Systems and implementation of social safety net intervention</td>
<td></td>
<td>M&amp;E system generating regular, timely and adequate reports</td>
<td>Annual Review Reports, Independent Audit</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Comprehensive M&amp;E System (including URB and functional MIS) established in all 162 programme PAAs</td>
<td></td>
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<td></td>
<td></td>
<td>Proportion of registered households with complete</td>
<td></td>
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<tr>
<td>Hierarchy of Objectives</td>
<td>Objectively Verifiable Indicators</td>
<td>Means of Verification</td>
<td>Risks and Assumptions</td>
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<td>--------------------------------------</td>
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<td></td>
<td>information not older than 2 years</td>
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<tr>
<td><strong>Component 2: Capacity Building</strong></td>
<td>• Number of staff trained at district level and number of workshops held for training purposes</td>
<td>MIS database, Community Score Card, Citizen Report Card, Quarterly Reports, Annual Reports</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Community satisfaction with support provided by PAAs</td>
<td></td>
<td></td>
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<tr>
<td><strong>Component 3: Targeted Infrastructure Development</strong></td>
<td>• Number of health facilities constructed, renovated and/or equipped</td>
<td>MIS database, PAA/Regional Monitoring Reports, Quarterly Reports, Annual Reports</td>
<td>Budgetary resources are available to accommodate the increased facilities for provision of services in targeted areas.</td>
</tr>
<tr>
<td></td>
<td>• Number of Improved community water points constructed or rehabilitated</td>
<td></td>
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<tr>
<td></td>
<td>• Number of classrooms built and/or rehabilitated</td>
<td></td>
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<td></td>
<td>• Number of other facilities built and/or rehabilitated for improved learning environment:</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>o Hostel/dormitory</td>
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<tr>
<td></td>
<td>o Laboratory</td>
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<tr>
<td></td>
<td>o Library</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>o Administration block</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>o Staff office</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>o Teachers’ house</td>
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</tr>
</tbody>
</table>
ANNEX 8: COMPOSITION OF STEERING COMMITTEES FOR UNGUJA AND PEMBA

Pemba Steering Committee

1. Regional Commissioner - South Region - Chairperson.
2. Regional Commissioner - North Region - Member
3. District Commissioner - Micheweni - Member
4. District Commissioner - Wete - Member
5. District Commissioner - Mkoani - Member
6. District Commissioner - Chake Chake - Member
7. Hon. Member of Parliament from Konde - Member
8. Hon. Member of Parliament from Chambani - Member
9. Hon. Member of Parliament (Special Seat) - South Region - Member
10. Hon. Member of Parliament (Special Seat) - North Region - Member
11. Hon. Representative (Women - Special Seat) – South Region - Member
12. Hon. Representative (Women - Special Seat) - North Region - Member
13. Hon. Representative from Micheweni - Member
14. Hon. Representative (Youth - Special Seat) - Member
15. Councilor Wawi Ward - Member
16. Councilor Makombeni Ward - Member
17. Appointed Councilor Micheweni District - Member
18. Appointed Councilor Wete District - Member
19. Representative of NGO - Member
20. Officer in- Charge Second Vice President’s Office - Member
21. Technical Assistant - Member
22. PSSN Coordinator - Member
23. Overall PSSN Coordinator, Zanzibar - Member
24. Officer in- Charge, PO – Finance & E/Affairs - Secretary

Unguja Steering Committee

1. Hon Regional Commissioner – Urban West - Chairperson
2. Hon Regional Commissioner - South Region - Member
3. Hon Regional Commissioner - North Region - Member
4. Hon Member of Parliament (Kiembesamaki) - Member
5. Hon Member of Parliament (Special Seat South Region) - Member
6. Hon Member of Parliament - Matemwe - Member
7. Hon. Member of Parliament (Special Seat Urban Region) - Member
8. Hon Member of Parliament - Koani  
9. Hon Member of House of Representative – Member K/Mtipura  
10. Hon Member of House of Representative (Special Seat Central District)  
11. Hon Member of House of Representative - Member Bumbwini  
12. Hon Member of House of Representative (Special Seat West District) -  
13. Director of Planning and Administration (SVPO) Member  
14. Director of WEDTF - NGO Member  
15. Hon District Commissioner - South District Member  
16. Hon District Commissioner - Urban West District Member  
17. Hon District Commissioner- Urban District Member  
18. Hon District Commissioner - North “A” Member  
19. Hon District Commissioner - North “B” Member  
20. Hon District Commissioner - Central Member  
21. Local Gov. Secretary West/District Member  
22. Local Gov. Secretary North “B” District Member  
23. Local Gov. Secretary North “A” District Member  
24. Local Gov. Secretary North Central District Member  
25. Local Gov. Secretary South District Member  
26. Technical Assistant Unguja Member  
27. PSSN Coordinator Ex – officio Member  
28. Commissioner for Development Project - PO. Secretary Finance Affairs
ANNEX 9: COMPOSITION OF MANAGEMENT TEAMS FOR UNGUJA AND PEMBA

Pemba Management Team

1. Officer -in- Charge - President Office, Finance & Economic Affairs - Chairperson - Chairperson
2. Officer - in- Charge - Second Vice President Office - Member
3. Officer - in- Charge - First Vice President’ Office - Member
4. Officer - in- Charge – President’s Office & Chairman of Revolutionary Council - Member
5. Officer - in- Charge - Ministry of Labor, Economic Empowerment & Cooperative - Member
6. Officer - in- Charge - Ministry of Education & Vocational Training - Member
7. Officer - in- Charge - Ministry of Lands, Housing, Water and Energy - Member
9. Officer - in- Charge - Ministry of Communication & Transport. - Member
10. Officer - in- Charge - Ministry of Trade, Industries & Marketing. - Member
11. Officer - in- Charge - Ministry of Agriculture & Natural Resources - Member
12. Officer - in- Charge - Ministry of Livestock & Fisheries - Member
13. Officer - in- Charge - Ministry of Health - Member
14. Regional Planning Officer – South - Member
15. Regional Planning Officer – North - Member
16. District Administrative Officer – Micheweni - Member
17. District Administrative Officer – Wete - Member
18. District Administrative Officer – Chake Chake - Member
19. District Administrative Officer – Mkoani - Member
20. Internal Auditor - Member
21. Technical Assistant - Member
22. PSSN - Accountant - Member
23. Overall PSNN Coordinator, Zanzibar -- Member
24. PSSN – Coordinator - Secretary
Unguja Management Team

1. Commissioner of Development Projects – President's Office, Finance and Economic Affairs - Chairperson
2. Director of Planning and Administration – Ministry of Health - Member
3. Director of Economic Empowerment, Ministry of labour,
4. Economic Empowerment and Cooperative - Member
5. Director of Coordination – Second Vice President's Office - Member.
6. Director of Planning, Policy and Research, Ministry of Lands, Water, Energy - Member
7. Director of Planning, Policy and Research, Ministry of Communication and Transport - Member
8. Director of Planning, Policy and Research, Ministry of Agriculture and Natural Resources - Member
9. Director of Planning, Policy and Research, Ministry of Trade, Industry and Marketing - Member
10. Director of Planning, Policy and Research, Ministry of Livestock and Fisheries - Member
11. Director of Regional Administration – Ministry of State, President’s Office and Chairman of Revolutionary Council - Member
12. Director of Planning, Policy and Research, the first Vice President Office Zanzibar - Member
13. Director of Planning and Administration – Ministry of Education and Vocational Training - Member
15. Water Engineer – Zanzibar Water Authority - Member
16. Director of Irrigation – Department of Irrigation - Member
17. Works Engineer – Department of Buildings - Member.
18. District administration officer – North “A” - Member.
19. District administration officer – North “B” - Member.
20. District administration officer – South - Member.
21. District administration officer – Urban- Member
22. District administration officer - West - Member
23. District administration officer – Central - Member
24. Internal Auditor - Member.
25. Technical Assistant (Unguja) - Member.
26. PSSN Accountant - Member.
27. PSSN overall Coordinator Zanzibar - Member.
28. PSSN Coordinator - Secretary