ARDHI UNIVERSITY

ARDHI UNIVERSITY ANTI-CORRUPTION POLICY

(SECOND DRAFT)

JANUARY 2009
Acronyms and abbreviations

i) ARU - Ardhi University
ii) CoDD – Committee of Deans and Directors
iii) DACS – Directorate of ARU Consultancy Services
iv) VC – Vice Chancellor
v) DVC-AA – Deputy Vice Chancellor Academic Affairs
vi) DVC-PFA – Deputy Vice Chancellor Planning, Finance and Administration
vii) DPD – Directorate of Planning and Development
viii) HDRPC - Higher Degrees Research and Publications Committee
ix) MoEVT – Ministry of Education and Vocational Training
x) MUHAS - Muhimbili University of Health and Allied Sciences
xi) OPP – Operational Policy Procedures
xii) PCCB – Prevention and Combating Corruption Bureau
xiii) SC – Steering Committee
xiv) TF – Task Force
xv) ToR – Terms of Reference
xvi) ARU – Ardhi University
xvii) UCLAS – University College of Lands and Architectural Studies
xviii) SACCOS – Savings and Credit Co-operatives Societies
xix) DHRMA–Directorate of Human Resource Management and Administration
xx) UDSM - University of Dar es Salaam
xxi) USAB – University students Accommodation Bureau
xxii) URT – United Republic of Tanzania
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CHAPTER ONE

Introduction

1.1 Definitions

(i) “Whistle-blower” – Includes, anybody, who in good spirit, reports on corruption to the responsible person or ARU Office.

(ii) “Public Institution” – Includes an institution established under or by the Companies Law in which ARU has interest.

(iii) “Property” - Includes money, resources visible or invisible, movable or immovable, tangible or intangible.

(iv) “University Official” - Means any person holding leadership responsibilities and position at the University.

(v) “Corruption” - means the acts of bribery, both receiving and giving.

(vi) “Illegal Income” – Means any income generated from breach of law.

(vii) “Conflict of Interest” – Means varied interest between benefits to individual and that of ARU.

(viii) “Institution” – Entails Ardhi University and other organizations having stake on ARU.

(ix) “ARU Community” – Entails Employees of ARU, Students and the ARU Management.

(x) “Personal Benefits” – Refers to a gift, favour and concession given to an individual against the law and procedures.


(xii) “Tender Limit” – Shall have the meaning as prescribed by Public Procurement act 2004.

1.2 Rationale of ARU Anti-Corruption Policy

According to the National Anti-Corruption Strategy and Action Plan for Tanzania (1999:1), one of the major constraints that have hampered the Government’s drive towards achieving improvement in the economy has been the widespread corruption that flourish at all levels of the Society. This has led to, among others, mistrust of Public administration by members of the Public. Under these circumstances the Government finds it absolutely imperative to institute drastic measures to deal with the scourge.

Since ARU is one of the Public Institutions it is imperative that pro-active measures are taken to redress the issue of corruption more systematically. The
University acknowledges that corruption denies the rights of an individual, debilitates morale and clogs the working and learning environment for the University as a whole. The ARU Anti-Corruption Policy, therefore, aspires to pre-empty these vices in ARU Community and beyond.

The then UCLAS had committed itself to fight corruption as indicated in the National Anti-Corruption Strategy. National Anti-Corruption Strategy and Sector specific Action Plans for all Ministries, Independent Government Departments and Executive Agencies. However, the scope of the Plan is limited to procurement of goods and services, tendering and award of contracts. Thus, ignoring the ARU mission namely Teaching, Research and Consultancy including Recruitment and crosscutting issues such as Capacity Building and Gender.

1.3 Objectives

The overall objective of the ARU Anti-Corruption Policy is to minimize and prevent the gratuitous occurrence of both petty and grand corruption. The policy aims at pre-emptying institutional decay resulting from, among others, misuse of University Office for unofficial ends, undermined institutional legitimacy and rule of law, incompetence and lack of both transparency and accountability.

The Specific Objectives of ARU Anti-Corruption Policy includes:
(i) Optimal utilization of University resources and assets
(ii) Equal access to fair, transparent and effective University services
(iii) Effective and fair execution of University training, recruitment, research, tendering, procurement and consultancy services.
(iv) Effective combat of corruption at ARU

1.4 Basic Principles

Creation of corruption free ARU is imperative. To achieve this, however, five basic principle areas are identified namely prevention, enforcement, public awareness, institutional building and equal opportunities for all.

1.4.1 Prevention

Corruption prevention entails simplifying, demystifying and depersonalizing University procedures in order to reduce corruption opportunities. It also envisages controlling areas of discretion and, where retained, clearly written guidelines for exercising such discretion must be published. The ARU community including its stakeholders must be made aware of available mechanisms that offer speedy and effective reviews of contentious decisions within ARU administrative machinery. Rewards for achievement should be offered, good performance recognised and role models acclaimed. The reporting of all gifts and hospitality received with a value above the set minimum should be instituted and
of equal importance is building of coalitions of interests in support of corruption prevention.

1.4.2 Enforcement
Corruptive members of ARU community should be punished. This can only happen if the Policy on Anti-Corruption is operationalized and hence strategies implemented. Effective channels for complaints should be established and made effective. In the process, whistle-blowers should be protected from reprisals. In addition, exposing and blacklisting of individuals and collaborative firms and publishing their names should be exercised. Furthermore, legal measures should be taken to enable the assets of the corrupt to be seized and forfeited.

1.4.3 Public awareness
The ARU Community should be educated, made aware and sensitized on the consequences of corruption especially the loss of University property caused. The community needs to be educated about their rights to services at a given price or no cost. Furthermore, the community ought to know the mechanisms through which complaints can be leveled and channeled against corrupt officials and individuals.

1.4.4 Institutional building
Adequate, committed and competent staff are central engines to fight corruption in any institution. They, however, need to be provided with adequate resources, regular re-training and clear ethical guidelines and codes of conduct. In addition, University tendering and procurement activities must be made transparent and in accordance with the Public Procurement Act (2004). Furthermore, speedy decision-making should be exercised to pre-empty corruption.

1.4.5 Gender appreciation
The ARU Anti-Corruption Policy should address a number of corrupt practices encompassing all aspects of gender dimensions.
CHAPTER TWO
Major Areas, Issues, Policy Statements, Strategies and Operational Procedures

2.1 ADMISSION

2.1.1 SITUATION ANALYSIS
ARU has been receiving a large number of applications but it has been admitting only a few, thus leads to stiff competition which may induce corrupt practices. At the same time, among those applicants, there are many who do not meet the minimum qualifications but they do apply. This implies that those who applying without minimum qualifications think there is an easy way of circumcuting the set criteria. In addition those who qualify and may have not been admitted, may not be able to contest the admission decision.

2.1.2 POLICY ISSUES
(i) Public lacks information on procedures regarding admission in the higher learning institutions.
(ii) Lack of career guidance to applicants at the time of applying for admission
(iii) Lack of adequate and clear mechanism to contest admission decision made

2.1.3 POLICY STATEMENT

ARU shall endeavour to put in place an admission system with clear organizational structure, competent staff and built on principles of accountability and transparency and fairness.

2.1.4 STRATEGIES
(i) Develop a well articulated and transparent admission system
(ii) Establish standard guidelines for admission
(iii) Promote public awareness of the admission procedure at the university
(iv) Enhance admission procedure at the University
(v) Incorporate career guidance to the admission system
(vi) Monitor admission procedure for compliance
(vii) Eliminate possibility of favoritism due to conflict of interest
(viii) Establish mechanism for dealing with complaints for unsatisfied applicants.
2.1.5 OPERATIONAL PROCEDURES

(i) Establish Admissions Office to deal solely with admissions matters: career and admissions, funding etc.
(ii) Ensure qualified personnel including education counselors are recruited
(iii) Put in place professional development programs for staff in the admissions office to enhance accountability
(iv) Conduct Career Fair with a view of providing career guidance to prospective students
(v) Set clear students admission procedures
(vi) Publish and distribute admission procedures and information on funding and other opportunities
(vii) Put in place a system for monitoring compliance with laid down procedures with punitive measures for non compliance
(viii) Set rules and regulations on conflict of interest for admission staff
(ix) Put in place a complaint mechanism for unsatisfied parties.

2.2 EXAMINATIONS

2.2.1 Situation Analysis

Examinations are central to ensuring quality control in any academic institution. At ARU examinations are key to assessing students learning outcomes and academic competences. The examination system in place is modelled around the Semester system whereby; student’s assessments take the form of

i. Continuous assessments through timed tests, essays, take home exams, seminar papers, laboratory reports, studio reports and project reports
ii. University Examinations at the end of the semester. This could be oral or written depending on the subject.

To ensure objectivity and examinations quality a number of safeguards are instituted in the examination system. These include moderation of examination papers, security of examination papers, adherence to prescribed examination regulations and the use external quality control checks such as external examiners and academic audits.
2.2.2 Policy statement

ARU shall strive to improve its examination system to meet the features of a good examination system. i.e. Fairness, equity, public acceptance, transparency and efficiency with the view of eliminating loop holes for bribery.

2.2.4 STRATEGIES

(i) Strengthen the examination system in place which is to be fair and likely to achieve acceptance by both students and the teaching School
(ii) Promote a transparent examination system with no loopholes for favoritism
(iii) Strengthen the University examination audit system

2.2.5 OPERATIONAL PROCEDURES

(i) Ensure that examinations are handled by an autonomous department/ unit or committee
(ii) Set examination procedures that ensures fairness in examining
(iii) Ensure that examinations are administered in accordance to the laid down procedures and schedule
(iv) Put in place mechanisms to enable the examination process to be open for public scrutiny to enhance transparency
(v) Encourage lecturers to declare conflict of interest e.g. presence of candidates who are relatives, intimate friends, siblings, spouse, child etc.
(vi) Improve technical and human resources infrastructure to improve control measures
(vii) Improve the existing system of checks and balances in examination system
(viii) Establish and enforce a code of conduct for both students and staff
(ix) Develop rules to regulate private instruction
(x) Develop a code of conduct to prevent favouritism

2.3 Staff Matters

2.3.1 Situation Analysis
Staff matters include recruitment, training and provision of houses. The University currently employs a total of 370 staff, 182 being academic staff and 188 being administrative and technical staff. With the expansion of activities and the new University status Ardhi University will have to embark on recruitment drive for both its academics and administrative staff in a manner that is fair and transparent. The University will also have to train and develop its staff to the level that is cognizant of the modern University.

The fact that after liberalization of the economy, employment opportunities in the public sector have shrunk while many graduates at tertiary level are flooding the market, there is stiff competition for few employment opportunities available in the public sector. Such situation is suspect to corruptible elements in the form of favoritism, nepotism, monetary and sexual enticement.

As regard to houses, presently, the University has a total of 62 housing units. Of these units, only six are occupied by senior staff officers entitled for housing and remaining being occupied by eligible and non eligible staff members. Most of these units are in dire need of repair and maintenance. However, due to financial constraints the University cannot make adequate repair and maintenance.

In 2004 the then UCLAS adopted a staff housing policy with Operational Policy and Procedures. While most senior staff have not felt the need for employer accommodation due to payment of housing allowance, junior staff have been competing for the few units available taking into account that renting from private landlords is more expensive and tenure is unpredictable.

2.3.2 Policy Issues
(i) Need for elaborate plan and strategy to recruit staff.
(ii) Lack of training policy and training Programme.
(iii) Lack of clear guidelines and transparency in conducting interviews.
(iv) Ambiguity in the Scheme of Service as regard to required qualifications.
(v) Inadequate funds allocated to the training function.
(vi) Junior staff members are competing for a few housing units.
(vii) Most members of staff lack conducive and comfortable accommodation environment to carry out their duties.

2.3.2 Policy Statement
(i). ARU shall have an elaborate plan and strategy in employment as well as training of its staff, guided by ARU Vision and Mission and envisaged in OPPs for Human Resource Management.

(ii) ARU shall adopt a fair and transparent procedure in allocating accommodation to staff or providing housing allowances

2.3.4 Strategies
ARU through relevant organs shall:
(i) Promote equal opportunity in employment and eliminate discrimination of any form in employment.
(ii) Put in place standard measures for various categories of ARU staff to be used as a basis for recruitment and compensation.
(iii) Ensure Recruitment Committees have clear guidelines in order to conduct recruitment interviews in a fair and transparent manner.
(iv) Ensure that all vacant jobs except in special circumstances are advertised with clear job requirements and qualifications.
(v) Conduct annual training needs assessment for all staff as a basis for designing and updating of training and development programmes.
(vi) Strive to allocate training funds that meet the training needs of staff.
(vii) Encourage her staff to build their own houses.
(viii) Continue to provide subsidized University housing accommodation whenever possible.
(ix) Continue to provide housing allowance to entitled officers whom the University cannot provide accommodation.
(x) Continue to provide housing to entitled officers.

2.3.5 Operational Procedures
The Deputy VCs through the DHRMA shall formulate procedures that shall:
(i) Specify way of determining labour turnover in order to maintain an optimal number of required staff.
(ii) Develop scientific evaluation of the establishment.
(iii) Ensure recruitment and interview procedures are adhered to and in a transparent manner.
(iv) Develop criteria for selection of trainees and mode of conducting training.
(v) Ensure that all ARU staff are conversant with the University training and development policy so that they know their rights and obligations.
(vi) Ensure there is adherence to laid down procedures in recommending and approving training of staff.
(vii) The relevant Deputy Vice Chancellor shall establish procedures and means that;
   a) Encourage and promote workers to go out to financial Institutions including SACCOS to get loans for housing development.
   b) Determine criteria as to who is to get University subsidized accommodation and have it known to all.
c) Encourage officers entitled for accommodations to building their own houses/homes.

2.4 Students Affairs

2.4.1 Situation Analysis
ARU has hostels on campus and some off campus at Mabibo – managed by UDSM’s USAB and others privately leased out by students. However, only a few students; undergraduates and postgraduates are accommodated in the said hostels. Only about 45% of the ARU students’ population are accommodated in the University or USAB hostels. With the expanding student enrolment without expanded accommodation facilities, students are indirectly canvacing for the few hostels available despite there being criteria for eligibility for hostel accommodation. It is, therefore, apparent that ARU:

(i) Has to construct more hostels on campus to accommodate the increasing number of students.
(ii) Solicit loans from banks and other financial institutions for hostel construction.
(iii) Encourage private investors to invest in hostels on campus.

2.5.2 Policy Issues
(i) Lack of adequate student’s hostel facilities and infrastructure
(ii) Students scramble for limited University accommodation facilities.

2.5.3 Policy Statement

| ARU shall strive to ensure University students get accommodation facilities through a fair and transparent manner. |

2.5.4 Strategies
The Deputy Vice Chancellor PFA shall continue to:

(i) Follow current students accommodation criteria as spelt out in the University Students Affairs Policy and other institutions.
(ii) Request grants from government to have more hostels constructed on campus.
(iii) Seek for loans from banks and other financial institutions to have hostels constructed on campus.
(iv) Enter in contract with private investors (both from within and without) to develop hostels to accommodate students.

2.6 Research
2.6.1 Situation Analysis
Research is an activity that involves a number of processes and procedures. Although procedures for executing research are known in some occasion research proposals have been submitted to Higher degree Research and Publications Committee with incomplete paper work or without minutes of the respective meetings that approved the proposals. Non-compliance to the required guidelines and procedures may provide loopholes for some proposals to go through improper channels and get approved.

Furthermore, depending on the funding sources, the research procedures involved are different. Sources of research funding include ARU, international and local organizations and partner organizations. For research funded by the University the process involves among other things the approval of the research proposals by departments, the Institute and Schools Research and Publication Committees and at the University level Higher Degrees Research and Publications Committee (HDRPC). The process is applicable for ARU researchers involved in PhD and non-PhD.

However for non-PhD research and those funded by the international and partner organisation as well as contract research or self funded research different procedures may be involved. In a few instances non-PhD or contract research have not been approved by HDRPC due to the absence of elaborate procedures.

2.6.2 Policy issues
(i) Inadequate mechanism to administer research procedures at the University
(ii) Overlooking guidelines required for approving research proposals at different University levels.

2.6.3 Policy statement
(i) ARU shall oblige all researchers, supervisors and committees to adhere to existing and new research procedures as part of good work principles (ethics)
(ii) ARU shall create conducive environment and support researchers to get research funds from various sources as well as increase budget allocation for research.

2.6.4 Strategies
(i) Develop research policy and procedures tailored to ARU environment
(ii) Support researchers to adhere to required research procedures.
(iii) Promote transparency in acquisition of researches funded by sources outside ARU.
Create awareness among deans, heads of department and supervisors the importance of following procedure and guidelines in submitting research proposals to research and publications committees in different levels.

Streamlines procedures for presenting research proposals and reviewing them in order to enhance fairness and quality in evaluation process and research output.

Strengthen research funds mobilization and budgeting.

Formulate strategies for establishing mutual beneficial research collaborations and partnership with external organizations and research institutions.

2.6.5 Operational Procedures

(i) Identify research policy issues relevant to ARU
(ii) Formulate policies and procedures that shall ensure effective and productive implementation of research policy.
(iii) Strengthen the management of research at University levels in schools, institutes and departments and provide incentives for researchers to register external funded research.
(iv) Create awareness among researchers on existing research procedures.
(v) Support joint external funded researches acquired by the University researchers.
(vi) Avail the required procedures to be followed by deans, heads of departments, researchers and supervisors in submitting research proposals.
(vii) Develop standard checklist of all necessary requirements for presenting research proposals to various committees.
(viii) Conduct regular research seminars for new researchers at ARU.
(ix) Avail ARU research procedures to researchers at the University website.
(x) Request the library to provide relevant software for referencing e.g. endnotes.
(xi) Establish learning support centre and employ staff with knowledge on communication skills and English language.
(xii) Ensure learning support centre provides support to students and researchers.
(xiii) Inform all researchers whose proposals have been rejected in funding consideration reasons for being unsuccessful.
(xiv) Ensure the researchers are aware of the procedures involved in evaluation process.
(xv) Establish a strategy for coordination and enhancing of the mobilisation of research funds.
(xvi) Encourage the development of additional local sources of research chair and through collaborative research with industry.
(xvii) Recognize the ability of attracting research funds as criteria for promotion.
2.11 Compliance to Financial Rules and Regulations

2.11.1 Situation Analysis

In performing core mission and support activities, some financial transactions are involved. The execution of research involves the use of funds. The funds may be managed by the ARU and in some occasion by the financers of research or researchers themselves.

The ARU Research Policy and Operational Procedures stipulate clearly the procedures for preparing research budgets as well as disbursement of funds. However, this does not mean that the ARU financial rules and regulations should not be adhered to.

In events ARU is involved in managing research funds, some researchers have not adhered to the financial rules and regulations. For example, there have been delays in retirement of imprest or research funds for even a year. In addition, the retirements of imprest or research funds have sometimes involved the use of doubtful documents/receipts and an over expenditure. Similar experience has been observed in regard to transactions involving non-core mission activities such as the purchase of materials for teaching, buildings and maintenance. The situation suggests the presence of weak financial regulations and lack of accountability in the use of public funds.

2.11.2 Policy issue

Non adherence to financial rules and regulations by academic and administration staff members.

2.11.3 Policy Statement

ARU shall endeavour to ensure all staff members become accountable in using funds by adhering to University financial regulations and procedures

2.11.4 Strategies

(i) Create awareness among researchers on financial rules and regulations and the significance of adhering to them

(ii) Enforce internal control system in order to instil the sense of accountability in using research funds

(iii) Put into effect existing control measures against misuse of research funds

2.11.5 Operational Procedures

(i) Avail financial rules and regulations to all staff members by placing them at the ARU website

(ii) Sensitise researchers to adhere to the financial rules and regulations

(iii) Ensure that research funds are used as per the approved research budgets
2.12 Gender

2.12.1 Situation Analysis
Gender imbalance is one of major problem in higher learning Institutions in Tanzania. The ARU gender Dimension Committee is involved in addressing the problem. The issue of concern here is not only sexual harassment but the latter may also lead to sexual enticement. In this regard, anti bribery policy at ARU needs to address the issues in the research process.

2.12.2 Policy Issue
There is Gender imbalance

2.12.3 Policy Statement

| ARU shall disapprove affirmatively discrimination or favouritism based on Gender. |

2.12.4 Strategies
(i) Adopt regulations that shall promote Gender balance at ARU.
(ii) Provide education and training programmes for the purpose of assisting all staff members at ARU understand gender issues.
(iii) Make rules and provide for sanctions or enforce existing regulations against officers who breach rules of confidentiality in respect of the information obtained in the course of their handling sexual harassment.

2.12.5 Operational Policies
(i) Make regulations which prohibit sexual harassment at ARU and provide appropriate sanctions
(ii) Avail the relevant regulations concerning sexual harassment such as Penal Code Cap as amended by sexual offences Special Provisions Act 199, Act No. 4 of 1998 and the Public services regulations 2003.
(iii) Provide information on the meaning of sexual harassment
(iv) Provide formal procedures and rules for handling sexual complaints
(v) Provide procedures and sanctions against all those mishandling sexual harassment reported incidents
(vi) Provide rules and enforce regulations against officers breaching the rule of confidentiality in respect of information obtained in the course of handling sexual harassment complaints

2.13 Consultancy
2.13.1 Situation Analysis
The processes of tendering, soliciting and procuring consultancy or public services are prone to corruption. Tendering procedures that inflate prices to unnecessarily high level eliminate fair competition. In addition, an opaque and informal ways of soliciting and procuring consultancy projects provide a fertile ground for corruption and consequently leads to lowering of standards as either sub standards goods are provided or inappropriate technology is employed or both.

The ARU has offered and received consultancy services since its inception as a land surveys institution in early 1970s. In the conduct, however, the institution has never instituted effective complain mechanisms for bidders and has not yet widely trained her consultants and responsible staff on procurement management. ARU also has rarely made periodic procurement audits and surprise inspections of on-going works and publication of results of bid evaluations.

Some progress, however, has been made in various areas namely bid evaluation by a committee of professionals, financial discipline, wide dissemination of tender notices, adaptation of standard bidding documents and making transparent selection.

2.13.2 Policy Issues
(i) Inadequate knowledge on the Public Procurement Act 2004 with a focus on training, advisory and oversight role.
(ii) Lack of effective complaint mechanisms for bidders
(iii) Few surprise inspections on on-going works
(iv) Inadequate publication of results on bid evaluations
(v) Lack of monitoring mechanisms in all stages of tendering
(vi) Lack of periodic procurement audits

2.13.3 Policy Statement
ARU shall endeavor to continue to fight against corruption in procurement of goods and services. ARU shall ensure that existing regulations and procedures enforced in soliciting Consultancy tendering and award of contracts.

2.13.4 Strategies
(i) To train ARU Consultants with a view to understanding the Public Procurement Act 2004.
(ii) To put in place effective complaint mechanisms for the dissatisfied bidders to follow.
(iii) To increase the frequency of surprise inspections on on-going works.
(iv) To publish widely the results of bid evaluations in order to reach all interested parties.
(v) To formulate monitoring mechanisms in all stages of tendering.
(vi) To institute periodic procurement audits.

2.13.5 Operational Procedures
(i) ARU, through the University Consultancy Services (UCS), mobilizes funds and organizes seminars in order to train ARU consultants on the Public Procurement Act 2004.
(ii) ARU formulates the mechanisms through which dissatisfied bidders can appeal and follow.
(iii) ARU shall ensure that leaders of consultancy projects adequately mainstream surprise inspections on on-going works in their work schedule plans and ensure that this activity is also reported in regular project implementation progress reports.
(iv) ARU shall ensure that results of bid evaluation are distributed to all bidders and the media for wider dissemination of the results.
(v) ARU shall demand all Project Team Leaders to demonstrate that monitoring mechanisms in all tendering stages are effectively yielding intended results.
(vi) ARU shall prepare circulars to ensure that periodic procurement audits are conducted.

2.14 Procurement, Tendering and Contracts

2.14.1 Situation Analysis
The National Anti-Corruption Strategy and Action Plan for Tanzania (1999:5) provide that corruption is widespread in, among other areas, tendering procedures and award of contracts. Consequently, prices for the goods and services are unnecessarily inflated and yet the services and goods procured for public institutions are substandard. In some cases, according to the National Corruption Prevention Act (2007:15) – Section IV (19), gifts are given to public officials in order to inhibit or by-pass tendering processes and procedures in favour of one’s personal gains. Furthermore, contracts are not drafted and signed for the same reason. According to the Rolling Anti-Corruption Strategy and Action plans for the University of Dar es Salaam (URT, 2006:91), of the Senior and new leaders of the University such as Deans and Directors are not aware of tendering processes and procedures and conditions for awarding contracts.

Furthermore, the procurement processes and procedures of goods and services which are below the tender limit (TShs. 3 Million and below) are problematic and provide loopholes for corrupt individuals to benefit from. A particular reference is made to approval process and procedures, weak Internal Audit mechanisms and the less-strict scrutiny of hand quotations.

2.14.2 Policy Issues
(i) Inadequate awareness on procurement issues among senior and leadership of ARU
(ii) Limited Advertisement of tenders for works, goods and services
(iii) Less-bold procedures for approving procurement below tender limit
(iv) Inability to strictly scrutinize hand quotations
(v) Weak Internal Control mechanisms of procurement of goods, services and award of contracts
(vi) Lack of mechanisms to verify consultants cost estimates regularly

2.14.3 Policy Statement

ARU is committed and shall strive to ensure that the tendering procedures, the purchases of materials and services as well as the award of contracts adheres to the Public Procurement Act 2004.

2.14.4 Strategies

(i) Awareness creation on matters pertaining procurement especially tendering.
(ii) Widespread and more apparent advertisement of tenders for works, goods and services.
(iii) Instituting and adopting strict procedures for approving procurement below tender limit.
(iv) Capacity building of ARU tender Committee to effectively deal with procurement below tender limit.
(v) Strict scrutiny of hand quotations.
(vi) Enhanced and strengthened internal control mechanisms of procurement of goods, services and award of contracts.
(vii) Formulate and adhere to mechanisms to verify Consultants cost estimates regularly.

2.14.5 Operational Procedures

(i) ARU shall secure the Public Procurement Act (2004) and distribute it to ARU leadership.
(ii) The Directorate of ARU Consultancy Services shall conduct Seminars to all ARU Consultants and ARU leadership on Public Procurement Act 2004.
(iii) Advertising ARU tenders for goods, works and services beyond local newspapers.
(iv) ARU shall enforce the mechanism for quality Control and Quantity Assurance of Consultancy Services.
(v) ARU shall formulate procedures for approving procurement below tender limit and subsequently monitor its adherence to.
(vi) ARU shall recruit more competent staff to effectively handle procurement of goods and services below tender limit.
(vii) ARU shall formulate procedures for scrutinizing hand quotations and ensure that the procedures are strictly adhered to.

(viii) ARU shall prepare the guidelines or mechanisms in order to strengthen internal control of procurement of goods, services and award of contracts concomitant to ARU context.

(ix) ARU shall formulate and ensure adherence to mechanisms of verifying consultants cost estimates regularly in order to guarantee accuracy, fair and justice in cost estimate and facilitate speedy decision-making.
CHAPTER THREE

3.0 Management Arrangement for Implementation of ARU Anti Corruption Policy

Chapter Three provides the framework on how the ARU Anti-Corruption Policy can form an integral part of the ARU management system with a view to effectively implementing it. A special focus is made to the pre-requisites for implementation of the policy; the roles of key stakeholders; monitoring policy implementation, evaluation and review; and institutional framework.

3.1 Pre-requisites for Implementation of the Policy

There is no single approach to guarantee effective implementation of the policy. At least two scenarios are available in implementing ARU Anti-Corruption Policy. These are either:

(i) Establishing Anti-Corruption Unit from which policy implementation will be driven and managed, or

(ii) Mainstreaming corruption in the University mission namely teaching, research, administration and Consultancy services concomitant to the identified strategies and OPP.

Since it is costly to establish Units to oversee implementation of each ARU Policy, the second scenario of mainstreaming ARU-Anticorruption Policy is recommended. This scenario is cost-effective and feasible. Hence ARU shall establish an ethics committee, which shall do the following:

(i) Assigning Policy Strategies and respective Activities under the mandates of the DVC-AA and the DVC-PFA.

(ii) Mainstreaming Policy Strategies and Activities into the Annual Plans of the University Directorates, Institutes, Schools, Departments and Centres.

(iii) Establishing a framework for coordinating, monitoring and evaluating Policy implementation.

(iv) Reviewing and setting up of enabling institutional arrangement.

3.2 The Roles of Key Stakeholders

Implementation of ARU Anti-Corruption Policy is expected to attract the interest of a wide range of stakeholders within and outside ARU. Within ARU, the stakeholders in question include the University Council, University Senate, Academic Board, Planning and Finance Committee, respective Committees of all ARU Directorates, Institutes and Centres, Academic departments, Administrative Units, University Staff and Students Community. Stakeholders from outside ARU include Government Ministries and Agencies, Prevention and Combating Corruption Bureau (PCCB), Consulting Firms and un-exhaustive list of Clients, to mention a few.
The aforementioned stakeholders shall be consulted by the ARU administration in order to establish their areas of specific interest for implementation once the Policy is endorsed by the ARU approval organs and commitment made. Specifically, the Directorate of ARU Consultancy Services that funded and facilitated the preparation of the Policy shall be given a special role to coordinate the periodical evaluation and review of the Policy. Whereas, monitoring implementation of respective Policy Activities should be a responsibility of each stakeholder.

3.3 Monitoring, Evaluation and Review of Policy Implementation

Ardhi University shall form a Task Force (TF) to establish the mechanisms for monitoring the implementation of the Policy. Activity-based indicators of target achievement should be jointly identified and responsible actors made accountable in the course of Policy implementation. Monitoring of Policy implementation should be a continuous process whereas an evaluation and thereafter review of the Policy should be carried out after every five years.

3.4 Institutional Framework

The implementation and management of ARU Anti-Corruption Policy envisages full commitment of the ARU administrative machinery that is strongly supported by its organs at all levels and the ARU Community at large. However, this can only be obtained if the ARU institutional framework provides a room for commitment, collective responsibility and accountability. The ARU Anti-Corruption Strategic Plan should therefore be prepared to clearly spell out, among others, the priorities and the responsibilities of the two VCs and subsequently the University Organs falling within their mandates. Because of its strategic function at the University, additional responsibility should be assigned to the University Consultancy Services (UCS) and the Public Relations Office (PRO) to network ARU with key stakeholders outside the University. Besides, in order to ensure that ARU Anti-Corruption Policy is adequately implemented, all University stakeholders should be strengthened and supported.
Appendices

Appendix I: List of References

(i) The National Anti-Corruption Strategy and Sector Specific Action Plans for all Ministries, Plans Independent Government

(ii) Departments and Executive Agencies Phases II 2006-2010

(iii) Documents on Anti-Corruption Policy and Strategy

(iv) The National Anti-Corruption Strategy and Action Plan for Tanzania

(v) Mkakati wa Kitaifa Dhidi ya Rushwa na Mpango wa Utekelezaji kwa Tanzania (NACSAP II) 2006-2010

Appendix II: Members of the Task Force (TF) and Terms of Reference (ToR)

The Draft ARU Anti-Corruption Policy (2007) is a result of team members of the Task Force and financial support from the Directorate of ARU Consultancy Services. The team members of the TF include:

(i) Dr. Aldo Lupala, Director, ARU Directorate of Consultancy Services – Chairman

(ii) Mr. Ndibalema Rugambwa, Director, Human Resource Management and Administration – Member

(iii) Dr. Agnes Mwasumbi, Head, Department of Land Management and Valuation – Member

(iv) Dr. Arnold Kihaule, Head, Planning Department, Directorate of Planning and Development - Member

(v) Mr. Israel Simba, Dean of Students – Member

(vi) Mr. Edward Mapigano, Projects Administrative Officer, University Consultancy Services (UCS) – Secretary

(vii) Dr. Peter Mandwa

(viii) Mr. Anael Moshi

The TF was charged to respond to the following ToR:

(i) Identify the Key ARU sector/activities of concern on anti-corruption.

(ii) Identify the key policy issues and questions to be addressed in each sector/activity and analyse its present status.

(iii) Develop policies with regard to each policy issue or question in (ii) above for the purpose of improving the present situation.

(iv) Develop strategies and Operational Procedures (OPP) for each of the Policy Statements.

(v) Submit three copies and one softcopy of the Policy to the DVC-PFA

(vi) Make presentations of the Policy to PSC for endorsement and CoD for approval.