

Office of the Ombudsman (OMB)

Summary Corporate Plan & Budget

2019/20 - 2021/22

March 2019

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List of Abbreviations

CP&B	Corporate Plan and Budget
FY	Fiscal Year
KPI	Key Performance Indicator
MDA	Ministries, Departments and Agencies
NIIP	National Infrastructure Investment Plan
OMB	Office of the Ombudsman
TSDF	Tonga Sustainable Development Framework
MFNP	Ministry Finance and National Planning

Foreword from the Ombudsman

FOREWORD



I am pleased to present the Corporate Plan and Budget Summary of the Office of the Ombudsman (OMB) for the years 2019/20 to 2021/22.

The Corporate Plan outlines specific outputs and sub-outputs that my staff and I will strive to achieve throughout this financial year and within the next three years. There is no significant change this year in our organizational structure from previous years. However, we do continue to strive to improve in various aspects of our work. Efficiency and effectiveness is vital to building relationships of trust with all of our stakeholders and my staff convey these characteristics with them as motivating factors towards accomplishment.

The Office of the Ombudsman acknowledges the continuous support from the Government of Tonga to it as an integrity agency. It confirms that the successful implementation of the plan requires the support from all stakeholders within Government and the public.

As I have mentioned over the years, my priority as Ombudsman will always be to provide independent, impartial and confidential assistance to people with administrative complaints against Government and its Public Enterprises and to help them complain safely and effectively.

'Aisea H. Taumoepeau, SC
Ombudsman

Message from the CEO



I am pleased as CEO of the Office of the Ombudsman to provide a brief message on our Summary Corporate Plan & Budget. This plan updates the previous plan and outlines how the Office intends to deliver against its purpose over the four year period 2019/20 to 2021/22.

The Corporate Plan is the Office's key strategic planning document. It guides our operating environment and sets out how we will deliver on our purpose. This plan recognises that we operate in a dynamic environment and anticipating and responding to change, managing risks, building and

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sustaining strong relationships with key stakeholders and investing in key capabilities are central to delivering against the Office's purpose and strategic objectives.

In the period ahead we can foresee on-going delivery of high quality services to individual complainants, careful identification of areas of administration where our critical, but discretionary, activities are to be dedicated in the form of own motion inquiries or other investigation and reporting work, to optimise our influence on the wider system. We remain committed to never losing sight of our essential purpose, to offer the public a fair, professional, and independent means of resolving complaints.

I am optimistic about the delivery of this Corporate Plan.

Linda S. Folaumoetui
CEO

1 Office of the Ombudsman: Corporate Plan Executive Summary

1.1 Mandate, Key Legislations, Policy Decisions & Conventions

The Office of the Ombudsman operates according to its mandate under the Ombudsman Act 2001. The Office of the Ombudsman hosts the functions of the Ombudsman and the Anti-Corruption Commissioner. The Office of the Ombudsman operates according to its mandate under the Ombudsman Act 2001 and the Anti-Corruption Ombudsman operates according to its mandate pursuant to the Anti-Corruption Ombudsman Act 2007. These two functions operate parallel to each other according to their respective legislation.

The Office of the Ombudsman provides an independent, free and accessible ombudsman service for the public who have complaints pertaining to the conduct, actions and/or decisions of government ministries, departments and agencies.

The services of the Office of the Ombudsman are available to anyone who has a complaint about any Government agency (ministry/corporation/authority) within jurisdiction that they may have been unable to resolve.

The Office of the Ombudsman independently investigates complaints of actions and decisions which may be:

- Contrary to law
- Unreasonable, unjust, oppressive or improperly discriminatory
- Based on improper motives or irrelevant grounds
- Based on mistake of fact or law
- Wrong

The overall purpose of the Office of the Ombudsman is to investigate, review and inspect the administrative conduct of government ministries and agencies and provide advice and guidance in order to ensure people are treated fairly.

The main laws governing the Office of the Ombudsman are (i) the Ombudsman Act 2001 and (ii) the Anti-Corruption Ombudsman Act 2007. Other relevant legislation, policy decisions and plans include the following:

- The Constitution of Tonga
- Tonga Strategic Development Framework II

- Ombudsman Act 2001
- Public Finance Management Act
- Government Priority Agenda
- Public Financial Management Reform Roadmap
- Sustainable Development Goals

Ombudsman Act 2001

The Ombudsman Act makes provisions for the establishment of the Office of the Ombudsman and matters related thereto.

The primary function of the Ombudsman is to conduct investigations into any administrative decision or recommendation made by any government ministry, employee, officer or member which affects the personal capacity of any person. Such investigations may be conducted either upon receipt of a complaint, by motion of the Ombudsman or upon reference from the Prime Minister.

The Ombudsman is required to issue a report to the relevant ministry, department or agency, following the investigation, with recommendations for addressing the complaint.

Anti-Corruption Act 2007

The Anti-Corruption Act makes provisions to establish the office of the Anti-Corruption and to define the functions and matters related thereto.

The principal function of the Anti-Corruption Ombudsman is to investigate instance of alleged suspected corrupt conduct referred to it by any person or authority which has been brought to commission by complaint or otherwise. Other functions of the Anti-Corruption Ombudsman include:

- examination of practices and procedures of government ministries, departments and other public bodies in order to secure a revision of the practices and procedures which may lead to corrupt conduct
- instruct, advice and assist any person or authority on ways in which corrupt conduct may be reduced or eliminated
- educate the public against the evils of corrupt conduct
- enlist and foster public support in combating corrupt conduct

The Anti-Corruption Ombudsman is mandated to conduct investigations, compulsory examination and inquiries, search warrants, disposal of property and protection of witnesses.

1.2 Stakeholders

The Office of the Ombudsman provides services to the general public and to Government Departments and Agencies. All are welcome to visit the office in person, by phone or email. The outreach efforts of the office cover all stakeholders listed below to ensure awareness of what services can be provided is wide spread.

Table 1: Office of the Ombudsman Stakeholders and their relationship to the Office

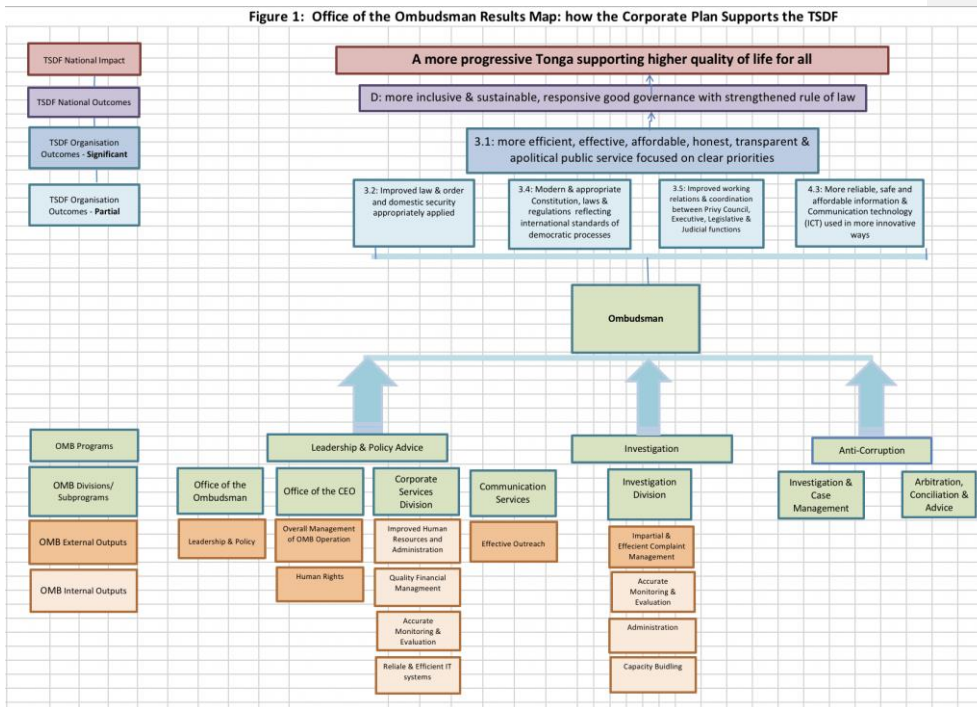
OMB Stakeholders and Their Relationships				
Stakeholder	Customer of OMB	Supplier to OMB	Partner with OMB	Oversight of OMB**

LA			X	X
Cabinet		X	X*	
MDAs	X	X	X	
Public Enterprises	X	X	X	
Businesses	X	X		
NGO, CSO	X	X		
General Public	X	X	X	
Development Partners			X	

*Cabinet Ministers in their respective portfolios

**The OMB is an independent body which plays the role of being a good governance oversight body over government Ministries, Departments and Public Enterprises

1.3 Office of the Ombudsman Results Map



The Results Map for the Office of the Ombudsman is shown above. This clearly outlines how the work of our office links to the overall national objectives of Tonga.

To note, the outputs and sub-outputs are delegated to Programs and Divisions and they are responsible for achieving specific activities relating to the outputs

The OMB will work towards producing external and internal outputs. External meaning the outputs will be produced through the collaboration of various stakeholders and internal meaning outputs will be produced by OMB staff. All outputs, external & internal, are associated to the TSDF and will be achieved during the corporate plan period (2018-2021). OMB will produce specific outputs that will support the TSDF National and Organisation outcomes and they are all listed as follows:

- **Output 1:** Leadership & Policy Advice
- **Output 2:** Investigation Services

1.4 TSDF/SDGs/Regional Frameworks

1.4.1 TSDF/SDG Impacts and Outcomes Supported by MDA Outputs.

The TSDF Link to the Office of the Ombudsman

The Office of the Ombudsman outputs are aligned to support the overall TSDF organisational outcome for Tonga. The Office of the Ombudsman makes significant contribution to one out of the seven TSDF National Outcomes:

- D. More inclusive, sustainable and responsive good governance with strengthened rule of law

As an organization that promotes good governance practices, the Office of the Ombudsman significantly contributes to the following TSDF Organisational Outcome:

3.1: *More efficient, effective, affordable, honest, transparent and apolitical public service focussed on clear priorities*

Relevant Strategic Concepts:

- Enforcement of the Leadership Code
- Clear delegation of responsibility across government MDAs
- Continue public financial management reform
- Better monitoring & evaluation

The Office of the Ombudsman is also recognized as partially contributing to the following TSDF Organisational Outcomes:

3.2: *Improved law & order and domestic security appropriately applied*

Relevant Strategic Concepts:

- Strengthen the role of the Anti-Corruption Office
- Improve the professionalism of the Police

3.4: *Modern & appropriate Constitution, laws & regulations reflecting international standards of democratic processes*

Relevant Strategic Concepts:

- Avoid hasty, ad-hoc and poorly considered legal changes

3.5: Improved working relations & coordination between Privy Council, Executive, Legislative & Judicial functions

Relevant Strategic Concepts:

- Review of the current working relationships to identify areas where improvements can be made

4.3: More reliable, safe and affordable information & communication technology (ICT) used in more innovative ways

Relevant Strategic Concepts:

- Expand training and skills in the use of modern ICT

The Sustainable Development Goals Link to the Office of the Ombudsman

The Office of the Ombudsman supports the Sustainable Development Goals (SDGs), in particular the following:

- SDG 16 – Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels

1.4.2 GPA, Sector Plans, Regional & Community Development

The Government Priority Agenda Link to the Office of the Ombudsman

The Office of the Ombudsman is pleased to give overall support to all nine (9) Government Priorities Agenda FY 2019/20 – FY 2021/22. Our work has a direct link to the following areas:

- Public Sector System Reform
- Digital Government Framework
- Quality Education

Public Sector System Reform

The public sector system reform is categorized under the Political Pillar and is a key priority for government. This priority is broken down to seven (7) areas, of which the Office of the Ombudsman ties its function to three of the seven:

- Rule of Law
- Leadership
- Good Governance

Rule of Law

- ‘Institutionalise the concept of an independent authority to monitor Tonga Police e.g.: Amend the Ombudsman’s Act to incorporate independent check of Police performance’ - The Office of the Ombudsman is an independent body that serves the purpose to assist all people of Tonga. This includes members of the public and Government and Public Enterprise workers. As the overall public are aware of the independence of the office, they will have more confidence in the work that our Investigators do. The Ombudsman acts as a buffer between the individual citizen and the state, to stand up for good governance principles. The Office respects and promotes fundamental rights of the people and acts in accordance with the laws of the land.

- Revise Immigration Act and relevant legislation -
- Upgrade Immigration systems and procedures (to include addressing customer service issues) - The need to upgrade immigration systems and procedures (to include addressing customer service issues) is also an issue that can be related to our line of work as our investigations focus on decision making and processes and procedures that effect decisions being made. The Ombudsman is an element of democratic system, of check and balances. Government through its laws, procedures and systems that are created are also subject to it. These instruments are to be put in place which provides for constraint, accountability and controls measures to prevent Government from gaining absolute power. For the public to have confidence in government, constraints must be imposed on the power it exercises. To be effective, a government needs legitimacy.

Leadership

The work performed in our office relates to all four (4) of the leadership areas namely:

- Training – Capacity building of staff is very important in order to provide quality services to the public.
 - NZ and Australia Governments leadership training programs provided to local staff to enhance their capacity – The Office of the Ombudsman is very pleased with the strong relationship we have with contacts from New Zealand and Australia. The NZ government has sponsored our local staff to attach to the Ombudsman NZ office and learn from the more sophisticated and advanced systems and procedures that they have. Staff have come back to Tonga with bright ideas that assist with the efficiency of our office. Ombudsman organizations in Australia and other overseas countries continue to support our work with providing workshops overseas and locally and inviting our staff to participate in relevant conferences.
 - Further study opportunities in law, middle management, social welfare – Our office is fortunate to attract persons with a law background to join our team as employees. We encourage and motivate our staff to seek out opportunities for further studies in this area as we know the positive outcome it brings to our work.
- Improve mutual communication between Ministers and his staff
- Reforms & improvements in Corporate Services - this area is continuously worked on by the Office. Detailed information is outlined in section 2.3 of this plan.
- Reforms & improvements in Leadership & Policy Advice - this area is continuously worked on by the Office. Detailed information is outlined in section 2.3 of this plan.

Good Governance

The Office of the Ombudsman provides an avenue for the people of Tonga to express their dissatisfaction with any administrative processes and decisions in government. The core function of the Office is to resolve these concerns and promote good governance practices across all public services. The Office of the Ombudsman will also make recommendations to improve processes and procedures within government services.

Good governance areas related to our office are as listed:

- Strengthen enforcement
 - Monitoring System – Through efficient monitoring of procedures and processes, our office can ensure work is moving at a timely manner and resolve issues that may delay progression of various tasks. Monitoring is very crucial in our work and is followed through weekly, monthly and quarterly reporting to management staff. Regular updating in divisional meetings will ensure ongoing work flow.

- Existing Act, policies, legislations, procedures, regulations – The Office has set up an Ombudsman Management Committee (OMC), which includes the CEO and Heads of Division. Within their weekly meeting, OMC may discuss and review policies and procedures that affect the staff. Any decisions made in OMC meetings may be shared with all staff for comment and submitted to the Ombudsman for further discussion. This practice is ongoing and OMC members try to be as transparent and open to suggestions with the idea of making recommendations that will improve the operations, morale and overall work of the office
- Strengthened implementation – As processes and procedures are set, it is important that proper implementation takes place to ensure of no set backs. Strong implementation can minimize delays and issues that are prone to bring bigger problems to the work of the Office.
- Improve leadership and policy advice – this area is continuously worked on by the Office. Detailed information is outlined in section 2.3 of this plan.
- Improve mutual communication between Ministers and his staff – The Ombudsman convenes a weekly meeting with the CEO and Heads of Division. This meeting is to ensure the Ombudsman is aware of all areas of the office and he is kept up to date on various issues.
 - Change mindset of dependency – As the work of the Office of the Ombudsman should be strictly independent of any outside or government influence, we continuously work closely with Government Ministries to remind them of this.
 - Enforcement of PMS criteria – The Office of the Ombudsman is pleased to work with Government in following similar processes and procedures for performance assessment of staff. The PMS has proven to be an avenue for management to discuss strengths and weaknesses of its staff and find ways to utilise strengths and to improve weaknesses.
- Improved systems wide performance through performance improvement initiatives – The Office of the Ombudsman management team utilise the PMS assessment to look at an improvement of staff skills and abilities.
 - Improved outputs, budget and PMS performance – a monitoring system is put in place internally to ensure that outputs and targets are achieved in a timely manner;
- Reforms & improvements in Investigation Services - this area is continuously worked on by the Office. Detailed information is outlined in section 2.3 of this plan.

The Office of the Ombudsman continues to enforce efficient and effective public service delivery in performing our core functions.

Digital Government Framework

This area is under the Infrastructure & Technology pillar of the TSDF. As outlined in the government priority settings, Information and Communications Technology (ICT) advancements and affordability is an area that we will be implementing in our Office during the FY 2019/20. Currently, our office maintains a case management system on an excel spreadsheet. Over the past few years, our office has prioritised the need to conduct outreach programs to ensure all people of Tonga are aware of the services we provide. As more people are aware of the services we provide, the workload of the office has increased. The cases coming through the office would be better managed and monitored digitally. We look forward to implementation of our new initiative this year of a new case management system (CMS) that will be able to assist with not only efficiently manage the case work and work flow, but also will assist with gathering statistics and information that will be useful for our annual reports and other plans.

Quality Education

The Government prioritizes quality education as it is one of the areas of the Social Pillar in the TSDF. The Office of the Ombudsman is confident in its relevancy to promote quality education in Tonga.

- ‘Long-term strategy to conduct a comprehensive review of the whole education and skills development system in Tonga to identify areas for improvement’ - Our office would like to introduce the subject of “Good Governance” into the curriculum of schools in Tonga
 - Incorporate extra curriculum activities to the Curriculum (from Primary-Secondary) – We are confident that Good Governance is a subject that should be introduced to our young people within the schools. This can instill important values of integrity and honesty while our children are young.

2. Office of the Ombudsman Overview

2.1 Office of the Ombudsman Outputs Grouped into Divisions/Sub-Programs and Programs

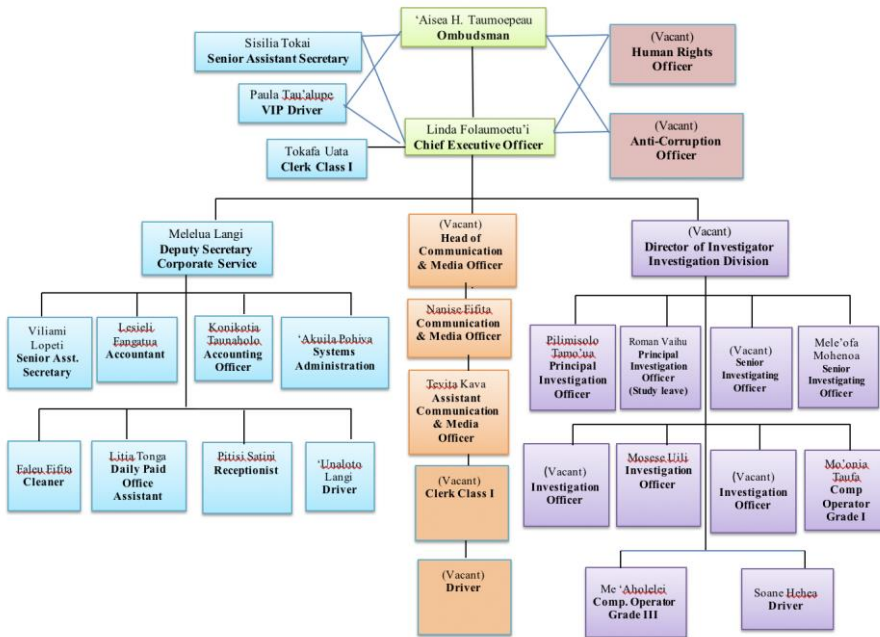
Program(s)	Ministry’s Outputs	Activities/Strategies	Responsible Division
Program 1: Leadership & Policy Advice	Better leadership and policy advice	<ul style="list-style-type: none"> • Lead weekly OMB mtgs • Provide direction and guidance to CEO and HODs • 	Ombudsman, CEO
	Better overall management	<ul style="list-style-type: none"> • Lead weekly management mtgs • Provide direction and guidance 	CEO
	Accessible to Human Rights	<ul style="list-style-type: none"> • Conduct information sessions in advocating human rights • Convene stakeholder mtgs • Own motion projects • Research, education and publications 	OMB, CEO, HRO
	Effective outreach	<ul style="list-style-type: none"> • Design & implement outreach plans • Conduct stakeholder sessions • Participate in talk back radio, tv programs and social media queries • Host office conferences and meetings • Conduct outreach programs • Facilitate press conferences and publish final reports 	Head of CM, CMO, ACOMO, CEO, ID, CSD

	Improved Human Resources and administration services	<ul style="list-style-type: none"> • Conduct recruitment process • Manage & monitor attendance book • Complete PMS • Manage vehicle log book • Provide efficient & reliable transport services • Promote healthy living activities • Participate in capacity building trainings/workshops • Provide clean working environment • Provide efficient filing services 	DS, SAS, Clerk, Receptionist, Cleaner, Drivers
	Quality financial management	<ul style="list-style-type: none"> • Prepare end of month expenditure report • Prepare monthly forecast review • Prepare & implement procurement plans • Manage & monitor assets and stock room • Process sun system orders and pick up • Review salary/wages and submit • Prepare all tax forms • Prepare vouchers for invoice payments • Prepare allowance payments 	DS, SAS, Accountant, Accounting Officer, Clerk Class III
	Accurate monitoring and evaluation	<ul style="list-style-type: none"> • Conduct weekly division mtgs • Attend weekly management mtg • Attend weekly OMB mtg • Submit monthly reports • Submit quarterly report • Prepare CP/Budget and AMP • Prepare & implement monitoring template for KPIs (CP) • Prepare complaints/query database • 	DS, SAS, Clerk Class III

	Reliable and efficient IT systems	<ul style="list-style-type: none"> • Conduct inventory check monthly on equipment • 	DS, SAS, Systems Admin, Clerk
Program 2: Investigation Services	Impartial & efficient complaint management	<ul style="list-style-type: none"> • Register complaints • Investigate complaints • Investigate own motion cases • Manage cases • Advise and record phone calls, visits 	ID Team
	Accurate monitoring & evaluation	<ul style="list-style-type: none"> • Conduct weekly division mtgs • Attend weekly management mtg • Attend weekly OMB mtg • Submit monthly reports • Submit quarterly report • Maintain records • Monitor achievement of outputs 	ID Team
	Efficient administration	<ul style="list-style-type: none"> • Contribute to preparation of CP/Budget and AMP • Contribute to preparation of AR • Conduct recruitment interviews and produce report • Review staff policy manual 	ID Team
	Ongoing capacity building	<ul style="list-style-type: none"> • Deliver and/or attend monthly training 	ID Team
Program 3: Anti-Corruption	Effective Investigation & Case Management	<ul style="list-style-type: none"> • Manage anti-corruption related cases • Gather information on anti-corruption matters • Monitor & evaluate statistics on anti-corruption matters • Prepare & present statistics, as necessary 	ACO
	Effective Arbitration	<ul style="list-style-type: none"> • Manage anti-corruption related cases • Gather information on anti-corruption matters • Monitor & evaluate statistics on anti-corruption matters • Prepare & present statistics, as necessary 	ACO

2.2 Office of the Ombudsman Organizational Structure

OFFICE OF THE OMBUDSMAN ORGANIZATIONAL CHART



2.3 Summary of the Office of the Ombudsman Planned Major Reforms

The Office of the Ombudsman keeps an open mind to positive reforms. Throughout past recent years, we have discussed ideas and worked on implementation of various new initiatives. We take time to review these new initiatives to understand the impact that it has had on our Corporate Plan and how we can strengthen specific areas of our work and make constructive changes, if any are needed to be made.

During the FY 2019/20, the Office of the Ombudsman will continue to push towards on-going progression

Reforms & Improvements in the Office of the Ombudsman

Leadership & policy advice is provided by the Office of the Ombudsman and the Office of the CEO. In reviewing processes and procedures, there are various areas that will be added to these divisions as reforms and making new provisions to improve the services available.

Court representation: Subject to amendments to the Ombudsman Act 2018, it is anticipated that recommendations that are not recognized or implemented by departments or organizations may be taken by complainants to Court and the Office of the Ombudsman will assist. It is envisaged that this power will be sparsely used and will only be pursued in civil matters.

Reforms & Improvements in the Office of the CEO

Human Rights: The area of human rights has yet to be developed and implemented within the office although there is already a provision in the Ombudsman Act which provides for mental health patients and people who are held in custody in prisons. This is a capacity that the CEO will be looking at more thoroughly to support and create a way forward to assist the people of Tonga in this aspect. It is envisaged that human rights will be incorporated into our strategy to supervise the public administration especially when it is clear that human rights violations by government authorities which constitutes serious cases of maladministration. The Ombudsman through its independence, flexibility and non-conflictual approach to the relations between individuals and the public administration have a key role to play in the protection of human rights. A Human Rights Officer will be recruited to progress this initiative further.

Freedom of Information: This is an area which requires further consultative dialogue with relevant stakeholders in developing a framework which may enhance the mandate and jurisdiction of the Ombudsman.

Outreach: In recognizing the fact that the increase of complaints correlates with outreach programs, hence the strategy to establish a Communication Division to take on the development and implementation of outreach activities for the office, there will be new initiatives created to increase awareness and spread the word to the public on the services provided by the Office of the Ombudsman. There is also a need to recruit a Head of this Division and junior administrative support, namely a Clerk and a Driver that would be responsible for duties in outreach and communication matters.

Anti-corruption: The Office of the Ombudsman will continue to support & implement relevant anti-corruption programs and activities. Last year, the office hosted the first Integrity March in Tonga. This successful event supported good governance, anti-corruption and integrity themes. It is envisioned that this FY, we will look at supporting similar events and participating in any 'anti-corruption forums that may exist. The Office would like to recruit an Anti-corruption Officer whom will undertake responsibilities that may be related to the issue of corruption. This may include gathering and analysing possible corruption matters and reporting these statistics to the Ombudsman for further consideration on way forward.

Reforms & Improvements in Corporate Services

The Corporate Services Division is responsible for various areas within the office which affect the staff of the Office of the Ombudsman. In reviewing the effectiveness and efficiency of these different areas, CSD has come up with some improvements to maintain staff satisfaction and possibly promote positive morale within the office. Some of these reforms are to increase accountability and ensure processes are completed within a timely manner.

Performance Management System (PMS): Although staff of the Office of the Ombudsman are no longer under the Public Service Commission, during the past FY, we followed the guidelines and timeline of the PMS. Our office is confident that we can effectively implement the PMS ourselves and ensure that this process is completed in a timely and accurate manner.

Positive Office Morale: As PMS will assist with lifting the standard of professionalism in the office, we feel it also vital to maintain positive office morale for all staff. From promoting healthy living to recognizing staff of the month and year, we are positive that implementing these areas effectively will not only create a satisfactory work environment, but we also envision that this can increase efficiency in the work place. We continue to encourage team work and unity and office uniforms display the collaboration and cooperation we strive to maintain.

Corporate Planning & Budgeting: Over the past few years, the Corporate Plan and budget was discussed by management and consultations progressed with the Ministry of Finance. Staff of the

Office of the Ombudsman would then be presented the approved plan without being given an opportunity to comment. This year, it is envisioned that the Office will plan 2 Corporate Plan and Budget retreats. One at the beginning of the FY (July) which will present an approved Corporate Plan and Budget to the staff and ensure all staff are aware how they're individual work processes fit into the plan. The second will take place during the early stages of the second half of the FY (Feb), where as, staff will review their planning and budgeting performance and also give suggestions to the next FY Corporate Plan and Budget.

Accounts: The Accounts team will look at improving their work flow processes to ensure smooth operating and timely processing of orders and financial matters. A tracker database is developed but needs to be efficiently implemented to ensure financial matters are being taken care of appropriately and to minimize unnecessary delays. As accounts staff tighten and improve their processes, the number of queries from Treasury should also lessen. Improvements in management of the office budget expenditure will ensure funds will be sufficient throughout the whole year.

Capacity Building/Training: Basic soft skills training will assist with all staff in this division. Communication, customer service, basic filing skills and time management are just some of the topics that will be presented to the team and will definitely assist with increasing efficiency and effectiveness of the Corporate Services Division.

IT: With one staff in this section, we recognise the need for this staff to build his capacity so that he is capable of efficiently and effectively managing the office IT needs.

Reforms & Improvements in Investigation Services

As the Investigation Division is responsible for undertaking the core responsibilities of the office, they continuously review their processes and make sure they are practical and efficient. The Investigation Division are in need of a reliable & efficient system that can manage and monitor cases appropriately.

Case Management: The team will continue to hone and develop their investigative skills focusing on achieving the established performance standards and following the Investigation Hand Book. Emphasis on correct record keeping, documentation of investigation including interviews, assessments, recording of phone calls and visits. Timely action at each stage of each case investigation is essential to ensure effectiveness and relevance.

A Case Management System (CMS) is a new initiative for our office this financial year. Our staff have been managing a simple excel spreadsheet as the database for cases and statistics. As the work of the office has increased, we see the importance of using a CMS that is a bit more advanced that can capture important deadline dates and flag issues or concerns that need attention from Investigators or Management team. The CMS will be able to analyse data and provide statistics for reporting, mainly our annual report.

3. Office of the Ombudsman Budget and Staffing

To deliver the MDA Outputs to the standards set out for each division/sub-program the overall budget, summarized in Table 1 and staff, summarized in Table 2 are required **(both tables will fill once CP completed):**

Table 1: Office of the Ombudsman Budget by Recurrent, Development and item (cash & in-kind – millions)

Expenditure Item (\$m)	2017/18 provisional	2018/19 revised	2019/20 budget	2020/21 proj. 1	2021/22 proj. 2
Established Staff (10xx)	3.63	3.99	4.91	4.66	4.66
Un established Staff (11xx)	0.26	0.09	0.11	0.09	0.07
Travel and Communication (12xx)	0.51	0.43	0.54	0.49	0.48
Maintenance and Operations (13xx)	0.22	0.20	0.26	0.23	0.23
Purchase of Goods and Services (14xx)	1.40	1.33	0.94	0.94	0.93
Grants and Transfers (15xx)					
**Assets (20xx)	0.02	0.03	0.26	0.21	0.13
Total OMB Operation Recurrent	6.04	6.07	7.24	7.23	6.61

Notes:

1. 'Established and Unestablished staff' is all expenditures under CATs 10 and 11
2. 'Ministry Operational Costs' is, for Programs 1, 2 and 3, all expenditures under CATs 12, 13, 14.
3. 'Assets' is expenditures under CAT 20.
4. 'Services on behalf of the Government' includes all Expenditures under Program 4 – General Fund, Program 5 – Debt Management and all expenditures from CATs 15, 16, 17, 18, 19, 21, and 22.

Table 2: Ministry Total Staff by Key Category

Category	2015/16 provisional	2016/17 revised	2017/18 budget	2018/19 proj. 1	2019/20 proj. 2
Established Staff					
Executive Officer (Level 0 to2)	11	11	11	11	11
Professional Staff (Level 3 to 9)	76	93	99	99	99
Other Staff (Level 9A to 14A)	51	47	72	72	72
Total Established Staff	138	151	182	182	182
Unestablished Staff	8	4	3	3	3
Total Staff	146	152	185	185	185
Total Recurrent Cost (\$m)	3.89	4.08	4.65	4.46	4.44

4 Office of the Ombudsman Programs and their Subprograms

4.1 Program 04.1: Leadership & Policy Advice

This program groups the leadership and management outputs of the Office. The major stakeholders of this program include Government Ministries, Public Enterprises & General Public and the Office of the Ombudsman Staff.

Division(s)/Subprograms Responsible

Sub-program 1.1: Office of the Ombudsman

Sub-program 1.2: Office of the CEO

Sub-program 1.3: Corporate Services Division

Sub-program 1.4: Communication Services

Link to last CP&B [Mark the appropriate cell]	Ongoing	Minor change	Major Change	New
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There are major changes to be implemented in the Office of the Ombudsman's work plan for the FY 2019/20. These changes are the result of the office's ongoing desire to effectively serve the people of Tonga and provide accessible services.

Total Staff by Key Category Sub-Program 1.1 Office of the Ombudsman

Description	2017/18 budget	2018/19 estimate.	2019/20 projection.	2020/21 projection
Total = Recurrent (\$m)				
Executive Staff				
Prof Staff				
Other Staff				
Total Established				
Unestablished	0	0	0	0

The Ombudsman, Senior Assistant Secretary & VIP Driver are staff under this Sub-program

Output: Better Leadership & Policy Advice

This output is divided into eight sub-outputs and the Office of the Ombudsman will be responsible for the following **Sub-Output 1: Leadership & Advice** of the OMB Operations. All relevant reporting to the Legislative Assembly and to the Ministry of Finance will be submitted by the leadership of the Office of the Ombudsman.

As outlined in the Ombudsman Act, the following powers are given to the Ombudsman:

- Power to investigate any decision, recommendation, act done or omitted relating to administration by a department or organisation which applies to any officer (including a Minister or Governor) employee or member of such department or organisation;
- Power to investigate referrals from the Prime Minister of any matter subject to approval of Ombudsman;
- Power to instigate an investigation through the Ombudsman's own motion powers;
- Power to summon relevant people and documents
- Power to carry out hearing;
- Power to report and make recommendations;
- Power to appoint staff

As the Ombudsman makes a final review of the investigations, he will take on this task to the best of his ability and provide appropriate advice to relevant stakeholders.

Sub-Output 1: Better Leadership & Policy Advice						SDG/TSDf	
Activity:	KPIs	2018/19 (baseline)	2019/20	2020/21	2021/22	TARGETS #	INDICATORS #
<ul style="list-style-type: none"> Conduct daily, weekly & monthly mtgs 	Weekly reports submitted	48	48	48	48		
<ul style="list-style-type: none"> Review & edit/approve draft Corporate Plans 	Weekly progress recorded; quarterly reports submitted	1	1	1	1		

Total Staff by Key Category Sub-Program 1.2 Office of the CEO

Description	2017/18 budget	2018/19 estimate.	2019/20 projection.	2020/21 projection
Total = Recurrent (\$m)				
Executive Staff				
Prof Staff				
Other Staff				
Total Established				
Unestablished	0	0	0	0

The CEO, Clerk Class I and Human Rights Officer are part of this sub-program.

The Office of the CEO also contributes to the achievement of output 1 as the CEO provides the leadership and guidance to ensure smooth operations in all aspects of the office.

The following two (2) Sub-Outputs are under the direction and guidance of the CEO:

Sub-Output 2: Better Overall Management

Sub-Output 3: Accessible to Human Rights

Sub-Output 2: Better Overall Management						SDG/TSDf	
Activity:	KPIs	2018/19 (baseline)	2019/20	2020/21	2021/22	TARGETS #	INDICATORS #

<ul style="list-style-type: none"> Lead weekly management mtgs Provide direction and guidance 							
Sub-Output 3: Accessible to Human Rights						SDG/TSDF	
Activity:	KPIs	2018/19 (baseline)	2019/20	2020/21	2021/22	TARGETS #	INDICATORS #
<ul style="list-style-type: none"> Lead weekly management mtgs Provide direction and guidance 							

Total Staff by Key Category Sub-Program 1.3 Corporate Services Division

Description	2017/18 budget	2018/19 estimate.	2019/20 projection.	2020/21 projection
Total = Recurrent (\$m)				
Executive Staff				
Prof Staff				
Other Staff				
Total Established				
Unestablished	0	0	0	0

Sub-Output 4: Improved human resources and admin services						SDG/TSDF	
Activity:	KPIs	2018/19 (baseline)	2019/20	2020/21	2021/22	TARGETS #	INDICATORS #
-Advertise vacant posts for 2 weeks, fill out bio data, prepare applications for distribution to Panelists, shortlisting, interviews	Timely recruitment of all vacant posts	95%	95%	95%	95%		
-prepare attendance book for the week, ensure all staff signed in daily, review	Timely management of staff attendance	Daily attendance record distributed = no < 220	Daily attendance record distributed = no < 220	Daily attendance record distributed = no < 220	Daily attendance record distributed = no < 220		

register from landlord, email all staff							
Fill out and process leave forms, send out leave balance to all staff	Timely management of staff leave	By last day of every month	By last day of every month	By last day of every month	By last day of every month		
Distribute forms and conduct one to one with all staff	Timely completion of staff PMS to submit to CEO	By 1 st Feb	By 1 st Feb	By 1 st Feb	By 1 st Feb		
Fill out log book regularly and bring to SAS for signing	Timely submission of vehicle log book	Before 1 st daily delivery	Before 1 st daily delivery	Before 1 st daily delivery	Before 1 st daily delivery		
Fill out maintenance checklist and submit to SAS for review	Timely submission of vehicle maintenance list	Before 1 st daily delivery	Before 1 st daily delivery	Before 1 st daily delivery	Before 1 st daily delivery		
Create monthly health promoting activities for all staff; keep track of their health progress	Timely submission of monthly health progress reports	By 1 st week of new month	By 1 st week of new month	By 1 st week of new month	By 1 st week of new month		
Seek out training possibilities for staff and implement	Timely delivery & receiving appropriate training	12	12	12	12		
Provide clean working environment	Number of written complaints received monthly	Less than 3 complaints per month	Less than 3 complaints per month	Less than 3 complaints per month	Less than 3 complaints per month		
Provide efficient filing services	Timely clearing of outward file trays	No longer than 2 days	No longer than 2 days	No longer than 2 days	No longer than 2 days		
Record complaints and discuss in weekly meeting to improve	Number of written complaints received monthly against Administration services	<5	<5	<5	<5		
Sub-Output 5: Quality financial management						SDG/TSDf	
Activity:	KPIs	2018/19 (baseline)	2019/20	2020/21	2021/22	TARGETS #	INDICATORS #

Email notification to all HODs	Timely submission of Forecast to CEO, OMB, MFP						
Sub-Output 6: Accurate monitoring & evaluation						SDG/TSDf	
Activity:	KPIs	2018/19 (baseline)	2019/20	2020/21	2021/22	TARGETS #	INDICATORS #

Total Staff by Key Category Sub-Program 1.4 Communication Services

Description	2017/18 budget	2018/19 estimate.	2019/20 projection.	2020/21 projection
Total = Recurrent (\$m)				
Executive Staff	0	0	1	1
Prof Staff	0			
Other Staff				
Total Established				
Unestablished	0	0	0	0

Sub-Output 7: Effective outreach & communication services						SDG/TSDf	
Activity:	KPIs	2018/19 (baseline)	2019/20	2020/21	2021/22	TARGETS #	INDICATORS #

4.2 Program 04.2: Investigation Services

Division(s)/Subprograms Responsible

Sub-program 2.1: Investigation

Link to last CP&B [Mark the appropriate cell]	Ongoing	Minor change	Major Change	New
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There are major changes to be implemented in the Office of the Ombudsman's work plan for the FY 2019/20. These changes are the result of the office's ongoing desire to effectively serve the people of Tonga and provide accessible services.

Total Staff by Key Category Sub-Program 2.1 Investigation Division

Description	2017/18 budget	2018/19 estimate.	2019/20 projection.	2020/21 projection
Total = Recurrent (\$m)				
Executive Staff				
Prof Staff				
Other Staff				
Total Established				
Unestablished	0	0	0	0

OUTPUT – Better Investigation Services

Output: Impartial & effective complaint management						SDG/TSDf	
Activity:	KPIs	2018/19 (baseline)	2019/20	2020/21	2021/22	TARGETS #	INDICATORS #
• Conduct daily, weekly & monthly mtgs		48	48	48	48		
• Review & edit/approve draft Corporate Plans		1	1	1	1		
Sub-Output 2: Accurate monitoring & evaluation						SDG/TSDf	
Activity:	KPIs	2018/19 (baseline)	2019/20	2020/21	2021/22	TARGETS #	INDICATORS #

Sub-Output 3: Efficient administration						SDG/TSDf	
Activity:	KPIs	2018/19 (baseline)	2019/20	2020/21	2021/22	TARGETS #	INDICATORS #
Sub-Output 4: Relevant capacity building						SDG/TSDf	
Activity:	KPIs	2018/19 (baseline)	2019/20	2020/21	2021/22	TARGETS #	INDICATORS #
<ul style="list-style-type: none"> Conduct relevant training 	<ul style="list-style-type: none"> Create a program Divide topics to officers Prepare & deliver proper training 	Once every month	Once every month	Once every month	Once every month		
<ul style="list-style-type: none"> Report on relevant training 	<ul style="list-style-type: none"> Create a program Divide topics to officers Prepare & deliver proper training 	Once every month	Once every month	Once every month	Once every month		

4.2 Program 04.3: Anti-Corruption

Division(s)/Subprograms Responsible

Sub-program 3.1: Investigation and Case Management

Sub-program 3.2: Arbitration

Link to last CP&B [Mark the appropriate cell]	Ongoing	Minor change	Major Change	New
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Total Staff by Key Category Sub-Program 3.1 Investigation & Case Management and 3.2 Arbitration

Description	2017/18 budget	2018/19 estimate.	2019/20 projection.	2020/21 projection
Total = Recurrent (\$m)				
Executive Staff			1	2
Prof Staff				
Other Staff				
Total Established				
Unestablished	0	0	0	0

Sub-Output 1: Effective Investigation						SDG/TSDf	
Activity:	KPIs	2018/19 (baseline)	2019/20	2020/21	2021/22	TARGETS #	INDICATORS #
• Manage anti-corruption related cases	Timely submission of analysis	Every week	Every week	Every week	Every week		
• Gather information on anti-corruption matters	Thorough plans for awareness	Every week	Every week	Every week	Every week		
• Monitor & evaluate statistics on anti-corruption matters	Timely reporting	Every week	Every week	Every week	Every week		
• Prepare & present statistics,	• Timely reporting	At monthly staff mtg	At monthly	At monthly	At monthly		

as necessary			staff mtg	staff mtg	staff mtg		
Sub-Output 1: Effective arbitration						SDG/TSDf	
Activity:	KPIs	2018/19 (baseline)	2019/20	2020/21	2021/22	TARGETS #	INDICATORS #
<ul style="list-style-type: none"> • Manage anti-corruption related cases 	Timely submission of analysis	Every week	Every week	Every week	Every week		
<ul style="list-style-type: none"> • Gather information on anti-corruption matters 	Thorough plans for awareness	Every week	Every week	Every week	Every week		
<ul style="list-style-type: none"> • Monitor & evaluate statistics on anti-corruption matters 	Timely reporting	Every week	Every week	Every week	Every week		
<ul style="list-style-type: none"> • Prepare & present statistics, as necessary 	Timely reporting	At monthly staff mtg	At monthly staff mtg	At monthly staff mtg	At monthly staff mtg		