

Capacity Assessment Report of the Afar, Gambella, and Somali Regional Ethics and Anti-Corruption Commissions (REACCs)

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DISCLAIMER

The contents of this report are the responsibility of the Consultant (PRIN International) and do not necessarily reflect the views of FEACC, MoFEC or the World Bank.

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ACRONYMS/ABBREVIATIONS

ARECC	Afar Region Ethics and Anti-Corruption Commission
CSA	Central Statistical Agency of Ethiopia
CSOs	Civil Society Organizations
DRS	Developing Regional States
EEPC	Ethiopian Electric Power Corporation
ERCA	Ethiopian Revenue & Customs Authority
FEACC	Federal Ethics and Anti-Corruption Commission
FGD	Focus Group Discussion
GoE	Government of Ethiopia
GTP	Growth and Transformation Plan
HRM	Human Resource Management
ICT	Information Communication Technology
IOM	International Organization for Migration
KII	Key Informant Interview
MOU	Memorandum of Understanding
NGO	Nongovernmental Organization
REACC	Regional Ethics and Anti-Corruption Commission
SNNPR	Southern Nations, Nationalities, and Peoples Regional State
SP	Strategic Planning
UNCAC	United Nations Convention Against Corruption
UNDP	United Nations Development Program
UNHCR	United Nations High Commissioner for Refugee
UNICEF	United Nations Children's Emergency Fund
UNSECO	United Nations Science, Education and Cultural Organization
USAID	United States Agency for International Development
WFP	World Food Programme
WB	World Bank

EXECUTIVE SUMMARY

Background of the Capacity Assessment

Corruption occurs in all parts of the world including Ethiopia. Combating corruption is one of the critical agendas of the Ethiopian government for realizing the vision of the country becoming a middle-income country by 2025. Accordingly, all the nine regional states of Ethiopia have established their own Ethics and Anti-Corruption Commissions (REACCs). Since their establishments, the REACCs have scored significant results in fighting against corruption (FEACC, 2015/2016). They have achieved remarkable results in educating, preventing, investigating and prosecuting corruption. However, compared to relatively well-developed regional states of the country, a full-fledged/comprehensive attack on corruption remain a challenge in the emerging regional states of the country. The Government of Ethiopia (GoE) in collaboration with World Bank has thus initiated this capacity assessment for the Afar, Gambella, and the Somali Regional States Ethics and Anti-Corruption Commissions in order to undertake research-based capacity development interventions.

Objective of the Capacity Assessment

The objective of the consultancy service is to systematically assess and identify key capacity gaps of Regional Ethics and Anti-corruption Commissions of Afar, Gambella and Somali Regional States in terms of executing their mandates, responsibilities and functions and also to suggest possible courses of action in order to meet those capacity needs followed by preparation of work plan.

Methodology

A theoretical framework derived from Neo-institutional, Stakeholder, and Contingency theories guides the assessment of key capacity gaps of Afar, Gambella, and Somali REACCs in terms of executing their mandates, responsibilities and functions and suggest possible courses of actions. Using the theoretical lens (adopted from UNDP, 2011), the capacity assessment was undertaken through three distinct but inter-connected levels or entry points; viz., the enabling environment, the organizational level, and the individual level in order to understand the 'core issues' or challenges that constrain the effectiveness of REACCs. As the nature of this capacity assessment work is complex, dynamic and multidimensional, involving a large number of actors drawn from inside and outside of the REACCs, this study was carried out on the basis of mixed method research design and fully adheres to research ethics.

In this study, the combination of both primary and secondary sources was used to collect relevant data. The sources of secondary data were: national policies, strategies, legal frameworks, budget proclamations, regulations, guidelines, etc. Primary data were collected from diverse salient stakeholders of the three commissions through four different data collection methods; viz., key informant interviews (KIIs), focus group discussions (FGD), questionnaires, and observation checklist. As the key informants, 92 purposely selected internal and external stakeholders, who are particularly knowledgeable about the three commissions were involved in the series of interviews. A total of 375 participants from youth, women, and religious leagues, professional associations and regional chambers of commerce have participated in 26 (9 in Afar, 9 in Gambella, and 8 in Somali) different focus group discussions. In addition, as the main sources of quantitative data, a total of 371 respondents who had been selected from the three REACC staff, Ethics liaison officers in the

respective regions, and the three regional council members using stratified random sampling technique filled in and returned the questionnaires. The two questionnaires were mainly prepared using a 4-pt Likert Scale. The existing capacity assets of the commissions along with the meaning attached to each one of them in the two types of questionnaires (see Annex 1 and 2) are listed as follows:

- **Nascent (1)**– the capacity is almost non-existent and needs very immediate attention,
- **Emerging (2)**– there is an initiative to build the capacity but much external support is needed to strengthen it,
- **Expanding (3)** –the organization has demonstrated the capacity to fill its gaps but it requires some level of external support, and
- **Matured (4)** – the capacity is fully developed and, hence, does not require any external support.

Moreover, on the basis of the urgency of the need, the priority of capacity development needs (CDS) have been rated as **high (3)**, **medium (2)** or **low (1)**.

The analysis of quantitative data was made by applying descriptive (cross-tab) analysis, such as frequency counts and percentage. With regard to the qualitative data, we conducted three types of analysis: (i) content analysis, (ii) analysis at the level of the individual REACC (see Chapters 4 to 6), and (iii) comparative data analysis across the three REACCs (Chapter 7). The senior coordinators of PRIN conducted direct observation of the commissions in order to further substantiate data collected through the above mentioned tools. The concerted efforts of various actors drawn from FEACC, REACCs and the consultant have led to the attainment of an aggregate response rate of 83% of the initial plan for this study.

Major findings:

Having critically analysed the data obtained through quantitative and qualitative methods, the following major findings against each entry point for capacity assessment; viz., the enabling environment, organizational level, and the individual level were documented.

1. Enabling Environment

- 1.1. The political will/commitment to fight corruption across the three regional states was found to be high as perceived by the majority of the participants. This political will has been demonstrated by the legal establishment of the commission, allocating the available budget despite its meagreness, fairly structuring and staffing it.
- 1.2. Almost all respondents from the three commissions and their respective regional council members rated the adequacy of the legal frameworks under which the commissions operate. In this regard, the majority of the respondents perceived that the commissions have been granted acceptable level of autonomy in terms of staffing, internal organization, functional independences, and internal resource allocations.
- 1.3. The allocated budget to each REACC was reported as extremely inadequate to carry out the activities of the commissions and in some cases, it particularly promotes the notion of funding at a constant level (more so in the Afar REACC).
- 1.4. Although intensive stakeholder engagement is believed to be a crucial part of a fight against corruption, the capacity of mobilizing the salient stakeholders across the three commissions was found to fall in the range of **nascent** and **emerging**. Afar REACC is found

to be in a better position in this regard. In Afar, the commission has signed key MOUs with its salient stakeholders (like clan leaders, educational facilities, Police commission and justice office) as part of forming strategic alliances and there are key formal structure such as clan leader council for working in close collaboration.

2. The Organizational Level

- 2.1. Based on their mandates granted by respective establishment proclamations, the three REACCs have developed their visions and mission statements, codified through succinct statements for setting its institutional identity, for motivating staff and creating a sense of purpose. All commissions have their own active five year strategic plans. It is claimed that they have adequate capacity for planning and reviewing their strategic plans.
- 2.2. The findings revealed that the commissions in collaboration with their stakeholders have been trying to build the executive leadership capacity but were not exhaustive enough. As a result, more is required to build the capacity of their respective executive leaders to become strategic thinkers and effective managers through tailored-made training and exposure visits. Urgent capacity development of the leaders of the commissions is of paramount importance to deal with other capacity limitations identified in this research.
- 2.3. The commissions' capacity in terms of creating clear policy and procedural manual for giving ethics education, forming strategic partnerships with Medias, and in-house capacity for producing brochures and flyers falls between **nascent** and **emerging**. Similarly, the REACCs' capacity for corruption prevention, investigation and prosecution of corruption was found to be close to **emerging**. However, the level of capacity and readiness to register or cause the registration of the assets and financial interests of public officials and other public employees was found to be **nascent** (almost non-existent) and needs very immediate attention before engaging on the actual task.
- 2.4. The results of data analysis reveal that the capacity of knowledge and information management across the three commissions is almost in a **nascent** or very infant stage and needs very immediate attention. This capacity is particularly to promote institutional memories in a circumstance where there is an exodus of staff turnover, which is typical to many of public organizations.
- 2.5. This study clearly documented that the commissions also suffer from inadequate non-human resources like shortage of finance, physical resources, and information and communication technology (ICT), which are essential ingredients for them to discharge their duties and responsibilities. The deficiency of the resources is manifested in the form of inadequate office space for all their staff members; shortage of office equipment like laptops, computers and printers including internet services for the entire staff of the commissions. These basic materials are luxury items for the technical staffs working on key positions. Equally, shortages of vehicles and motor vehicles, inadequate investigation equipment like digital camera, and sound recorders were reported as main capacity gaps of the three commissions. Arguably, almost all participants in this capacity assessment believe that shortage of financial resource is the mother/main source of capacity limitations in the human and the above mentioned nonhuman resources.
- 2.6. The Commissions are currently operating with very limited human and non-human resources by basing themselves only in the regional capitals without having structural

presence at zonal and Woreda levels. This has been perceived as one of critical gaps by the study participants.

3. The Individual Level

- 3.1. The findings of this study show that the capacity of the three commissions to pursue their legal obligations (i.e., spread ethical education and fight against corruption) has been limited due to inadequate human resources in terms of volume and professional mix. Across the three commissions, it is difficult to have human resources in adequate number and sufficient quality as stated in their human resource demand projections. Very serious challenges were observed at the Somali and the Afar REACCs, which met only 24% and 39% of their human resource demands. Compared to the support services, much more capacity limitation was prevalence in particular areas of professional expertise or knowledge, which are mostly linked to specific functions of the commissions. In general, this individual level capacity, which refers to the skills, experience and knowledge that are vested in people and reflected as staff profile falls between *nascent* and *emerging* (but close to *emerging*).
- 3.2. Major priority areas suggested for improving REACCs' capacity include the individual level capacity development (specifically trainings for prevention, ethics education and prosecution staff) and the organizational level capacity (related to human resource & financial manuals and capacity building trainings).

Conclusions

This capacity assessment analysed the current capacities of the Afar, Gambella, and Somali Regional Ethics and Anti-Corruption Commissions against desired capacity features. This study concluded that the capacity gaps in terms of assets and needs are observed at all capacity development levels/entry points. This is attributed internally to both individual and organizational capacity levels in terms of inadequate human (technical staff knowledge, skills and experiences), non-human resources (financial resources, own building, office furniture and equipment, vehicles, ICT infrastructures, etc.) and weak financial management, HRM, M&E system, and knowledge management system; and externally to institutional framework and coordination mechanisms. The most critical capacity limiting factor across the three commissions was found to be inadequate budget. One of the grave capacity gaps related to structure is absence of the commissions' affiliated branch offices at the Zones and Woredas. Moreover, there is unit in charge of asset registration and disclosure, but not undertaking the actual tasks. What is more, inadequate capacity of mobilizing diverse salient stakeholders (viz., state institutions, civil society, private sector & others) towards fighting corruption is increasingly becoming serious capacity gaps.

The Ways Forward

This capacity assessment clearly indicated that the gaps between capacity assets and needs at the three Regional State Ethics and Anti-Corruption Commissions have been explained by a multitude of interrelated factors in both the internal and external environments. This implies that there is a need for improvement in both the internal and external environments of the commissions to bring positive changes in current ethics and anti-corruption practices. Based on the major findings, the following recommendations have been forwarded:

- i. The three regional states are advised to allocate sufficient budget to their commissions that enable them to carry out the activities as indicated in their strategic plans.
- ii. As disseminating ethics education and fighting corruption is not the sole responsibility of a single commission, there is a need for mobilizing as many key stakeholders as possible. As a consequence, the main functions include the common feature of requiring considerable coordination among different stakeholders like government departments, independent oversight agencies, the legislative bodies as well as non-state actors like civil society, NGOs and the private sector. In this regard, the commissions have to sign stakeholder specific MOUs with their salient stakeholders as part of forming strategic alliances.
- iii. Structurally, the REACCs are advised to establish a dedicated structure like coordination office that makes the much needed link between internal activities and the outside world (particularly stakeholders) by highlighting opportunities for collaboration. Additionally, it is suggested that the Commissions may establish very efficient and slim offices at the Woreda level and Zones within their regions as the case may be. There is an urgent need for an intelligence and surveillance team to be created at regional and woreda levels.
- iv. With regard to organizational level capacity development, the existing systems, working procedures and manuals shall be continuously improved and refined in the light of mission accomplishment, efficiency, cost containment, service quality and access, and effectiveness.
- v. Disseminating ethics education and fighting corruption depends on knowledge embedded in people (mainly technical staff as well as other non-human inputs such as technologies, there is an urgent need for developing individual capacities. Major priority areas suggested for improving REACCs capacity include the individual level capacity development (specifically capacity building trainings for prevention, ethics education and prosecution staff) and some exposure visits in-country and abroad. In very special cases and specific purposes, secondment from FEACC or any sister REACC has proven to be effective in many ways, provided that the same conditions and safeguards apply to seconded personnel as they do to regular staff. There should also be a leadership and management capacity building training for the executive leadership. For sustaining such training, FEACC is advised to establish its own training centre in collaboration with Ethiopian universities.
- vi. Urgent measures should be taken for improving the commissions' non-human resources, such as provision of fairly comfortable office space for all the staff members, office equipment like laptops, computers and printers including internet services for the entire staff of the commission. There is a need for having more vehicles and motorcycles (to be used in pool) for covering vast parts of the regions. Very urgent action should be taken to avail investigation equipment like digital camera, and sound recorders.

CHAPTER ONE: INTRODUCTION

1.1 Background of the Capacity Assessment

Corruption occurs in all parts of the world. More than US\$ 1 trillion is paid in bribes every year, and the costs of corruption in the developing world have reached approximately US\$80 billion annually (World Bank Institute, 2006). There is no question about the negative impacts of corruption on the overall development of a nation. Economically, corruption distorts economic systems by significantly deterring the development of markets, increasing uncertainty, discouraging investment, increasing costs, and reducing competitiveness. It generally weakens the institutional foundations on which economic growth depends. Socially, corruption implies discrimination, injustice and disrespect for human dignity that cause social disintegration. Politically, corruption undermines the rule of law, endangers the stability of democratic institutions, discriminates in the delivery of government services and thus violates the rights of the people, and the poor in particular.

There is now broad consensus in the international community that corruption is one of the key ingredients that can constrain the achievement of sustainable development and poverty reduction. The prevalence of corruption reflects a democracy, human rights and governance deficit that negatively impacts on poverty and human security of every nation. This belief is reinforced by the endorsement of States parties to the United Nations Convention Against Corruption (UNCAC) that promote the capacities to undertake preventive and law enforcement functions (see Articles 5, 6 and 36). Ethiopia is not an exception to this social menace.

The government of Ethiopia strongly believes that combating corruption is critical to meeting its five-year rolling Growth and Transformation Plans (GTPs) targets and realizing the vision of Ethiopia becoming a middle-income country by 2023 (National Planning Commission, 2015). As part of the civil service reform program that started in the 1990s, the Federal Government of Ethiopia legally established the Federal Ethics and Anti-Corruption Commission (FEACC) in May 2001 (see Federal Ethics and Anti-Corruption Proclamation, 2001; Revised Federal Ethics and Anti-Corruption Proclamation, No. 433/2005). The Commission was tasked to create anti-corruption awareness and to promote ethics and integrity in public services. Since 2007, regional states have been following the federal government in passing laws and establishing their own anti-corruption bodies. Today, all nine regional administrations have Regional Ethics and Anti-Corruption Commissions (REACCs) that have been legally-backed, structurally-established, staffed and financially-supported (see all the Budget proclamations since 2001 for FEACC and since 2007 for REACCs).

Since their establishments, Federal Ethics and Anti-Corruption Commission (FEACC) and Regional Ethics and Anti-Corruption Commissions (REACCs) have scored significant results in fighting corruption. They have achieved remarkable results in educating, preventing, investigating and prosecuting corruption. Millions of citizens have been educated on ethics and integrity; thousands have been investigated and prosecuted; millions of USD has been returned to public treasury; and the working procedures of hundreds of public institutions and enterprises have been studied to identify and address practices that are prone to corruption. Additionally, more than 200,000 elected officials, political appointees and civil servants have been made to declare their assets to promote

transparency and curb corruption in public institutions (see all physical and financial reports presented to their respective parliament and regional councils).

As for many other developing and developed countries, a comprehensive attack on corruption remains a challenge in Ethiopia. To date, FEACC and its regional counterparts have been using the usual and conventional approach in education, prevention, investigation and prosecution. These commissions have often been criticized for not living up to their promise of tackling corruption effectively by actually reducing the incidence of corruption across the country. Some of the researches conducted have indicated the delivery of the commission could not be compatible with the public expectation. The capacity gaps (required vs. actual capacity) are so big for the Developing Regional States (DRS) (viz., Afar, Gambella, Benshangul-Gumuz and Somali) of Ethiopia. More importantly, the current wave of decentralization raises additional concerns that corruption will spread further to the local levels of government including Woreda and Kebele structures due to capacity gaps and other adjoining factors (Gudeta, 2013: GoE, 2013).

To undertake research-based capacity development interventions, the Ethiopian Government in collaboration with its development partners initiated this specific capacity assessment for Afar, Gambella, and Somali National Regional States Ethics and Anti-Corruption Commissions. The assessment process is expected to explicitly indicate key capacity gaps in the above mentioned commissions and indicate key actions to ensure the identified gaps are addressed effectively, as the first step towards developing effective, targeted capacity development programmes for the mentioned Ethics and Anti-Corruption Commissions. The study has been commissioned to PRIN International Consultancy and Research Services based on competitive bid.

1.2 Objective of the Assignment

The ToR clearly states that despite legislation and the establishment of Ethics and Anti-Corruption Commissions both at the Federal and Regional levels, overall results in combating corruption remain far from satisfactory, with intentions still outnumbering accomplishments and tangible successes remaining sparse. Corruption can still be one of the main obstacles to achieving sustainable pro-poor development in support of the Growth and Transformation Plan of the country. The objective of the consultancy service is to systematically assess and identify key capacity gaps of Regional Ethics and Anti-corruption Commissions of Afar, Gambella and Somali Regional States in terms of executing their mandates, responsibilities and functions and also to suggest possible courses of action in order to meet those capacity needs followed by preparation of work plan.

1.3 Scope of the Assignment

According to the ToR, the scope of the assignment is to conduct an assessment of capacity of regional Ethics and three (3) regional states Ethics and Anti-Corruption Commissions of Afar, Gambella and Somali Regional States.

1.4 Main Tasks

The ToR for this capacity assessment identified the following major tasks to be accomplished by the consultant:

- Prepare and submit inception reports including detailed work plan for the assessment. As part of the inception report;

- Provide a detailed mode of work, methodology, key information sources to be used, and institutions / organizations to be consulted in undertaking the task;
- Design proper methodologies for data collection and analysis;
- Review of relevant documents including findings of assessments carried out at different level and other regional states;
- Meet/discuss with key organization staffs including senior officials, technical officers and administrative/support staffs;
- Review and assess organizational structures, work flow and communications in key program and support departments;
- Conduct stakeholder analysis and collect first hand data from various governmental, non-governmental and private sector stakeholders and more importantly end-users;
- Collate, analyse and interpret the data and organize key finding areas (issues, strengths, weaknesses and improvement areas);
- Suggest areas of improvement and provide input for the REACCs and FEACC.

1.5. Organisation of the Capacity Assessment Report

This report is organised into eight chapters. Chapter 2, following this introductory chapter, contains a review of existing research work related to corruption, both at the international level, national level and at the specific regional level. This chapter presents what we know about corruption across the globe, and what issues need more investigation. Specifically, the chapter discusses how the theoretical approach of the study has been applied, and what links there are between the theoretical frameworks. The main elements of the conceptual framework of the study are operationalised in Chapter 3. This chapter also presents the research design and discusses methods, data sources, sampling instruments and data analysis techniques. Chapters 4 to 6 present the empirical findings of the Afar, Gambella, and the Somali Regional Ethics and Anti-Corruption Commissions, respectively. Chapter 7 provides a comparative analysis of the three cases. Finally, Chapter 8 presents the summary and conclusions of the capacity assessment study.

CHAPTER TWO: REVIEW OF THE LITERATURE

2.1. Introduction

This Chapter argues that corruption is one of the key challenges for the development of a nation. It aims to provide readers with an overview of the literature on corruption in Ethiopia. It tries to offer an operational definition of corruption, analyses broadly its costs and impacts, and the current state of play, and its effects as governmental strategic responses to curb corruption. It also explores the factors affect the effectiveness of ethics and anti-corruption commissions. Finally, it highlights “roadmaps” or strategies for capacity assessment of Ethics and Anti-Corruption Commissions.

2.2. Briefs about Corruption

Corruption is difficult to define in a succinct manner due to its multifaceted nature. It is a subjective concept whose meaning may not always be the same to all groups and societies at all levels (see also FEACC, 2013: 7). Egbue’s (2006) comprehensive understanding of corruption is presented as conceptual framework as follows: (i) deliberate subordination of public interest to personal ones, (ii) secrecy of execution except where powerful individuals or their agents can be open about it, (iii) requiring interaction in a reciprocal framework between those who require certain decisions and those who can influence such decisions, (iv) involving processes of covering up unlawful acts under the cloak of lawful justification, and (v) involving contradictory dual functions-correct official functions and incorrect corrupt ones.

Corruption occurs in all parts of the world. More than US\$ 1 trillion is paid in bribes every year, and the costs of corruption in the developing world have reached approximately US\$80 billion annually (World Bank Institute, 2006). There is no question about the negative impacts of corruption on the overall development of a nation (see Del Mark 2002: 11-17 for low income countries). Corruption impacts on a country’s economy, social affairs, and political aspects. Economically, corruption distorts economic systems by significantly deterring the development of markets, increasing uncertainty, discouraging investment, increasing costs, and reducing competitiveness. It generally weakens the institutional foundations on which the economic growth depends upon (see Sarkar and Hasan 2001: 111). Socially, corruption harms and undermines societies in many ways: causes discrimination, moral decay, injustice and disrespect for human dignity that cause social disintegration (see TI 2006). Politically, corruption undermines the rule of law, endangers the survival and stability of democratic institutions, discriminates in the delivery of government services and thus violates the rights of the people, and the poor in particular (TI 2006: 3). Ethiopia is not an exceptional in this regard. As it stands today, corruption accounts for 14.4% of the most problematic factor for doing business in Ethiopia (see WEF 2016-17).

2.3. Strategic response to deal with corruption in Ethiopia

Starting from the time of Emperor Tewodros II, Ethiopia has been taking some measures to criminalize and curb corruption (FEACC, 2013). Nonetheless, very practical measures were undertaken in the last six decades. For instance, the 1957 Penal Code criminalized some acts of corruption. As a sign of more governmental attention on corruption, several provisions dealing with corruption were incorporated in the 1974 Special Penal Code. In late 1994, the Government of Ethiopia began a Civil Service Reform Program (CSRP) to examine the overall management system

and operation of the civil service at all levels of government. The CSRP consisted of five components: (i) top management systems, (ii) human resource management, (iii) service delivery improvement, (iv) expenditure management and control, and (v) ethics.

The Ethics Sub-group was mainly designed to address corruption and improve service delivery. At the conclusion of its 15-month study, a comprehensive report on the performance of Ethiopia's civil service (Ayalew, 2005) was produced. As part of its strategic response and commitment to curb corruption, the Ethiopian government established the Federal Ethics and Anti-Corruption Commission (hereafter FEACC) in May 2001 with a vision of ensuring that corruption will no longer be an impediment to enhancing development and good governance in the country. The commission has a mandate to expand ethics and anti-corruption education, prevent corruption, and to investigate and prosecute alleged corruption following the Hong Kong Model. Many legal and regulatory frameworks such as Proclamation No. 433/2005 and Regulation No. 144/2008 provide for the role, powers, duties and responsibilities of the FEACC to enable it to effectively achieve its objectives. According proclamation number 433/2005 Article 7, Powers and Duties of the Federal Ethics and Anti-Corruption are the following:

- In cooperation with relevant bodies, to combat corruption and impropriety by raising public awareness about the disastrous effects of corruption and by promoting ethics in public services and among the society. It is also duty-bound to prevent corruption by studying the practices and working procedures in public offices and public enterprises thereby ensuring the revision of methods of work, which may be conducive to corrupt practices. The Commission is also legally authorized to put forward corrective measures and recommendations and follow up their implantation.
- The Commission is responsible for investigating any complaints of alleged or suspected serious breaches of codes of ethics in public offices or public enterprises and following up the taking of proper measures. It is also the duty of the Commission to investigate and obtain information about any bank account of suspected persons and cause the attachment, with court order, of same where necessary. The Commission duty bound to freeze, by court order, the assets of any person who may be under investigation for corruption and cause, through court order, the forfeiture of any assets and wealth obtained by corruption or its equivalent to the state or dispose same by or without public auction (Proclamation No. 433/2005 Art. 7/6).
- In cooperation with relevant bodies, the Commission has legal power and authority to register the assets and financial interests of public officials and public employees compellable to do so as specified by law. It is also responsible to protect witnesses and whistle blowers and reward persons or offices that are successful in fighting and preventing corruption (Proclamation No. 433/2005 Art. 7/7).

Similarly, Ethics Liaison Units were established in governmental offices to coordinate ethical issues and advise the heads of the public offices and public enterprises. According to revised Proclamation No. 433/2005 Article24, the objectives of the Ethics Liaison Units include:

- to endeavour to create public employees who do not condone corruption by promoting ethics and anti-corruption education, work discipline, professional ethics consciousness of serving the public and sense of duty among employees;
- to prevent corruption and improperly in public offices and public enterprises;
- to endeavour to causes acts of corruption and impropriety be exposed and investigated and appropriate actions are taken against the perpetrators.
- Thus, establishing Liaison Units at every level of Public Offices and Public Enterprises will give an opportunity for the organization, the management and employees to get awareness about ethical issues and help them to combat corruption in their respected organizations.

The revised FEACC Establishment Proclamation of 2005 state that the commission shall work closely with different stakeholders as described as follows:

- In cooperation with relevant bodies, to strive to create awareness in Ethiopian society that corruption will not be condoned or tolerated by promoting ethics and anti-corruption education;
- In cooperation with relevant bodies, to prevent corruption offenses and other improprieties; and
- To expose, investigate, and prosecute corruption offenses and improprieties.

One of the major milestones in the strategic response of the government to curb corruption is the establishment of regional anti-corruption commissions in Ethiopia beginning in 2007. The nine regional states have established their own Ethics and Anti-corruption Commissions (hereafter REACCs) to fight and prevent corruption in their respective regions. Each regional office has autonomy in managing its own operations and budget.

2.4. Factors Affecting the Effectiveness of the Ethics and Anti-Corruption Commissions

As has been discussed in section 3 above, the federal and regional governments have practically shown utmost political commitments in the establishments, resource allocations, staffing and the internal organization of their respective commissions. The commissions have achieved remarkable results in educating, preventing, investigating and prosecuting corruption. Millions of citizens have been educated on ethics and integrity; thousands have been investigated and prosecuted; millions of USD has been returned to public treasury; and the working procedures of hundreds of public institutions and enterprises have been studied to identify and address practices that are prone to corruption. Additionally, more than 200,000 elected officials, political appointees and civil servants have been made to declare their assets to promote transparency and curb corruption in public institutions (FEACC, 2016).

Several independent research outcomes (e.g. TI, 2008; FEACC, 2013), show that some encouraging pointers in the fight against corruption in the public sector in Ethiopia have been registered since the establishments of federal and regional EACCs. For instance, the Ethiopian second corruption perception survey (FEACC, 2013:97) revealed that the problem of corruption has been contained and

even improved somewhat. Similarly, a similar trend was observed in a 2008 survey by Transparency International in which 70% of respondents confirmed so.

As for many other developing and developed countries, a comprehensive attack on corruption remains a challenge in Ethiopia. Data obtained from the WEF 2016-17 reveals that corruption (14.4%) is the most problematic factor for doing business in Ethiopia. This suggests that there is a need for presenting factors that affect the effectiveness of the Ethics and Anti-corruption commissions. Many scholars indicated that despite the differing characteristics of various commissions, there are certain factors that need to be in place for any Ethics and Anti-Corruption Commissions to function effectively (Johnston 1999, De Sousa 2009, Quah, 2009, De Speville, 2008, Doig et al., 2007, De Speville 2000, Pope and Vogl 2000, Dionisie and Checchi 2007, De Sousa 2006). These factors can be broadly classified into two categories: exogenous and endogenous factors as highlighted in Figure 2.1 below.

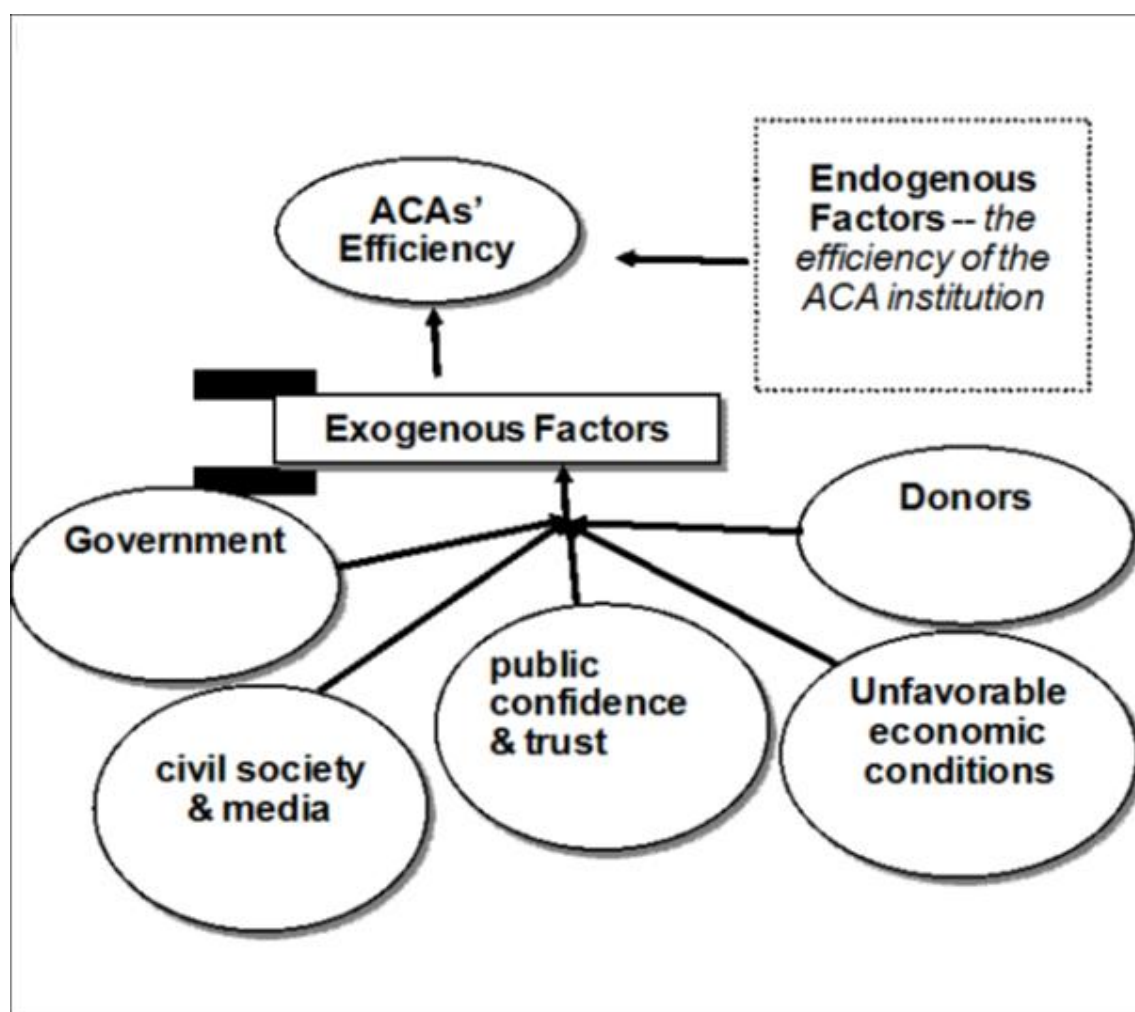


Figure 2.1: Factors Affecting the Effectiveness of Anti-Corruption Agencies

Exogenous factors include external factors such as political will, economic conditions, donor initiatives, public trust and confidence, the media, and EACCs' relationship with civil society actors. Endogenous factors are the internal conditions that include the EACC's independence in performing

its functions, the specificity of its objectives in terms of the context of the country/regions, permanence, sufficiency of financial resources, and staff capacity (human capital). These factors will be discussed in greater depth in section 2.6 below as part of capacity entry points as both are two faces of the same coin.

2.5. Ethics and Anti-Corruption Commission capacity assessment: theories and practices

A full-fledged/comprehensive attack on corruption remains a challenge in Ethiopia. This suggests that there is a need for continuous capacity assessment of the ethics and anti-corruption commissions for the implementation of capacity development accordingly. First of all, we define the word capacity as “the ability of individuals, organizations and societies to perform functions, solve problems, and set and achieve objectives in a sustainable manner”, while Capacity Development is the process through which capacities are obtained, strengthened, adapted and maintained over time (UNDP, 2007). A capacity assessment is “an analysis of current capacities against desired future capacities; this assessment generates an understanding of capacity assets and needs which in turn leads to the formulation of capacity development strategies (UNSP, 2011). The capacity assessment is often undertaken through three distinct but inter-connected levels or entry points for capacity development; viz., the enabling environment, the organizational level, and the individual level (see UNDP, 2011) in order to understand the ‘core issues’ or challenges that constrain effective Ethics and Anti-Corruption Commissions.

Following the UNDP’s capacity development approach (see UNDP, 2011), we argue that the envisaged capacity assessment assignment for REACCs is an inherently embedded in political and socio-economic environments. It is essential to address corruption not only from a technical and legal perspective, but more importantly from a grounded contextual understanding of corruption practices as they are linked to and/or influenced by in-country political, socio-economic and technological context. In this regard, a profound understanding of institutional and task environments of REACCs is of paramount importance for putting the capacity assessment into perspective. Equally, capacity assessment or development cannot be expected to evolve in a linear fashion without critically understanding the internal contexts of the target organizations. In this assessment, stakeholder analysis is put forward as a tool to assist the target REACCs in classifying stakeholders and determining stakeholder salience, which can bring about transformation within anti-corruption agencies through a facilitated and iterative process of stakeholder engagement. In order to understand the above mentioned complex and dynamics internal and external environments of the REACCs, a theoretical framework derived from Neo-institutional Theory (DiMaggio & Powell, 1983; Meyer & Rowan, 1977), Stakeholder Theory (Freeman 1984), and Contingency Theory (Galbraith, 1973; Drazin and van de Van, 1985) guides the assessment of key capacity gaps of Afar, Gambella, and Somali Ethics and Anti-Corruption Commissions in terms of executing their mandates, responsibilities and functions and suggest possible courses of actions.

Having motivated by the combination of the above mentioned three theories, we adopt the research model depicted in Fig. 3.1 below as the model for this capacity assessment assignment.



Figure 2.2: Capacity Development Levels/Entry Points (Source: UNDP, 2011).

Neo-institutionalization theory elaborates the nature and variety of institutional processes such as institutional rules, myths, and beliefs as shared social reality and the range of influences that these processes exert influence on structural characteristics of organizations and organizational change (DiMaggio & Powell, 1983; Meyer & Rowan, 1977; Tolbert & Zucker, 1983). Using North's perspective (see North, 1990), we will elaborate both formal and informal constraints (particularly culture and social fabrics) that can potentially influence the performance of the commissions.

In explaining the degree to which REACCs give priority to competing stakeholder claims, we follow the stakeholder theory for determining stakeholder salience. This theory distinguishes between three attributes of stakeholders (see Mitchell et al. 1997, p. 869): *the stakeholder's power to influence REACCs*; *the legitimacy of the stakeholder's relationship with REACCs*; and *the urgency of the stakeholder's claim on REACCs*. Noting that a given stakeholder can have more than one attribute, three subdivisions of the stakeholder groups; viz.; definitive stakeholders, expectant stakeholders, and latent stakeholders are identified in order to make a holistic stakeholder analysis. UNDP practitioner's guide for capacity assessment of anti-corruption agencies uses the model depicted in fig.3.2 below as a tool for stakeholder analysis (UNDP, 2011).



Figure 2.3: Stakeholder Analysis (Adopted from UNDP, 2011)

Contingency theory explains how REACCs adapt to their immediate operating contexts. Central to the theory is the proposition that the performances of REACCs depend on the fit between their properties and respective relevant contexts (Drazin and van de Ven, 1985).

The combination of the three theories provide as the following variables for undertaking the capacity assessment assignment. From the enabling environment, we have identified *social, economic and political context, institutional arrangements and coordination mechanisms, legal framework, culture and accountability*. At each REACC, such variables like vision and mission, executive leadership, strategic planning, organizational structure, human resource management, knowledge and information management, communication, monitoring and evaluation, training and mentoring, and finance and procurement were explored. Staff profile and technical capacities are variables, which have been assessed at individual human actor level (see UNDP, 2011). **Each variable and its respective indicators are further operationalized and concretized against the three major thematic areas as follows.**

2.5.1. Enabling Environment

It is well known that any ethics and anti-corruption commission cannot win the fight against corruption alone and the effectiveness of the commission is also dependent on its enabling environment, which should be understood as the social, economic, and political context and the national policies, institutional arrangements, the legislative framework and the accountability mechanisms, within which the agency operates. The capacity assessment should consider the extent to which the commission's constitutional mandate, level of independence, extent of oversight, and powers in relation to other state bodies are appropriate and sufficient for the functions that it is mandated to perform. We have operationalized the enabling environment to a commission in Table 3.1 in Chapter 3.

2.5.2. Organizational Level Capacity Assessment

The organizational level capacities frame the policies, procedures and business processes that are essential for effective performance of the agencies. It also includes the infrastructure necessary to enable the ethics and anti-corruption commission to deliver on its mandate. A number of core issues internal institutional arrangements, leadership capacities, knowledge and skills required to perform the mandated functions, and internally-driven accountability systems-must be considered. The organizational level capacity assessment is operationalised in Table 3.2 in Chapter 3.2.5.3.

2.5.3. Individual Level Capacity Assessment

In considering the capacities of ethics and anti-corruption commissions, the individual level, which refers to the skills, experience and knowledge that are vested in people and reflected as staff profile, will be extremely important due to the high level of expertise that many of the common ethics and anti-corruption functions require. Capacity development efforts at the individual level must assess the commissions' capacities necessary and appropriate for fulfilling the particular anti-corruption functions in their mandate. All training should be provided based on the needs of the organization, with proper incentives in place to encourage application of the knowledge and skills, and in the mid-term a performance based measurement system. Table 3.3 in Chapter 3 presents the operationalisation of the individual level capacity assessment.

2.6. Conclusions

The review of literature shows that all countries face the challenge of fully curbing corruption. As a result, corruption is one of the most critical challenges for nations operating at different stages of socio-economic development, in different political environments and at different levels of industrial and technological development. Fighting corruption is now one of the developmental agenda for countries across the world. In this regard, Ethiopia and its regional states established their ethics and anti-corruption commissions as strategic responses to fight corruption. This chapter revealed that many commissions have already achieved a lot in spreading ethical education, corruption prevention through research, investigation and prosecution corruption (see FEACC, 2016). A full-fledged/comprehensive attack on corruption remains a challenge in Ethiopia in general and at the emerging regional states in particular. In this chapter, we indicate that fighting corruption is influenced by commission specific factors as well as by the external conditions. Based on their specific internal and external conditions, the ethics and anti-corruption commissions must pragmatically capacitate their enabling environment (institutional framework, power structure and influence), organizational level (systems, procedures and rules), and human capacity (experiences, knowledge and technical skills).

CHAPTER THREE: METHODOLOGY

3. Introduction

This section presents the methodological considerations of the capacity assessment assignment for Afar, Gambella, and Somali Regional Ethics and Anti-Corruption Commissions. It outlines the research design and methods of the assignment including the sources of data, data collection instruments, data collection procedures, and methods of data analysis in order to achieve the very objectives of this capacity assessment assignment.

3.2. Operationalization of the Key Variables of the Capacity Assessment

As has been discussed in Section 2.5 in Chapter 2, this capacity assessment research was guided by the theoretical framework derived from neo-institutional, stakeholder, and contingency theories. The theories serve as the framework for identifying the study's key variables and guide the research procedures. Each variable and its respective indicators are further operationalized and concretized against the three major thematic areas as follows.

3.2.1. Enabling environment

It is well known that any REACC cannot win the fight against corruption alone and the effectiveness of an organization is also dependent on its enabling environment, which should be understood as the social, economic, and political context and the national policies, institutional arrangements/cross-sectorial collaborations, the legislative framework and the accountability mechanisms, within which the agency operates. The capacity assessment should consider the extent to which the agency's constitutional mandate, level of independence, extent of oversight, and powers in relation to other state bodies are appropriate and sufficient for the functions that it is mandated to perform. Each of the variables constituting the enabling environment is operationalized in Table 3.1 below.

Table 3.1: Operationalisation of the Societal Environment

Variable	Indicator
Political commitment	Political will to fight corruption including legal backup, budgeting, establishment
Overall Economic Conditions	Resource allocation
Organizational Autonomy	- Level of independence - Organizational, financial, staffing, functional independence
Institutional arrangements and coordination mechanisms	- Types of stakeholders - Stakeholders and their degree of importance (or stakeholder salience) - Coordination office or focal points - Cross-sectorial collaborations made - Level of stakeholder engagement
Legislative framework	- A clear legal mandate for its work - Adequacy of legal framework to fight corruption - Overlaps in terms of mandate with other institutions
Accountability mechanisms	- Access to public information - Reporting to different stakeholders

Variable	Indicator
	• Reporting quality • Transparency • Performance level

3.2.2. The organizational level

The organizational level capacities frame the policies, procedures and business processes that are essential for effective performance of the commissions. It also includes the infrastructure necessary to enable the REACC to deliver on its mandate. A number of core issues related to internal institutional arrangements, leadership capacities, knowledge and skills required to perform the mandated functions, and internally-driven accountability systems are considered and operationalized in Table 3.2 below.

Table 3.2: Operationalisation of the organizational capacity

Variable	Indicator
Vision and mission	• Clarity of vision and mission statements • Sense of ownership of vision and mission by staff
Leadership	• Leadership commitment • Expertise and knowledge (competence) • Capacity to establish a win-win relationships with others
Strategic planning	• Clear linkages between REACC's vision and long term strategy and department level and individual level work plans
Organizational structure	• A clear division of labour and established reporting lines
Human resources management	• The size and specialization of the staff • Selection/appointment of its staff to preserve its independence and ensure staff quality • Clear human resource policies (e.g. recruitment, performance evaluation and incentives, retention, dismissal, etc.)
Procurement and finance	• Internal resource allocation • Financial reporting quality • Specification writing, bidding, contract management
Training and mentoring	• A general induction training for all new staff • specialized training • shadowing
Knowledge and information management	• Availability of platform for knowledge and information management
Communication	• Effective internal communication system • Effective external communication system with the stakeholders, particularly government departments, civil society, private sector and citizens.
Monitoring and evaluation processes	• Reporting against outputs, outcomes, or/and impacts

Cross-cutting issues	• Promoting gender equality • Mainstreaming gender and HIV/AIDS in its policies and practices
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3.2.3. The Individual level

In considering the capacities of REACCs, the individual level, which refers to the skills, experience and knowledge that are vested in people and reflected as staff profile, are extremely important due to the high level of expertise that many of the common anti-corruption functions require. Capacity development efforts at the individual level must assess the agencies' capacities necessary and appropriate for fulfilling the particular anti-corruption functions in their mandate as operationalized in Table 3.3 below.

Table 3.3: Operationalisation of the individual level capacity

Variable	Indicator
Staff	• Staff volume and composition (including the share of qualifications and gender mixes; placements in divisions). • Expertise • Experiences

- **What** are the current capacities within the anti-corruption agency at all entry levels enabling environment, organizational level and individual level?
- **Where** do capacities need to be strengthened/developed within and around the anti-corruption agency at all entry levels?
- **How** should capacity development be undertaken to fill the gap between current capacities and desired capacities?

3.3. Research Design and Methods

As the nature of this evaluation work is complex, dynamic and multidimensional, involving a large number of actors inside and outside of the REACCs, this study was carried out on the basis of proven research approach, which is a mixed method and adheres to research ethics. Both quantitative and qualitative methods are thus used to realize the objectives of capacity assessment for the three regional states' Ethics and Anti-Corruption Commissions. In this regard, our proposed theories (see subsection 3.2. above) have provided a variety of variables and their respective indicators in order to systematically assess and identify key capacity gaps of REACCs of Afar, Gambella and Somali Regional States in terms of executing their mandates, responsibilities and functions. Thus, mixing of qualitative and quantitative approaches was applied during the empirical investigation of the subject under consideration.

3.4. Sources of Data and Data Collection Instruments

In this study, a combination of both primary and secondary sources was used to collect relevant data. The details of each of the data sources are presented in the paragraph that follows.

3.4.1 The review of relevant documents

The sources of secondary data are relevant documents from national and international research outcomes, secondary data from Federal Ethics and Anti-Corruption Commission, Regional Bureaus, and from other development partners. Documents related to national policies, strategies, legal frameworks, budget proclamations, regulations, guidelines, etc. were reviewed with an aim to acquaint with ethics and anti-corruption objectives, and strategies in Ethiopia (see Chapter 2). International literature and established theories were critically reviewed to serve as the framework for identifying the study's key variables and guided the research procedures (see Section 2.5 in Chapter 2). At each REACC, strategic plan, annual plans, performance reports, financial and audit reports, human resource policy, etc. were critically explored (see Chapters 4 to 6). Many of research outcomes on the Ethiopian Ethics and Anti-Corruption Commissions both at the Federal and Regional Levels were thoroughly reviewed. Prior to undertaking the actual capacity assessment, our firm had assigned its senior researchers to collect some primary data based on desk review of available annual reports, previous assessment reports, available legislation, news articles, and other relevant sources in order to come up with much refined data collection instruments (see Annexes).

3.4.2. Primary Data Collection Tools and Sampling Techniques

As stated earlier in section 3.3 above, the dominant approach that was adopted for this study is mixed methods approach with more focus on qualitative research. Owing to this fact, the sample selection process relied on both probability and non-probability sampling methods. In addition, four different data collection methods were used for gathering primary data from different respondents. These include: key informant interviews (KIIs), focus group discussions (FGD), questionnaires, and observation checklist. The details of the data gathering tools and the allied sampling techniques have been clearly elaborated and summarized as under.

3.4.2.1. Key Informant Interviews

Key informant interviews are very useful in drawing more in-depth information about an anti-corruption issue or capacity need. Key informants of this capacity assessment, as the term implies, were individuals who are particularly knowledgeable about the three commissions being assessed. The interviewees were drawn within the three commissions and outside of the commissions. The internal key informants created unprecedented opportunities to critically self-assessment. Moreover, it enabled to discuss in greater detail some of issues that have been raised during focus group discussions or desk review of relevant documents. The key informant interviews with the external stakeholders were found to be very helpful in providing critical capacity assessment of the three commissions in the one hand and in validating information gathered internally on the other hand (see attached tools for the types of the interview questions). On the basis of their authorities and close working relationships (purposefully and availability sampling) with the three regional commissions, a total of 92 (83% of the plan) officials were interviewed as depicted in Table 3.4 below.

Table 3.4: Summary of Participants in the Key Informant Interviews (KII) (Initially planned to interview 111 individuals)

No	Organizational or Individual Actor	Afar	Gambella	Somali	FEACC
1	FEACC Commissioner	-	-	-	1
2	FEACC deputy Commissioner	-	-	-	1
3	FEACC Ethics Infrastructures	-	-	-	1

No	Organizational or Individual Actor	Afar	Gambella	Somali	FEACC
	Coordination Directorate Director				
4	FEACC Training Centre Director	-	-	-	1
5	FEACC Advisor	-	-	-	1
6	FEACC Training Centre Team Leader	-	-	-	1
7	FEACC Planning, Monitoring and Evaluation Team Leader	-	-	-	1
8	Federal Audit	-	-	-	1
9	Federal Police Crime Investigation	-	-	-	1
10	Regional Ethics and Anti-Corruption Commission	-	3	9	-
11	Regional President Office	-	6		-
12	Regional Police Commission	3	4		-
13	Justice Bureau	4	4	4	-
14	Finance and Economic Development Bureau and Procurement Bureau	2	4	2	-
15	Regional Houses and Towns Development Bureau	3	2		-
16	Construction Bureau	3	-		-
17	Bureau of Urban Development & Construction	-	-	3	-
18	Regional Auditors Office	2	3	1	-
19	Revenue and Customs Bureau	2	2		-
20	Federal Supreme Court	1	-	1	-
21	Regional Council Office	2	-		-
22	Regional Transport Bureau	-	3		-
22	Regional Education Bureau	-	2		-
24	Bureau of Labour and Social Affairs	-	-	1	-
25	Public Service and HRD Bureau	-	-	1	-
26	Livestock and Pastoralist Development Bureau	-	-	3	-
27	ESRS Council Office	-	-	2	-
28	Tubsah Financial Auditing & compilation Consultancy	-	-	1	-
	Total	22	33	28	9
	Aggregate total	92			

3.4.2.2. Focus Group Discussions

Focus group discussions are very useful in collecting qualitative information about an issue, or about the entity/sector that is being assessed and promotes cross-section of ideas. In this study, FGDs were conducted to bring together a common stakeholder group such as Youth League Members, Women League Members, Religious League Members, Professional Associations, and Regional Chambers of Commerce to discuss the capacity of the REACC. Table 3.5 below presents the actual focus group

discussions undertook with purposefully selected diverse stakeholders during the course of this capacity assessment research.

Table 3.5: Summary of Participants in the Focus Group Discussions (FGD)

No	Organizational or Individual Actor	Afar		Gambella		Somali	
		Group #	Participants	Group #	Participants #	Group #	Participants #
1	Youth League (initially planned 3 groups/region)	3	36	3	45	3	36
2	Religious League (initially planned 3 groups/region)	3	36	3	45	2	24
3	Women League (initially planned 3 groups/region)	2	24	3	45	2	24
4	Professional Association (initially planned 3 groups/region)	1	12	3	36	-	-
5	Chamber of Commerce (not part of the original plan but decided to be included later)	-		-		1	12
Total		9	108	9	171	8	96
Aggregate Total		375					

3.4.2.3. Questionnaire:

The consulting firm had developed a standard questionnaire for collecting data on the capacity assessment from 150 three Regional Councils members (i.e., one region shall be from 50 members). Moreover, 108 respondents from three Regional State Ethics and Anti-Corruption Commissions were planned to be reached through the questionnaire (see attached tools). The Questionnaire is adopted from UNDP Practitioners' Guide: Capacity Assessment of Anti-Corruption Agencies (UNDP, October 2011) and PRIN's Organizational Capacity Assessment Tool (OCAT) (PRIN, 2012). A stratified random sampling was applied to choose appropriate samples to respond to the questionnaire as shown in Table 3.8 below. Although it was originally planned to collect data from a total of 450 respondents, it was possible to cover 82% of the plan as shown in Table 3.6 below.

Table3.6. Summary of participants in filling up the Questionnaires

No	Organizational or Individual Actor	Afar	Gambella	Somali
1	Regional Ethics and Anti-Corruption Commission (REACC) and Ethics officers (originally planned 60/region)	60	60	59
2	Regional Council (originally planned 90/region)	74	71	47
	Total	134	131	106
	Aggregate Total	371		

Note that the number of participants varies for each item in the questionnaire for the reason that each respondent was asked to give his/her answer for the questions that are relevant to him/her (i.e. based on applicability principle).

The existing capacity assets of the commissions along with the meaning attached to each one of them in the two types of questionnaires (see Annex 1 and 2) are listed under here:

- **Nascent (1)**– the capacity is almost non-existent and needs very immediate attention,
- **Emerging (2)**– there is an initiative to build the capacity but much external support is needed to strengthen it,
- **Expanding (3)** –the organization has demonstrated the capacity to fill its gaps but it requires some level of external support, and
- **Matured (4)** – the capacity is fully developed and, hence, does not require any external support.

Moreover, on the basis of the urgency of the need, the priority of capacity development needs (CDS) have been rated as **high (3)**, **medium (2)** or **low (1)**.

3.4.2.4. Observation

In addition, other tools such as direct observation (e.g. job shadowing), indirect observation i.e. what you see when you are in the organization, for example the quality of premises, staff activity during office hours, etc., quantitative data on service provision by the agency, e.g., number of prosecutions, number of reported corruption cases, etc. were used in order to further substantiate the capacity assessment results and inform the formulation of the capacity development strategies (see attached tool).

3.5. Data Collection Process and Data Analysis

As part and parcel of data collection process, a one-day long orientation workshop was organized to all data collectors (coordinators and data enumerators) on the overall data collection process, draft instruments as well as validation of the tools according to a training manual prepared for the same purpose (see Annex IV). During the workshop, a mock interview was made to pre-test the instruments. On the basis of the feedback obtained from the workshop as well as from the client, the draft instruments were improved, and then made ready for data collection.

Professional data collectors (coordinators and enumerators) were recruited on the basis of their academic preparation and experiences in similar types of assignments in order to gather information from the targeted organizations/institutions. The data collectors were senior people who are capable

to interact with potential respondents in the targeted organizations/institutions. In case the respondent could not respond to the questions immediately, the data collection team used the phone number (or/and e-mail) of the respondents for reminding and follow up. A field supervision (spot checking) or field editing had also been applied to enhance the quality of data for the project. Besides, thorough central editing, encoding, and data cleaning were carried out for quality data management.

The process of analysing all the information collected from various sources and methodologies can be complex, especially different organizations, with many staff, performing many functions. This is where the capacity assessment team's analytical expertise in relating and integrating various data and information are very important. We understand that this Capacity Assessment Report, which included recommendations for action, needs to acknowledge the various sources of information on which it relies. The collected data were thus carefully processed, analysed and interpreted in a way they provide a true picture of the study. The major activity in this regard is checking and rechecking the quality of data. During data verification on hard copy of the filled in questionnaires, verifiers carefully checked and verified:

- ☞ Completeness of each questionnaire,
- ☞ Consistency of each response from each questionnaire,
- ☞ Handwritings (if any) which may misled data entry clerks, and
- ☞ Coding responses for other option responses open ended questions, and multiple responses into numeric response.

A data entry mask was developed for data entry and data processing. Four experienced data entry experts (i.e. postgraduate statistics students from Addis Ababa University) were recruited, trained and supervised by the PRIN's senior Statistician before undertaking the actual activity. The main activities of the data processing team had been data verification, coding, developing database/template for data entry via **Excel**, entering data into computer software. The quantitative data was analysed through the use of SPSS, version 21. The analysis of data was made by applying descriptive (cross-tab) analysis, such as frequency counts and percentage.

With regard to the qualitative data collected through the key informant interviews, focus group discussions, and observations, we conducted three types of analysis: (i) content analysis, (ii) analysis at the level of the individual REACC (see chapters 3 to 5), and (iii) comparative data analysis across the three REACCs (chapter 6). First, content analysis involves identifying coherent and important examples, themes, and patterns in the data. The interview transcripts were read several times, concentrating on content analysis (Patton, 1987:149) to identify those ideas, issues, or concepts that go together. These activities had been carried out based on informants' responses guided by the theoretical framework identified for this study. Secondly, we prepared the reports on the basis of the quantitative data along with all the interview data, the observation data, and the documentary evidences.

All qualitative data gathered were analysed and categorised using the concepts and operationalisations of the research model (see section 2.5 in Chapter 2 and Section 3.1 in Chapter 3 above). A peer review and structured analysis were considered to enhance the validity of the data

categorisation by coding and interpretation (Corbin & Strauss, 1990; Richards, 2005). For the sake of parsimony, citations that best represented a category or opinion presented by the majority of the interviewees are used in the report. The category headings are the basis for the data analysis (Holliday, 2002:99-100; Marshall & Rossman, 1997:111). During the analysis of different categories, we raised both empirical and theoretically oriented questions about items in the data and thought in terms of meeting the very objectives of the capacity assessment (Strauss, 1987, 2003).

3.6. Data Quality Assurance

In its effort to attain maximum quality data, the Consultant devised the following strategies: (i) PRIN ensured that the data collection teams were well trained; (ii) It prepared a draft data gathering tool to be reviewed by the Client; (iii) It applied a pre-testing of the questionnaire during the training (including use of a mock interview technique); (iv) It carried out supportive and intensive supervision through its regional coordinators, coordinators at the Federal level and from the team leaders centrally throughout the data collection process; (v) It conducted rigorous data editing at central and field levels. Such strategies enabled sustained two-way communication among all actors; viz., PRIN, the team leaders at the centre, coordinators, and data enumerators in order to address any problems encountered during the field survey on a timely basis through strategic conversations.

More specifically, each team had four members, one of whom was a supervisor to ensure quality of the data collected. The supervisors also visited the data enumerators to check how they were conducting the data collection in the target organizations by cross-checking the filled in questionnaire every day, and using the mobile and email technology as part of the supervisory tool. At the end of the day (every evening) the supervisors reviewed the filled in questionnaire to identify data recording errors, and to track any completeness and consistency problems.

3.7. Challenges faced during the data collection

As a whole, the data collection process was very successful despite many challenges that the team had faced during the data collection process. This study faced two major critical challenges:

- 1) Regional council members who were supposed to form the major part of quantitative data sources were not stationed at each regional capital, but dispersed throughout the region. Thus, it was practically impossible to contact the required number as originally planned.
- 2) Delay in securing a support letter to each organization from the Federal Ethics and Anti-Corruption Commission.

The cumulative response rate reached more 83% of the original plan. The concerted efforts of the field coordinators, regional focal persons of REACC, and the research department of FEACC had contributed to such unprecedented response rate for the study.

CHAPTER FOUR: THE CASE OF AFAR REGIONAL ETHICS AND ANTI-CORRUPTION COMMISSION

4.1 Background information about the Afar Regional State

Afar Regional State (hereafter ANRS) is one of the nine regions within Ethiopia which is also the major pastoralist regions of the country. Afar region is one of four regions classified as a Developing Regional State (DRS) by the Ethiopian Government. The region covers 96,707 KM². Afar region is located in the north-eastern part of Ethiopia. It borders Eritrea to the north-east and Djibouti to the east. The region is subdivided into 5 administrative zones and 1 special Woreda. Afar region is characterized by an arid and semi-arid climate with low and erratic rainfall and, thus, has frequently been affected by drought. The north-eastern part of the region is chronically water insecure due to a lack of perennial rivers, leaving the people of Afar largely dependent on ponds and traditional wells for their water supply.

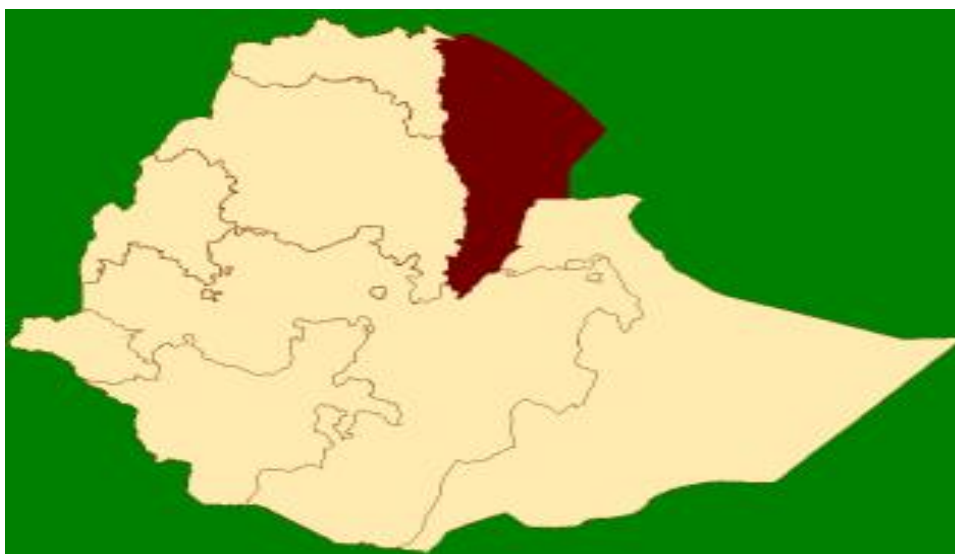


Figure 4.1: The Map of Ethiopia with the Afar region shaded in dark red color.

In its climate, Afar region is classified into arid agro-climate zone which is characterized by very high minimum temperature, low precipitation and harsh weather condition. As a result, Afar is one of the drought prone regions with major shocks and hazards associated with the recurrence of drought that disrupts the livelihood of the population.

Based on the 2007 Census conducted by the Central Statistical Agency of Ethiopia (CSA), the Afar Regional State has a population of 1.4 million of whom 55% are men; and urban inhabitants are only 13.32% of the population. Over 90 percent of the region's population is classified as pastoralists that are dependent on animal husbandry for their livelihood. Apart from a small percentage of the population engaged in commerce or the civil service in urban areas, the significant minority are classified as agro-pastoral population dependent on livestock as well as sedentary agricultural production. The main ethnic groups living in Afar Region include: Afar (90.3%), Amhara (5.22%), Argoba (1.55%), Tigrayi (1.15%), Oromo (0.61%), Welayita (0.59%), Hadiya (0.18%). While 95.3% of

the population is Muslim, the rest 4.7% are Christian (3.9% Orthodox, 0.7% Protestants, and 0.1% Catholics).

With the current enhanced and vibrant economical activities with several mega projects within the region including main trade route of the country, it is a wise decision to establish Regional Ethics and Anti-Corruption Commission (hereafter REACC) firstly, and continuously assessing and strengthening its (REACC's) capacity for better achievements in the fight against corruption.

4.2. Participants of the Study

While the TOR has identified the initial entry-points for the REACC capacity assessment, PRIN undertook a stakeholder analysis in order to include as many salient stakeholders as possible in this REACC capacity assessment research. Various tools (12) and approaches (mixed method) were used for managing internal and external stakeholders' involvement in this study as shown in Table 4.1 below (see also sections 3.3 in Chapter 3).

Table 4.1.: Regional stakeholders involved in the capacity assessment

No	Organizational or Individual Actor	Type of collected data	Data collection Instrument	Respondent by position	#
1	Regional Ethics and Anti-Corruption Commission (REACC) and Ethics liaison officers	Quantitative Data	Questionnaire	Randomly selected	60
2	Regional Council		Questionnaire	Randomly selected	74
3	Regional Police Commission		Key Informant Interview	Deputy Commissioner, Directors	3
4	Justice Bureau			Bureau Head, and Directors	4
5	Finance Bureau			Deputy Bureau Heads and Directors	2
6	Houses and Towns Development Bureau			Directors	3
7	Construction Bureau			Directors	3
11	Regional Auditors Office			Head and Deputy	2
14	Revenue and Customs Bureau			Deputy Bureau Head and Directors	2
15	Federal Supreme Court			Deputy Head	1
16	Regional Council Office			Office Head and Director	2
19	Youth League		Focus Group Discussion	Group	3
20	Religious League			Group	3
21	Women League			Group	2
22	Professional Association			Group	1

The key characteristics of the participants from the AfarREACC and regional council in terms of their sex, marital status, education and types of staff are summarized as shown in Table 4.2 below. The

results of data analysis indicated that the majority of the respondents were male (about 80.4% for REACC & 63.5% for Regional Council). Among the respondents, about 88.9% of the REACC staff and 73% from the regional council reported that they were married. In terms of their educational status, the majority of participants (more than 93%) were graduates from post-secondary education (holding from diploma to MA/MSc), of which the significant majority were first degree holders. From the REACC staff who participated in this capacity assessment research, the majority (62.8%) were drawn from the technical staff as indicated in Table 4.2 below.

Table 4.2: Demographic Information

Variable	Option	REACC Staff and Ethics liaison officers (N=60)	Regional Council (N=74)
		%	%
Sex	Male	80.4	63.5
	Female	19.6	36.5
	Total	100.0	100.0
Marital Status	Not married	11.1	23.0
	Married	88.9	73.0
	Divorced	-	4.1
	Total	100.0	100.0
Education (Academic Qualification)	Illiterate		1.4
	Primary Education		2.9
	Secondary Education		2.9
	Diploma	37.5	50.0
	BSc/BA/BEd	58.9	40.0
	MSc/MA	1.8	2.9
	PhD	-	-
	Others	1.8	-
	Total	100.0	100.0
Staff	Technical staff	62.8	
	Support staff	37.2	
	Total	100.0	

4.3. Enabling environment

It is well known that the Afar REACC cannot win the fight against corruption alone and the effectiveness of the commission is also dependent on its enabling environment. The enabling environment is here understood as the social, economic, and political context and the regional/national policies, institutional arrangements, the legislative framework and the accountability mechanisms, within which the Afar REACC operates. This capacity assessment has analysed the extent to which the REACC's enabling environment is appropriate and sufficient for the functions that the commission is mandated to perform as summarized in this section.

4.3.1. Political Will to Fight Corruption

The Afar REACC operates in its own organizational environment/context as any anti-corruption regional commissions in Ethiopia. Analysing the social, political and economic context is a pre-

requisite for understanding the enabling environment. The political situation, particularly the political will of the federal and regional governments for fighting corruption is an important parameter to determine the effectiveness of the Afar REACC. The political will/commitment to fight corruption was neither rated negatively nor positively by the majority of the participants. The Afar regional state REACC staff reported that the political will of the regional government to fight corruption was *emerging* (mean=2.1250 of four scale points). About 58.3% of the participants from the regional council rated the political commitment to fight corruption as *low*. According to 90% of respondents of the KII, the efforts made by the regional government to establish Ethics and Anti-Corruption Commission is highly appreciated and taken as one step forward to fight corruption in the region. Giving legal mandates and functions, developing structure and allocating capital and administrative budget is one manifestation of political commitment. However, the remaining 10% of the KII respondents argue that, “the political commitment of the regional government to fight corruption was weak.” As an example, they have mentioned absence of asset disclosure and registration of officials in the region, weakness of institutional capacity of the Commission in terms of logistics and adequacy as well as qualification of the human resources of the Commission, absence of Ethics Officers in regional Bureaus as symptoms of weak commitment.

Having known that cultural understanding is also important; traditional kinship, clan, networks, although informal, may hold sway in some societies and traditional practices such as gift giving may not be considered as corruption, an attempt was made to gather the perception of the participants on the relationship between culture and corruption. According to 99% of participants of the survey, the Afaris are very much committed to their religion and are highly dominated by ethnic/clan leaders. Corruption is a sign or an evil activity in Muslim Society and has no any moral ground or justification in the Religion; there is no difference among people in this idea. The Culture of Afar, on the other hand, is seen as both a favourable and unfavourable ground to fight corruption. This study acknowledges that Afar’s cultural information exchange system (known as ‘Dagu’) and indigenous social institution (called ‘Mekaba’) are used as platforms to condemn corruption in public and get adequate information whenever it happens as reported by the FEACC interviewees.

From the negative sides, according to Investigation and Prosecution Core Process Head of the Commission, “corrupt officials usually try to wrongly convince their malpractices to clan leaders to hide themselves in the society. Clan leaders have the power to influence detection, investigation, prosecution and prevention activities of corruption due to lack of awareness and misunderstanding. If they are aware of wrong doings of their clan members, there is no moral ground to hide corrupt officials. Some corrupt officials investigated by the Commission were not prosecuted in court due to influence of clan leaders to quit cases through negotiation”. Nonetheless, the Commission can make use of the culture for its advantage by educating and training local leaders about corruption as pointed out by the interviewees and focus group discussants.

4.3.2. Legal Framework

This capacity assessment study argues that it is important for an ant-corruption commission to be clear on its mandate. Assessing the legal framework of the Commission is another focus of the survey. Regulation No 60/2010 has given the Commission the legal framework to lead anti-corruption activities and ethics education in the duties and responsibilities section of the legislation. The commission has given autonomy to conduct investigation in public organizations and carry out

prosecution with tangible evidence. Opinions of stakeholders diverge when we come to detail implementation policies. As rated by almost all the AfarREACC staff who participated in the research, the existing legal framework is adequate for carrying out the mandates given to the organization by law. As indicated in Item 3 in Table 4.3 below, 76% of the participants from the regional council reported the inadequacy of legal framework to fight corruption as low and below. The inadequacy was partially explained by the absence of regulations, directives, and manuals for the implementation of the proclamation. Officials from Justice Office, like Head of Justice Bureau have indicated “absence of detail implementation guidelines to the Regulation No 60/2003”. They cited examples like absence of asset registration and declaration guideline, absence of detail guidelines to establish Anti-Corruption Officers, absence of standard ethics education and training policy etc. They confirmed that the legal framework is not adequate as a means to fight corruption in the region. Similar opinion is reflected from Legal Directorate Director of the Regional Council. The same is shared by the Commissioner and the three Process Heads of the Commission. It is quite clear from their views that further activities are required by the Regional Government to issue detail implementation policies and guidelines.

Nonetheless, the major respondents claimed that there are no major overlapping of mandates between REACC and other organizations such as regional justice office or police commission, causing some sort of confusion as reported in Item 2 of Table 4.3 below. But, the Commissioner and three Process Heads of the Commission claimed that there is overlap of activities between the Commission and Justice Bureau on the mandates of investigation and prosecution according to the views of Police Commission, Auditor General and Deputy Finance Bureau Heads of the Region, Directors from Construction and Housing Bureau and the Deputy Police Commissioner.

Table 4.3: Legal framework as perceived by Regional Council (N=74)

Variable	Data	Not sure	Not at all (0)	Low (1)	Medium (2)	High (3)	mean
Adequacy of legal framework to fight corruption	%	5.4%	14.9%	55.4%	18.9%	5.4%	2.0405
Overlapping of mandates between REACC and other organizations such as regional justice office or police commission, causing confusion	%	16.2%	12.2%	44.6%	23.0%	4.1%	1.8649
Level of legal provisions facilitating the detection and investigation of corruption	%	9.5%	20.3%	51.4%	13.5%	5.4%	1.8514

4.3.3. The AfarREACC Autonomy

Although organizational autonomy is part and parcel of the legal framework of any organization, it is separately discussed as follows. It is argued that any government (be it national or regional) shall grant the Ethics and Anti-corruption Commission the necessary independence to carry out its

functions effectively and free from any undue influence. The Commission is an autonomous organization established by the Regional Government accountable to the President. There is no confusion among participants of the survey. As documented in Table 4.4 below, the majority (51.4%) of the respondents rated the Afar REACC's autonomy as low. A distinction between various forms/dimensions of autonomy is useful in this capacity assessment, and very specific data were obtained on the four dimensions of independence as summarized and presented in Table 4.4 below. As shown in Item 2 in Table 4.4, *no adequate budget was allocated* for REACC as confirmed by the majority (55.4%) of the respondents. Similarly, the freedom of using finance as the REACC sees fit was found to be *low* as reported by 55.4% of the regional council participants. The majority of the regional council members said that the Commission has *low autonomy* in staffing, internal reorganization, and in access to information (see Items 4,5 &6 in Table 4.4 below).

Table 4.4: Organizational autonomy by Regional Council (N=74)

Variable	Data	Not at all (0)	Low (1)	Medium (2)	High (3)	Mean
Organizational autonomy (empowerment) for the REACC	%	2.7%	51.4%	31.1%	13.5%	1.5616
Adequacy of budget allocation to REACC	%	8.1%	55.4%	29.7%	5.4%	1.3288
Freedom of using finance as the organization sees fit	%	10.8%	55.4%	28.4%	5.4%	1.2838
Freedom of organization (internal reorganization or establishing new units)	%	16.2%	59.5%	24.3%	-	1.0811
Freedom of the right staffing (hiring and motivating appropriately)	%	8.1%	66.2%	24.3%	1.4%	1.1892
Access to information including government data	%	8.1%	64.9%	24.3%	2.7%	1.2162

Allocation of budget to RAECC was closely reviewed as financial resources that have the most direct impact on institutional capacity. Although budget allocation for the commission has not been increasing from year to year in the last five years, the volume of the allocated budget was reported as low by the majority of interviewees and focus group discussants. As a result of the said budget constraint, the commission suffers from lack of the necessary office materials, equipment, logistics, office space (lack of own office building), etc. Almost 90% of the interviewees and the focus group discussants) said that the commission is an autonomous body legally established and reporting to the Regional President. Surprisingly, 65% of the respondents pointed out that they are not aware of the functional independence of the Commission. This might entail the situation that there is lack of close collaboration between the Commission and relevant offices in the region.

4.3.4. Institutional arrangements and coordination mechanisms

Fighting corruption requires more than a single Regional Ethics and Anti-Corruption Commission. The duties and responsibilities for REACC on ethics education, preventive measures, investigation, prosecution and asset registration and disclosure clearly demonstrate that tackling corruption requires the support and engagement of many institutions or stakeholders. The assessment has tried

to figure out the institutional arrangements and coordination mechanisms existing between the Commission and Stakeholders of the Commission. Regulation Number 60/2010 indicates the necessity of proper coordination and institutional coordination mechanisms in fighting corruption and promoting anti-corruption efforts. It further empowers the Commission to investigate cases of corruption in different public bureaus; lead corruption investigation processes, ethics education and training, and establish Anti-Corruption Officers in each Bureau.

According to FEACC's report of 2015/16, the AfarREACC has established different institutional arrangements and coordination mechanisms to disseminate ethics education and fight against corruption. Some of the key infrastructures include: ethics coordination offices in all public organizations, ethics and anti-corruption clubs in all educational institutions, and anti-corruption coalition with different actors like women and youth leagues. One of the most important strategies pursued to fight corruption in the region was forming strategic alliances with the clan leaders. The commission established a chartered Anti-corruption Council for Clan Leaders. Each clan leader is now fully recognized as an ambassador to fight corruption. This approach envisioned to mobilize clan leaders from 32 Woredas through the Anti-Corruption Council in the Region. According to Ethics Education and Training Core Process Head, "there are human, material and financial resource shortages to assign focal person in each Woreda with proper office, to conduct training of trainers, to monitor and follow up their activities and provide facility support". Moreover, from the interview with REACC Commissioner, it is possible to learn that the Commission's various process owners work in close collaboration with judiciary actors (police, justice and attorney General) especially in investigation and prosecution of corruption offences. For instance, the investigation and prosecution process owner of the commission were closely working with the Investigation and prosecution process owner of the police commission to detect suspected corruption offences.

As presented in Table 4.5 below, there is an initiative to build strong system of collaboration with the Federal Ethics and Anti-Corruption Commission (hereafter FEACC) or other regional ethics and anti-corruption commissions in the fight against corruption but much external support is needed to strengthen the existing system. This finding was confirmed during a series of interviews with FEACC officials (commissioner, deputy commissioner, 2 directors, and experts), where there is now biannual consultative meeting organized by FEACC. With other salient stakeholders like justice office, police commission, schools, different leagues(women, youth and religion) and professional association, fairly working system that allows regular meeting has also been established (see Table 3.5 below) and needs very immediate attention.

Table 4.5: System and procedures for coordinating Ethics Infrastructure (REACC Staff and ethics liaison officers) (N=60)

Variables	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of strong system/ joint forum/coalition to coordinate the activities of major stakeholders in the fight against corruption	%	19.6%	55.4%	21.4%	3.6%	2.0893
Established system of collaboration with FEACC or other regional ethics	%	16.1%	37.5%	41.1%	5.4%	2.3571

Variables	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
and anti-corruption commissions in the fight against corruption						
Established system of collaboration with Ethics liaison offices in regional offices in the fight against corruption	%	38.2%	40.0%	16.4%	5.5%	1.8909
Established system of collaboration with public offices (e.g.; police, prosecutorial bodies, courts, ombudsman and human rights agencies, auditor generals, parliaments, etc.) in charge of investigating and prosecuting crimes	%	8.9%	67.9%	16.1%	7.1%	2.2143
Established system of collaboration with ethics and civics education clubs in schools	%	10.7%	58.9%	23.2%	7.1%	2.2679
Established system of collaboration with civil society organizations in the region in the fight against corruption	%	33.9%	41.1%	19.6%	5.4%	1.9643
Established system of collaboration with professional associations in the fight against corruption	%	32.7%	45.5%	16.4%	5.5%	1.9455
Established system of collaboration with media and religious organizations in the fight against corruption	%	23.2%	62.5%	10.7%	3.6%	1.9464

Further analysis was undertaken on the institutional arrangement and coordination mechanisms to understand the actual stakeholder engagement system and structure for fighting corruption. The results of data analysis showed that it was rated as emerging in all of the fourteen indicators listed down in Table 4.6 below.

Table 4.6: Institutional Arrangements and Coordination Mechanisms (REACC staff and ethics liaison officers)

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of clearly defined stakeholders' engagement strategy	%	27.3%	49.1%	18.2%	5.5%	2.0182
Availability of a well-defined stakeholder base	%	10.7%	73.2%	10.7%	5.4%	2.1071
Communication between the regional government and leadership reflects mutual respect, appreciation for roles and	%	10.9%	67.3%	16.1%	5.4%	2.1636

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
responsibilities, shared commitment, and valuing of collective wisdom						
The regional president office engages in efficient discussions and reaches decisions in a timely manner.	%	26.8%	48.2%	19.6%	5.4%	2.0357
Experience in involving police or justice system and receive their prompt responses to investigate or prosecute corruption offenses	%	17.9%	60.7%	21.4%	-	2.0357
Capacity to conduct periodic review meeting that involves the salient stakeholders	%	19.6%	57.1%	21.4%	1.8%	2.0536
Level of organizing joint monitoring and evaluation activities with key stakeholders including beneficiaries	%	25.0%	58.9%	8.9%	7.1%	1.9821
Capacity to work collaboratively with all of the key government agencies including police and justice	%	12.5%	58.9%	25.0%	3.6%	2.1964
Level of credibility in the eyes of its partner government agencies	%	8.9%	64.3%	17.9%	8.9%	2.2679
The Organization has full access to information including government data	%	14.3%	67.9%	14.3%	3.6%	2.0714

Data gathered through the interviews and focus group discussions show that the Commission has signed MOU with Legal and Administrative Standing Committee of the Regional Council, Justice Bureau, Police Commission, Education Bureau and Finance Bureau for strengthening its efforts to fight corruption . From experience, the stipulated stakeholders of the Commission worried about the capacity of the Commission to lead the anti-corruption partnership. They indicated lack of clear working methods. According to Head of Justice Bureau, “the numbers of lawyers are very few compared with the tasks assigned to the commission. Due to this reason, Justice Bureau supports the commission by allocating additional lawyers for prosecution of corruption cases; it also provides vehicle support and office facilities”. The Police Commission of the Region is also active in supporting the Commission in investigation when cases appear formally. But, the number of corruption cases went to court in the last 6 years are very few, according to Justice Bureau Heads, not more than 3 files/cases per year. This does not mean that corruption is rarely practice in the Region. Both stakeholders agreed that the type and level of corruption in the Region is growing especially in construction related activities, tax, licensing, urban land administration and housing. There are also mal administrations in different Bureaus. The reason the number of corruption cases appear to be low shows the weakness of the commission.

There is fairly strong partnership with Education Bureau to promote ethics education in schools. In this regard, the Commission has conducted awareness program to students. The partnership between the Commission and Semera University was found to be strong in studying work producers and system in public organizations. According to Ethics and Education Core Process Head, “the Commission hired researchers from Semera University to study administrative process of selected Bureaus to see major gaps and loopholes visible for corruption or corrupt practices. Accordingly, the study confirmed that one of the problems is inadequacy of incentive paid for researchers and it was not attractive to retain them as future partners”. One of the professional associations operating in the region and working with the Commission is Teachers Association. During the FGD held with Secretariat Members of Teachers Association, “the Commission had good start initially, but its operation is limited recently”.

Religious leaders participating in the FGD has the opinion that corruption is an evil practice which all society members should fight together. Religious representatives who participated in FGD from Ethiopian Orthodox Church said that “they have heard about the Commission and participated in awareness programs; they are ready to promote ethics and good manner to followers of the religion knowingly or unknowingly. But so far, they did not sign MOU with the Commission”. Similar idea is reflected by representatives of Muslim leaders. Those who participated in FGD stated that “we are aware of existence of the Commission and its activities; participated in awareness programs”. They remarked that, “if they got the opportunity to closely work with the Commission, they are ready to promote the vision and mission of the Commission in the followers of the religion”.

Youth and women representatives participating in FGD claimed that “there are signs of corruption in different organizations”; but their role in fighting corruption is limited. According to youth and women participants, “There is no MOU or institutional arrangement to work with the Commission”. One of the strong partners of Anti-Corruption Organizations could be Civil Society Organizations (CSOs). Thus far, the relationship between the Commission and CSOs is not visible. We neither recognized a CSO working in partnership with the Commission by signing MOU.

4.3.5. Accountability

Having acknowledged that any sort of authority and independence go side by side with a proportional level of accountability, this capacity assessment research tried to figure out the reporting relationships between the AfarREACC and its oversight bodies, such as regional President office, Parliament including representation of civil society, academia, professional associations, as well as key national authorities including FEACC. The survey tries to get the attention and opinions of Public Officials and employees of the Commission on matters related with transparency and accountability from different angles. To begin with, the legislation establishing the commission is a tool or one means of transparency and accountability which facilitates the operation of the Commission. Regulation No 60/2010 clearly articulated the way the Commission undertakes its activity in a transparent and accountable manner. The Commission is accountable to the President and transparent to public bodies and citizens/customers in its conduct. While conducting the survey, we did not get data which shows alleged practices or misconducts done by the Commission which violates the legislation.

Second, the day to day and operational activities of the Commission indicate how far and to what extent the Commission is doing well in a transparent and accountable manner. We tried to see the annual plan of the Commission to know how far the strategies and detail operational activities and procedures are clear for external stakeholders and for the Commission staff. We have seen the Core Processes of the Commission has prepared clear BPR and BSC plan which shows work flow with activities and measures. They properly identified their customers and what they want from the Commission. The document is shared for the regulatory body and the President Office.

Further analysis was undertaken on reports of the commission. The results of data analysis show that three governmental bodies; viz., the Regional President, FEACC, and the regional council bureau were identified receiving performance reports from the AfarREACC. Every three month, the REACC is required to report to its Board, which is chaired by the President of the Region. It is also expected to report twice a year to the FEACC, and once in a year to the regional parliament. During various interviews with the FEACC officials, it was possible to know that the Afar REACC has demonstrated the capacity to regularly report its performance to FEACC, but it still requires some level of external support to improve depth of analysis. However, as indicated in Table 4.7 below, the regional council members who participated in this research was not happy with the quality of reports received from the commission. The Afar REACC has did not demonstrate the capacity to prepare comprehensive, & readable report timely to regional council but it requires some level of external support to improve depth of analysis of the report.

Table 4.7: Reporting (Regional Council, N=74)

Variable	Data	Not at all (0)	Low (1)	Medium (2)	High (3)	Mean
Completeness of REACC's reports to regional council	%	2.1%	37.5%	56.3%	4.2%	1.6250
Depth of analysis	%	2.1%	55.3%	40.4%	2.1%	1.4255
Language usage/readability	%	6.4%	27.7%	61.7%	4.3%	1.6383
Timeliness of reports	%	4.3%	34.0%	42.6%	19.1%	1.7660

Furthermore, to get insights on the transparency and accountability many other documents were consulted. The different policies and administrative manuals of the Commissions could be seen as means of ensuring transparency and accountability. Although not exhaustive, the Commission follows the finance and procurement policies and manuals issued by Finance Bureau of the Region. According to Deputy Director of Finance Bureau and Auditor General of the Region, the Commission "operates its finance according to finance regulations of the Region; as a result there is no series financial management problem reported so far". Similarly, the human resource management and administration system is guided by the Regulations and Guidelines of the Civil Service Bureau. They properly follow government rules and regulations issued by the Regional Government. We came to know from the information we get from the Auditor General of the Region that the Auditors has conducted annual audit in the Commission like they are doing in other public offices. According to the Auditor General, "no significant problem is identified". The financial transaction of the Commission is not big for that matter. The same is justified by the Deputy Head of the Finance Bureau of the Region.

Although the Commission is legally and functionally accountable and conducts its official duties in a transparent manner, much has to be done to convince Citizens and Whistle Blowers whether corruption cases are handled in an accountable manner or not. According to Investigation and Prosecution Core Process Head, “the number of Whistle Blowers are declining from time to time may be due to lack of trust on the operation of the Commission”. One justification given by the Head is that, “three years ago, the numbers of whistle Blowers are 30-40 per month. Right now, the number of Whistle Blowers is reducing significantly to less than ten per month”. Furthermore, the Head suggested that “the legal actions taken against corrupt officials are not clearly communicated to Citizens through different media. This may have an impact on the visibility of the works of the Commission in the eyes of the public. In addition to this the fines against corrupt officials is not comparable with what they did”.

4.4. The organizational level Capacity Assessment

The organizational level capacity assessment is concerned with the policies, procedures and business processes that are essential for effective performance of the Afar Regional State Ethics and Anti-Corruption Commission. In other words, it includes all the infrastructures necessary to enable the REACC to deliver on its mandate. A number of internal institutional arrangements such as organizational vision and mission, leadership, strategic planning (SP), organizational structure, human resource management (HRM), finance and procurement management, knowledge management, communication, and monitoring and evaluation are assessed to determine the gaps between capacity assets and needs in the following sections.

4.4.1. Vision and mission

The Afar Regional State Ethics and Anti-corruption commission has developed its own vision and mission based on the legal mandates given by law. The vision of the commission is to strive to create an aware society where corruption will not be condoned or tolerated. The mission of the commission is to fight corruption with close collaboration of citizens and stakeholders through ethics education, training, appropriate investigation and prosecution. Likewise, more than half of the regional council members and all REACC staff who participated in this capacity assessment confirmed the availability of vision and mission statements. As has been seen in Table 4.8 below, the commission has demonstrated the capacity to defined its vision and mission that guides all of its work, define program goals that are compatible with its mission, and to communicate the vision and missions to its salient stakeholders.

Table 4.8: Mission, Goals, and Core Values (REACC staff and Ethics Liaison Officers) N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
The availability of a clearly defined vision and mission that guides all of its work.	%	11.3%	17.0%	32.1%	39.6%	3.0000
Capacity to identify a few clearly defined program goals that are compatible with its mission.	%	5.7%	41.5%	30.2%	22.6%	2.6981

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
The leadership, staff and beneficiaries of the Organization have a clear understanding of the Organization's vision, mission, and goals.	%	9.6%	26.9%	44.2%	19.2%	2.7308

One of the frequently raised concerns was that the vision and mission statements were not shared among its salient stakeholders-not publicly available, not internalized as part of the organizational culture by the internal actors, and not well-communicate to its external stakeholders. From the observation conducted by the regional coordinator and through discussion with ESREACC staffs, it was noted that the mission, vision, and core values of the commission were not posted anywhere in the compound as well as in the rooms/offices.

4.4.2. Leadership

It is argued that effective leadership is essential to implement the Afar REACC's mandate and vision by promoting successful, win-win relationships with others, both within and outside the organization, and delivering positive and reinforcing messages to motivate people. Leadership plays a key role in achieving the visions and missions of any organization; by executing their legal mandates, responsibilities and functions given by the law. In this capacity assessment, leadership cannot be restricted to a single post or even to a team or subset of colleagues at the strategic apex, but rather dispersed around the commission including at upper, middle, and operational level management. The Afar Region Ethics and Anti-Corruption Commission (AREACC) is led by a Commissioner appointed by the President of the Regional State. The senior leadership team of the Commission incorporates 3 Core Processes, namely, Ethics Education and Training, Corruption Investigation and Prosecution and Asset Registration and Disclosure.

Eleven indicators were used to gauge the level of the executive leadership capacity of the Afar REACC for carrying out its duties and responsibilities as indicated in Table 4.9 below. The results of data analysis at all indicators generally show that it was exactly emerging. This is to say that there is an initiative to build the executive leadership capacity but much external support from diverse stakeholders is needed to further strengthen it through tailored-made training and exposure visits. Comparatively better results were recorded on the indicators like the executive leadership is having a clear vision of the organization's mission, and the commission leadership is accessible and fosters participation of constituents(see Items 5 and 8 in Table 4.9).

Table 4.9: Executive Leadership Capacity(REACC staff and ethics liaison officers) N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Capable of carrying out key roles such as policy formulation, fund raising, public relations & lobbying	%	32.1%	44.6%	19.6%	3.6%	1.9464
Capacity of providing strong	%	33.9%	32.1%	28.6%	5.4%	2.0536

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
direction, support, and accountability to leadership and engages as a strategic resource						
Staffed with highly qualified and competent senior management members	%	37.7%	37.7%	20.8%	3.8%	1.9057
The senior leadership has diverse skills and professional expertise that match the organization's needs.	%	32.1%	41.1%	23.2%	3.6%	1.9821
The senior leadership has a clear vision of the organization's mission.	%	10.7%	50.0%	28.6%	10.7%	2.3929
Senior leadership/management have a clear understanding of their roles and responsibilities as providers of overall direction	%	16.1%	58.9%	21.4%	3.6%	2.1250
Senior management's relationship to staff is participatory, transparent and management decisions are delegated	%	10.7%	66.1%	17.9%	5.4%	2.1786
Leadership is accessible and fosters participation of constituents	%	12.5%	58.9%	17.9%	10.7%	2.2679
The senior leadership gives guidance (when needed) to help others make decisions.	%	18.2%	58.2%	23.6%	-	2.0545
The Leadership sets annual performance goals for each heads of subunits and reviews his/her performance	%	25.5%	52.7%	12.7%	9.1%	1.9286
The senior leadership evaluates its performance regularly and implement strategies for improving its performance.	%	25.5%	52.7%	12.7%	9.1%	2.0545

According to 50% of the participants in the key informant interviews, the Commission is weak in terms of its leadership capacity. For instance, from the interview conducted with Corruption Investigation and Prosecution, it was possible to learn that "absence of strategic leadership, motivation and influencing mechanisms are visible in the Commission". The communication role of the leadership is limited in terms of lobbying for more budget, vehicles and other materials. Performance monitoring and follow up are not seriously carried out based on schedule. Deputy Bureau Heads of Finance, Revenue, Head of Auditors General of the Region, Deputy Head of Justice

Bureau recommended that “the Commission need strong leadership capable to cascade its mission and vision to the public. This suggests that the commission no longer afford amateurish leadership who steer the organization in accordance with the business as usual model. They further commented that the Regional Government should assign the right person at the right place to foster anticorruption activities of the State, which are elements of the vision and vision of the Commission.”

The role of the leadership to influence other stakeholders like the regional justice, police, attorney general, auditors general and sector offices is weak. One of the roles of the leadership is to staff the commission with right number of staff and qualifications. Staffing demands attractive salary, good working atmosphere and attractive jobs. In this regard, the commission has not gone far to address this issue. There are vacant posts which should be filled through recruitment. Most of this posts demand professionals directly working in Core Processes. This fact indicates the gap in terms of professional staffs that are capable to lead the organization in the right direction.

As part of its function, the leadership is assumed to prepare strategic plan and implement the same. As we have seen in the study, the Commission has operational plans prepared by each Process (Department); however, there is no formally approved strategic plan which is approved by the Regional Government. As a result, the goals, objectives, targets, measures of future courses of action are not available. However, the Commission tried to develop BPR at Process level. The BPR process has limitations, because it has not indicated the overall organizational BPR. Currently, clear personal objective is not prepared for each individual staff. Team charter is not available. Therefore, organizational and team performance measurement of results is difficult; individual evaluation is not properly carried out.

During the study, three Directors (Process Owners) were interviewed to evaluate their top leadership and reflect their views. Accordingly, three of them agreed that the commission is not properly functioning towards achieving its mission. They disclosed, the strategic leadership is weak to make use of the mental and physical capacities of staff; give overall direction of work; cascade strategic goals into operational goals and share to staff; create synergy of work between Directorates; enhance team work; influence and motivate staff.

4.4.3. Strategy planning

The existence of clear linkages between the AfarREACC’s vision and long term strategy and department level and individual level work plans is fundamental to integrate the differentiated units through various mechanisms (e.g. policies, resource allocation mechanisms, reward systems, etc.) in order to trigger adequate responses from internal actors. This is to say the effectiveness of a given REACC depends on whether the institution undertakes regular strategic planning. Data collected from diverse sources using different tools show that the AfarREACC has a five-year strategic plan as part of its (business score card (BSC) plan. The strategy’s main pillars include: combating corruption regional wide, corruption prevention, ethics and anti-corruption education, investigation, and prosecution. Preventive is a priority area and it is considered as cost-effective, sustainable and participatory approach to fight against corruption. The main directions of the commission include identifying risk areas related to land management and administration system; revenue collection and tax system; construction; grand public procurements, justice institutions and asset disclosure and registration.

More than 80% of the staff confirmed the availability of BSC plan that guides its work over the medium and long-term period.

The Afar REACC staffs were asked to determine the preparation process of the strategic plan, its quality, its roles in guiding action plan and resources according to the Commission's missions, and organization capacity for the revision of its strategic plan as reported in Table 4.10. The results of data analysis revealed that it was between emerging and expanding, where the organization has demonstrated the capacity to fill its gaps but it requires some level of external support. Going thorough the preparation of the strategic plan, the planning staff of the commission understands each program's specific goal and objective embeded in the plan. The organization also develops its own annual plans that guide yearly actions in accordance with the strategic plan (see Items 3 and 4 of Table 4.10).

Table 4.10: Strategic Planning (REACC staff and ethics liaison officers) N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of a strategic plan that guides its work over the medium and long-term period	%	3.8%	46.2%	44.2%	5.8%	3.1800
SP is prepared to further the mission and address clearly defined needs	%	5.9%	43.1%	47.1%	3.9%	3.1250
Stakeholders and staff are involved in the strategic planning process	%	15.4%	48.1%	28.8%	7.7%	2.9388
Planning staff understands each program's specific goals and objectives	%	15.4%	44.2%	28.8%	11.5%	3.2000
Organization develops operational/annual plans that guide action	%	7.7%	42.3%	36.5%	13.5%	3.1800
Annual plans of action are reviewed, updated and reflect the strategic plan	%	7.8%	51.0%	23.5%	17.6%	3.1458
Resources are planned accordingly and allocated properly	%	15.7%	49.0%	21.6%	13.7%	3.1429
All staff understand how each program relates to the organization's mission.	%	16.0%	50.0%	22.0%	12.0%	3.1800

Data obtained through the interviews, focus group discussions and observation confirmed the above mentioned findings. The commission has prepared annual operational plan with detail budget to the Office. Although there is an active strategic plan, it was not well-circulated and shared by the external stakeholders. In this regard, directors from Bureau of Construction and Housing, Deputy Bureau

4.4.4. Organizational structure

The organogram of the Afar REACC depicted Fig.4.2 below indicates that the commission is led by a Commissioner. The commissioner is supported by a deputy commissioner. The Commission is organized in three Core Processes and three support processes directly accountable to the Commissioner.

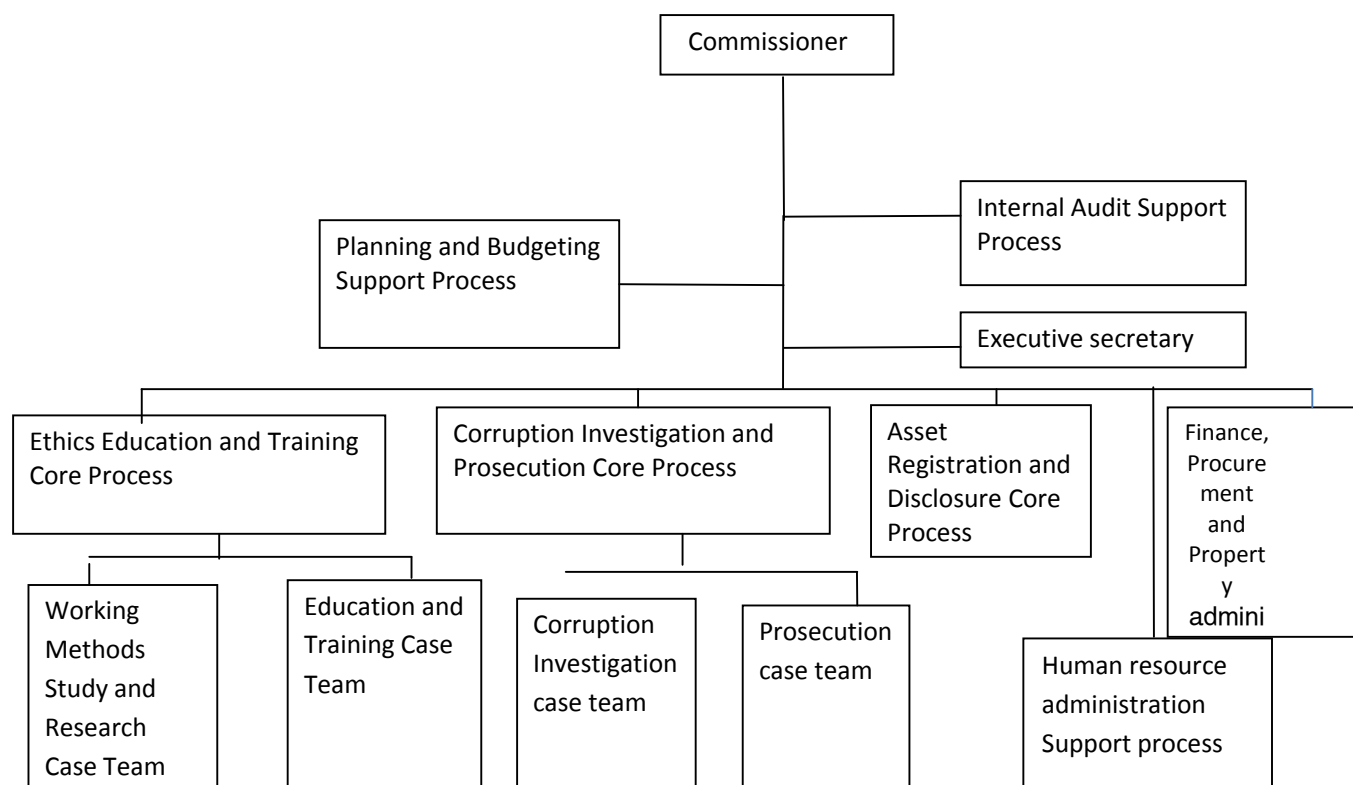


Figure 4.2: Organizational Structure of the Afar Ethics and Anti-Corruption Commission

This organizational structure reflects the functions and mandate stipulated by the establishment of the regional EACC proclamation number 60/2010. The Commission has adapted Hong Kong's three-pronged approach to fighting corruption, which incorporates investigation, prosecution and prevention /ethics education. Most regional council members (90%) perceived that the Commission achieved adequate organizational coordination to medium and high level. Heads of Finance, Revenue, Justice, Federal Supreme Court, Head of Auditors General Office of the Region where the commission keeps an eye for fighting corruption, stated that "we are not aware of the strategic plan of the Commission. Neither had they participated in strategic planning validation workshop organized by the Commission."

The existing capacity assets in terms of clearly defining lines of authority and responsibilities, facilitating agile decision-making, discussion, & problem-solving capacity, and in coordinating among different units involved in service delivery was close to emerging as indicated in Table 4.11 below. Much external support is needed for refining and finetuning the structure in order to facilitate smooth coordination among different units involved in service delivery.

Table 4:11: Organizational Structure (REACC Staff and ethics liaison officers) N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
The existence of an organizational structure with clearly defined lines of authority and responsibilities	%	8.9%	30.4%	50.0%	10.7%	2.6250
Lines of authority facilitate agile decision-making, discussion, & problem-solving	%	14.5%	65.5%	14.5%	5.5%	2.1091
The organizational structure facilitates smooth coordination among different units involved in service delivery	%	30.4%	57.1%	12.5%	-	1.8214

One of the pressing challenges identified by the participants of the interviewees and focus group discussants across the board was workoverload for the commissioner as all core and support processes are directly answerable to him. FGD participants from Women and Youth Associations indicated that “Its operation is confined at the Region Capital, does not have strong arm of operation in Zones and Woreda’s of the region.” The opinion of stakeholders is also validated by the Commissioner of the organization. According to Director of Corruption Investigation and Prosecution “the Commission is weak to create additional structures at the grassroots levels (mainly Woredas) to improve its accessibility to all citizens and institutions”.

Further analysis was undertaken against the three core processes; viz., Ethics Education and Training, Corruption Investigation and Prosecution, and Asset Registration and Disclosure. The results of data analysis on the capacity of the said core process are summarized on the subsections that follow.

4.4.4.1. Ethic Education

Ethic Education is organized under the Ethics Education and Training core process, which further organizes Working Methods Study and Research, and Education and Training its two Case Teams. This Core Process’s main objective is the creation of an ethical society which is unfavourably positioned towards corruption by carrying out ethics and anticorruption education as well as serving as a communication link between the Commission and the Regional public bodies and citizens. Main tasks of the Core Process include: to study working procedures, occasionally without prior notice, in public offices as well as enterprises and organizations under governmental control in order to revise practices which might enable opportunities for corrupt behaviour. According to data obtained from the AfarREACC staff, the commission’s capacity in terms of creating clear policy and procedural manual for giving ethics education, forming strategic partnerships with media, and in-house capacity for producing brochures and flyers falls between emerging and expanding as indicated in Table 4.12. This is to say that the commission has demonstrated the capacity to fill its gaps of ethics education but it requires some level of external support.

Table 4.12: Capacity to Carry out Ethics Education (REACC staff and ethics liaison officers) N=60

Variables	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of clear policy and procedural manual for giving ethics education	%	3.6%	41.1%	37.5%	17.9%	2.6964
Availability of system of promoting ethics and anti-corruption education in Ethiopian society	%	9.1%	50.9%	27.3%	12.7%	2.4364
Capacity to undertake face-to-face trainings, organize panel discussions, use TOTs, and publicity and marketing through publications, posters, flyers, brochures, stickers, billboards, newsletters (internal and external), media, and ma	%	12.5%	62.5%	16.1%	8.9%	2.2143
Availability of established strategic alliances with television and radio and other written media to reach citizens including illiterate people	%	26.8%	39.3%	21.4%	12.5%	2.1964
Availability of in-house capacity for producing brochures and flyers	%	13.2%	54.7%	18.9%	13.2%	2.3208

The commission uses media and self-produced anticorruption publications, such as fliers and brochures, to spread the directorate's message as well as carrying out trainings of individuals and groups to prevent incentives for corruption by increasing public support for the commission's mission. In this regard, a face-to-face training, TOT, Panel discussions and organizing of events during government and public celebration days were the main strategies.

4.4.4.2. Corruption Prevention

As has been pointed out in section 3.4.4.1 above, corruption prevention is organized under the Ethics Education and Training core process. It is particularly carried out by the Working Methods Study and Research Case Team. It seeks to prevent corruption by studying the practices and work procedures of public offices and enterprises that may lead to corrupt practices and follows up on the implementation of recommended suggestion through intensive consultation with REACC's salient stakeholders. The Afar regional state REACC's capacity for corruption prevention as gauged by the seven indicators listed in Table 4.13 below was found to be close to emerging, which shows that there is an initiative to build the corruption prevention capacity, but much urgent external support is needed to strengthen it. Comparatively the capacity gap between capacity asset and need was recorded on the availability of sufficient capacity of mobilizing stakeholders such as media, schools, and religious institutions on preventing and combating corruption).

Table 4.13: Capacity to Corruption prevention (REACC staff and ethics liaison officers) N=60

Variables	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of clear policy and procedural manual for corruption prevention	%	25.5%	30.9%	30.9%	12.7%	2.3091
Capacity to conduct in-house research	%	26.1%	39.1%	19.6%	15.2%	2.2391
Capacity to study corruption practices and work procedures of public offices and public enterprises	%	18.2%	43.6%	30.9%	7.3%	2.2727
Capacity to mentor or coach on the implementation of recommended suggestions following research findings	%	42.9%	26.8%	25.0%	5.4%	1.9286
Capacity to support Ethic and Anti-corruption Liaison offices	%	54.5%	18.2%	20.0%	7.3%	1.8000
Availability of sufficient capacity of mobilizing stakeholders such as media, schools, and religious institutions on preventing and combating corruption	%	44.6%	37.5%	14.3%	3.6%	1.7679
There is now formal memorandum of understanding with salient stakeholders on how to cooperate for preventing corruption	%	35.7%	41.1%	21.4%	1.8%	1.8929

From documentary evidences and interviews FEACC senior leaders, it was possible to learn that the Afar REACC was closely working with Semera University for any work methods study and research that need specialization according to the concluded memorandum of understanding. This strategic alliance with the university enables the commission to create additional capabilities that pragmatically increased their range of viable responses to diverse types of stakeholders' work procedures research.

4.4.4.3. Corruption Investigation

Corruption investigation is organized under the Corruption Investigation and Prosecution core process. It investigates any alleged or suspected corruption offences specified in the Criminal Code or in other laws, where they are committed in public offices or public enterprises, fall within the power of the Commission. While many corruption investigations are financial crime scene inquiries, and the case often built on documentary evidence, some cases will require key witnesses (including whistle-blowers) such as those who saw payments being made or experts who can explain to judges, assessors or juries both the nature of the financial activities and what they may mean in terms of what they say about corrupt relationships or the acquisition of illicit assets or victims, who can witness how they were deprived of funds or assets by the suspects. The Afar Regional State REACC staffs were asked to determine their capacity for investigating of corruption offenses using the

following seven indicators listed in Table 4.14 below. The overall corruption investigation capacity was rated as close emerging, where there is some basic capacity but much external support is needed to strengthen it urgently. Better capacities of corruption investigation were available in creating a system of collaboration with other organization for investigation of corruption offenses (Item 5 in Table 4.14).

Table 4.14: Capacity to Investigation of Corruption Offenses (REACC staff and Ethics Liaison officers)
N=60

Variables	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of clear policy and procedural manual during investigation	%	8.9%	55.4%	33.9%	1.8%	2.2857
Existence of clear channels and mechanism (such as e-mail, telephone (hotline), fax, regular mail, or in-person statements) to obtain complaints about alleged corruption from whistle blowers	%	44.6%	32.1%	16.1%	7.1%	1.8571
Availability of a whistle-blower and witness protection law or regulation or guideline or policy	%	26.8%	44.6%	21.4%	7.1%	2.0893
Availability of a clear guideline for sorting out the case to be handled by itself or addressed by another government agency	%	26.8%	46.4%	19.6%	7.1%	2.0714
Availability of a system of collaboration with other organization for investigation of corruption offenses	%	21.4%	46.4%	26.8%	5.4%	2.1607
Availability of directives concerning the manners of reporting of corruption offences investigation carried out by other investigating bodies	%	25.0%	58.9%	8.9%	7.1%	1.9821
Availability of an established system of classifying corruption into modest corruption offenses, serious corruption offenses, and very serious corruption offenses using criteria	%	25.5%	52.7%	18.2%	3.6%	2.0000

Very recently, the number of corruption cases coming to the commission has been reducing from time to time although the commission organized more than 42 boxes for whistle-blowers. According to the Director of Investigation and Prosecution, there have been not more than 3 or 4 per month in the last three years. This is because the Commission is not actively working in different Zones and

Woredas; corruption is manifested in different ways and forms out of the Regional Capital. Further absence of Anti-Corruption Officers/representatives of the Commission in Regional Bureaus, Zone and Woreda Offices contributes to weak performance of the Commission.

4.4.4.4. *Corruption prosecution*

Prosecution has an obvious retributive value in that those involved in corruption are seen as not immune from the rule of law and criminal justice processes. Any ethics and anti-corruption agencies are required to have the needed capacity to prosecute corruption offenses, processing charges on files worthy of prosecuting among whose investigation have been completed; and going through the processes until the court rules on the files. Moreover, the responsibility of facilitating necessary legal protection for whistle blowers & witnesses goes to this core process. Assessment of prosecution of corruption offenses capacity at the Afar REACC rated emerging by the commission's staff (see Table 4.15 below). This is to say that there is a promising initiative to establish system but much external support is needed to further strengthen it.

Table 4.15: Capacity to Prosecution of Corruption Offenses (REACC staff and ethics liaison officers)
N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of clear policy and procedural manual during prosecution of corruption offenses	%	30.4%	32.1%	32.1%	5.4%	2.1250
Existence of systems to collect, analyse, and use data and information during prosecution of corruption offenses	%	35.8%	47.2%	13.2%	3.8%	1.8491
Capacity for the prosecution of any alleged or suspected corruption offences specified in the criminal code or in other laws where they are committed by any actors including senior political leaders	%	16.7%	53.7%	25.9%	3.7%	2.1667

During the series of interview sessions and focus group discussions, it was possible to learn that the commission undertook corrective actions on 3 cases compared to so many suspected cases. There are about 3 large scale Cases prosecuted. One of this includes reimbursement of 10 million birr to the regional government which is illegally taken by a foreign company.

4.4.4.5. *Asset Registration and Disclosure*

Following the ratification of property registration and asset disclosure proclamation of Afar region in 2011, Assets Registration and Disclosure core process was established. Nonetheless, the actual asset registration and disclosure was carried out to date due to lack of political commitment and budget. As reported by the REACC staff (see Table 4.16 below), the level of capacity and readiness to register

or cause the registration of the assets and financial interests of public officials and other public employees was found be close to emerging. This suggests that the existing capacity shall be strenthened immediate through demonstrable political commitment and budget support.

Table 3.16: Capacity to Asset registration and disclosure (REACC staff and ethics liaison officers)
N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Presence of clear policy and procedural manual during prosecution of corruption offenses	%	46.3%	33.3%	14.8%	5.6%	1.7963
Level of capacity and readiness to register or cause the registration of the assets and financial interests of public officials and other public employees compellable to do so as specified by law in cooperation with relevant bodies.	%	44.2%	34.6%	13.5%	7.7%	1.8462

Documentary evidences show that the commission has already addressed all preconditions like developing forms, certificates, and the identification of people who are legally required to register their assets were carried out (FEACC, 2017 report).

4.4.5. Human resource management (HRM) capacity

Any Ethics and Anti-Corruption Commissions need to have their own, dedicated staff for performing their duties and responsibilities. This requires such agencies to have a well-established human resource management system in order to conduct open and fair recruitment, provide a competitive compensation package, implement continuous training and capacity building, and establish processes that ensure staff integrity, performance appraisal and adherence to strict discipline codes, as well as an internal complaint system. Capacity assessment on the Afar REACC HRM system has been conducted by examining the status of HRM manual, HRD, internal work culture, gender and diversity, supervision and performance management, salaries and benefits management system and managing grievance and conflict as indicated in the subsections that follow.

4.4.5.1. Recruitment, and Job descriptions

Having the right numbers of the right people in the right place at the right time holds the key to the success of any ethics and anti-corruption commissions. This is much linked with having the right mix of support staff and technical staff who are useful to enhance efficient operations of the commissions. The important precondition in this regard is the establishment of a capacitated recruitment system. As clearly documented in Table 4.17 below, the commission's hiring process in terms of openness, competitiveness and efficiency was rated as between emerging and expanding

(but close to emerging), where there is some demonstrable recruitment capacity but much external support is needed to further strengthen and refine it (see Item 1 in Table 4.17). Each staff member has a written job description that defines his/her responsibilities, tasks, and reporting relationships. The organization also promotes inclusiveness in hiring people with disability, PLHIV, and women.

Table 4.17: Capacity for Recruitment and Job Descriptions (REACC staff and ethics liaison officers)

N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Hiring process is open, competitive and efficient	%	8.9%	50.0%	35.7%	5.4%	2.3750
Each staff member has a written job description that clearly defines his/her responsibilities, tasks, and reporting relationships.	%	23.6%	43.6%	25.5%	7.3%	2.1636
The staff exercise their functions in accordance with their job descriptions	%	21.4%	39.3%	32.1%	7.1%	2.2500
Responsibility is delegated to promote an effective division of labour, job satisfaction, and leadership opportunities.	%	16.1%	64.3%	19.6%	-	2.0357
The organization encourages/committed to recruit people with disability, PLHIV, etc.	%	20.0%	56.4%	23.6%	-	2.0364
Men and women are evenly represented on the staff, within the Executive Team	%	28.6%	55.4%	10.7%	3.6%	2.2500

4.4.5.2. Performance management and incentives

A performance management system should be in place that sets measurable performance targets for staff and ensures regular assessment and feedback on performance. There should also be an incentive system that defines competitive salary, attractive career development options partly performance-based, recognitions and rewards, etc. The AfarREACC staffs were required to determine the level of capacity asset of their organization's performance management and incentive system. The results of data analysis indicated that the Afar REACC capacity of performance management and incentives falls between emerging and expanding (specifically close to emerging) in all the eight indicators used for the analysis. This is to say that there is demonstrable capacity, but it requires some level of external support to build the capacity further (see Table 4.18). However, it was indicated that there is less capacity to base promotions and raises on the results of the performance evaluations.

Table 4.18: Performance management and incentives (REACC staff and ethics liaison officers) N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Staff meetings are held on a regular basis	%	18.2%	60.0%	12.7%	9.1%	2.1273
Staffs participate in executive decisions and are encouraged to take initiative	%	19.6%	62.5%	14.3%	3.6%	2.0179
Team work is promoted	%	16.1%	57.1%	23.2%	1.8%	2.4643
Each staff member meets with his or her supervisor at least once a month for orientation and feedback on his/her work.	%	19.6%	64.3%	12.5%	3.6%	2.0000
Staffs receive a formal performance evaluation from their supervisor at least once a year.	%	18.2%	41.8%	29.1%	10.9%	2.3273
Promotions and raises are based upon the results of the performance evaluations	%	26.8%	57.1%	12.5%	3.6%	1.9286
The Organization has a clearly defined salary scale which determines how much staff is paid	%	17.9%	35.7%	44.6%	1.8%	2.3036
Staff salaries or other benefits package are competitive	%	12.7%	65.5%	18.2%	3.6%	2.1273

4.4.6. Induction, Training and mentoring

It is argued that any specialized organization like ethics and anti-corruption agency requires its staff to be trained. General induction training for all new staff joining the organization will be useful, as well as more specific training tailored to technical functions. There should also be a system for regular knowledge sharing through mentoring is needed to ensure that knowledge is genuinely absorbed in the organization. According to REACC staff, the capacity to provide induction training and continuously mentoring junior staff is slightly above emerging as shown in Table 4.19 below and thereby much external support is needed to strengthen it.

Table 4.19: Capacity to provide induction Training and Mentoring (REACC staff and ethics liaison officers) (N=60)

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
The Organization incorporates need-based staff training as a part of its annual plan.	%	14.3%	62.5%	16.1%	7.1%	2.1607
The staff training plan is funded	%	32.7%	41.8%	14.5%	10.9%	2.0364

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Staff training is considered a priority for the organization	%	33.9%	42.9%	12.5%	8.9%	2.3214

4.4.7. Finance and Procurement Management Capacity

It is believed that the Afar REACC needs to establish a reputation of being clean itself at the expense of losing credibility in order for assuming a “watchdog” role over public financial management in other organizations. The availability of strong finance and procurement management capacity enables it to blame and shame other organization for mismanagement and corruption; hence it is of utmost importance that the Commission observes the highest standards in terms of its own procurement and finance actions. In this regard, adequate rules and procedures for procurement and financial transactions need to be in place, critically observed and monitored. REACC staffs were asked to determine the commission’s finance and procurement management by considering the existence of planning and budgeting system, finance utilization and management, financial reporting, and procurement management. Findings against the above mentioned four broad areas are presented in the subsections below.

4.4.7.1. Planning and budgeting

As revealed in Table 3.20, seven different indicators were used to assess the planning and budgeting capacity of the commission. The results of data analysis show that the capacity is positioned between emerging and expanding levels (but somewhat skewed towards emerging). That is to mean, the system of planning and budgeting capacity of the commission is emerging requiring external support to strengthen it. Nevertheless, budgets for units are prepared and hardly adjusted annually to comply with the organization’s overall budget as reported in the last item of Table 4.20 below.

Table 4.20: Capacity of Planning and Budgeting (REACC staff and ethics liaison officers) N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of financial policy and procedural manual	%	5.4%	41.1%	48.2%	5.4%	2.5357
Financial management policy meet the government laws and directives	%	14.3%	30.4%	50.0%	5.4%	2.4643
Availability of an annual budget approved in a participatory fashion	%	10.7%	50.0%	35.7%	3.6%	2.3214
Expenses are made in accordance with the annual budget	%	3.6%	56.4%	32.7%	7.3%	2.4364
Expenses against budget are analysed at least quarterly	%	10.7%	41.1%	42.9%	5.4%	2.4286
Budgets for units are prepared and adjusted annually to comply with the organization’s overall budget.	%	25.0%	48.2%	25.0%	1.8%	2.0357

From documentary evidences, it was possible to learn that the budget of the Commission for the last 6 years remains the same. The annual budget is close to 280,000 Birr. The budget for administrative expenses is close to 23,000. The remaining budget is salary expense and for core activities. This shows that although the amount of the requested budget differs from year to year, the approved one remain the same. The financial system follows rules and regulation issued by the Regional Government, Federal Government and detail procedures issued by the Finance Bureau of the Region. As such there is no big transaction seen in the Commission.

4.4.7.2. Finance utilization and management

Eleven different indicators were used to assess the budget utilization and management capacity of the commission as indicated in Table 4.21. The results of data analysis show that the capacity is positioned between *emerging* and *expanding* levels (but skewed towards emerging). That is to mean, the system of finance utilization and management capacity of the commission is emerging requiring external support to strengthen it.

Table 4.21: Capacity for finance utilization and management (REACC staff and ethics liaison officers) N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
All transactions are coded in accordance with the Chart of Accounts	%	10.7%	37.5%	48.2%	3.6%	2.4464
The cashier keeps a cash book documenting all cash transactions	%	3.6%	39.3%	46.4%	10.7%	2.6429
Cash advances are only cancelled when adequate receipts and change are submitted	%	13.0%	53.7%	29.6%	3.7%	2.2407
Bank checks are signed by at least two people, neither of whom is directly responsible for preparing financial reports	%	14.3%	50.0%	32.1%	3.6%	2.2500
Bank payments are reviewed and authorized by someone who checks that proposed disbursement is in accordance with the approved budget	%	10.7%	46.4%	39.3%	3.6%	2.3571
Supporting documentation of all financial transactions are systematically filed and retained as required by law.	%	10.9%	43.6%	36.4%	9.1%	2.4364
Cash balances are reconciled monthly.	%	25.5%	38.2%	32.7%	3.6%	2.1455
Person(s) maintaining financial records (are) knowledgeable and	%	14.3%	60.7%	17.9%	7.1%	2.1786

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
skilled in the area.						
Availability of a computerized bookkeeping system.	%	21.4%	48.2%	19.6%	10.7%	2.1964
External Audits are conducted by a reputable firm ever year	%	25.0%	39.3%	28.6%	7.1%	2.1786

4.4.7.3. Financial Reporting

Financial reporting was another assessment area as shown in Table 4.22. Eight different indicators were used to assess the financial reporting capacity of the Afar REACC. Findings show that the capacity is positioned between *emerging* and *expanding* levels (but skewed to *emerging*). That is to mean, the system of financial reporting is *emerging* requiring external support to strengthen it.

Table 4.22: Capacity of financial reporting (REACC staff and ethics liaison officers) N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
The financial report includes a statement of expenses against budget.	%	16.1%	60.7%	21.4%	1.8%	2.0893
Capacity to produce internal monthly financial reports	%	25.0%	50.0%	19.6%	5.4%	2.0536
Quarterly financial reports are submitted for the review and approval of the finance office.	%	16.1%	48.2%	30.4%	5.4%	2.2500
The financial report includes a balance sheet and bank reconciliation	%	16.1%	50.0%	28.6%	5.4%	2.2321
The financial report includes a statement of expenses against budget.	%	16.1%	60.7%	21.4%	1.8%	2.0893
Expenses are reported by activity.	%	17.9%	55.4%	23.2%	3.6%	2.1250
Capacity to present a full financial statement in its annual report for public consumption in a timely fashion.	%	12.5%	42.9%	42.9%	1.8%	2.3393
Financial reports are concise, easy to understand, and produced in a timely manner.	%	14.3%	44.6%	35.7%	5.4%	2.3214

4.4.7.4. Procurement, Supplies and Inventory Management

As revealed in Table 4.23, five different indicators were used to assess the procurement, supplies and inventory management capacity of the commission. The results of data analysis show that the capacity of the procurement, supplies and inventory management system is positioned between *expanding* and *mature* (close to *expanding*). That is to mean, the overall procurement system showed a demonstrated capacity to fill its gaps but it requires some level of external support.

Table 4.23: Capacity to undertake Procurement, Supplies and Inventory Management (REACC staff and ethics liaison officers) N=60

Variables	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	mean
Availability of a procurement management manual	%	12.5%	42.9%	37.5%	7.1%	3.1400
Competitive procurement practices are followed for all purchases as per public procurement law.	%	14.3%	35.7%	41.1%	8.9%	3.0400
Procurement procedures is evaluated by procurement committee	%	8.9%	42.9%	41.1%	7.1%	3.1800
All fixed assets are coded and incorporated in a fixed asset inventory control	%	7.1%	39.3%	48.2%	5.4%	3.1400

4.4.8. Knowledge and information management

In the current dynamic environment, any ethics and anti-corruption commission should have the capacity for knowledge management in all its units in general and more specifically by drawing upon findings from the investigation division to determine strategic interventions by the prevention division and vice-versa. It is argued that when the technical divisions of the commission mutually reinforce one another, the REACC will be at its strongest. In order to assess the capacity of knowledge and information management of AfarREACC, eight indicators were used (see Table 4.24 below). The results of data analysis reveal that the knowledge and information management capacity falls exactly between *nascent* and *emerging*. This suggests that there is infant capacity for sharing knowledge and information given the current high staff turnover.

Table 4.24: Knowledge, Information and Technology Management (REACC staff and ethics officers)

Variables	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability well-designed, user-friendly, comprehensive systems to capture, document, and disseminate knowledge internally in all relevant areas	%	50.0%	37.5%	7.1%	5.4%	1.6786
The existence of systems to collect, analyse, use and disseminate data and information to relevant external stakeholders	%	57.1%	28.6%	8.9%	5.4%	1.6250
All staff is aware of systems, knowledgeable in their use, and make frequent use of them	%	50.0%	32.1%	14.3%	3.6%	1.7143
The organization has internet access and all technical and admin staff has individual computer and e-mail access	%	52.7%	29.1%	12.7%	5.5%	1.7091

Variables	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
The organization has reliable telephone and fax facilities accessible by all staff	%	32.1%	46.4%	17.9%	3.6%	1.9286
The organization has fully networked computing hardware with comprehensive range of up-to-date software applications	%	58.2%	25.5%	10.9%	5.5%	1.6364
The organization has comprehensive and interactive Web site, regularly maintained and kept up to date on latest area and organization developments	%	53.6%	30.4%	12.5%	3.6%	1.6607
The organization has comprehensive electronic database and management reporting systems exist for tracking clients, staff, volunteers, program outcomes and financial information; widely used and essential in increasing information sharing and efficiency	%	50.0%	30.4%	14.3%	5.4%	1.7500

The data gathered through a series of interviews and focus group discussions confirmed the absence of well-organized knowledge information and management system. The knowledge management and information activities of the commission are limited due to lack of proper knowledge management network, IT infrastructure and absence of proper communication strategy. The Commission has no functional website, and email address. The number of landline telephone lines is very few. In addition to this, the filing system of the office is not automated or easily available in soft and hard copy. The commission is also weak in sharing best practices for external stakeholders.

4.4.9. Communication capacity

Communication is one of the crucial set of organizational capacities, which relates to coordination and cooperation with both internal and external stakeholders. Stakeholder support can be achieved with effective communication so that it is indispensable for managing the multiple functions and expectations successfully. The external communication aims to make key stakeholders aware of the range of activities that are undertaken by the Afar REACC. The internal communication aims to involve the broader commission community (e.g. leadership, technical staff, and administrative staff) on the activities and achievements of the organization. As perceived by the AfarREACC staff, the communication capacity (communication through reporting) became close emerging (see Table 4.25 below). This is to say that there is an initiative to build the reporting capacity but much external support is needed to strengthen it.

Table 4.25: Reporting Capacity (REACC staff and ethics liaison officers) N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Capacity to regularly reports on activities and results of evaluations to relevant stakeholders	%	17.9%	55.4%	21.4%	5.4%	2.1429
Communication is clear and easy to understand.	%	15.1%	62.3%	17.0%	5.7%	2.1321
Ability of publishing and disseminating reports on lessons learned using paper and electronic media including webpage	%	26.8%	58.9%	14.3%	-	1.8750
Capacity to demonstrate outcomes with numbers, data, and stories about how the organization made a difference	%	32.1%	44.6%	21.4%	1.8%	1.9286

From several salient stakeholders who have participated in a series of interviews and focus group discussions, it came to know that the commission has very weak capacity of external communication with its salient stakeholders such as youth league, women and girls league, professional associations, religious institution and Chamber of commerce. Out of the participants in the FGD, more than 70% claimed that, the commission is not promoting its vision, mission and core values using different channels. Of the participants, Secretariat members of Teachers Association, Religious leaders from Ethiopian Orthodox Church and Muslim leaders, and Youth League members confirmed that, “they did not hear any promotional messages through Regional Radio or TV or other media. The commission is not strongly promoting its purpose of establishment through leaflets, brochures, magazines, etc.” The ethics Education and Training Core Process Head has also similar opinion on this issue by indicating “budget and staff limitation” as the main source of the weakness.

In terms of system and structure, the Commission has no Communication strategy so that its communication activities are not guided systematically and in a planned manner. There is no separate work unit established to carry out the communication affairs of the Commission. The visible communication gap can be explained with the following points: no clear MOU with Media Offices, no budget assigned for communication work, no communication staff or work unit, no communication plan, and weak communication infrastructure.

4.4.10. Monitoring and Evaluation Capacity

Monitoring and evaluation of the organization’s internal work is another key capacity needed by ethics and anti-corruption commissions. The monitoring and evaluation system should track performance against three types of indicators; viz., output indicators, outcome indicators, and efficiency and productivity indicators. According to the data organized in Table 4.26 below, six indicators were used to assess the monitoring and evaluation capacity of the Afar REACC. REACC’s staff rated the existing organizational assets of monitoring and evaluation capacity close to emerging, where there is some initiative to build the M&E capacity but much external support is needed to strengthen it.

Table 4.26: Monitoring and Evaluation Capacity (REACC staff and ethics liaison officers) N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
The organization has M&E system in place with sets of qualitative and quantitative indicators and processes for program performance monitoring and modification	%	44.6%	33.9%	14.3%	7.1%	1.8393
Level of monitoring organization's performance against the set standards & benchmarks	%	53.6%	26.8%	16.1%	3.6%	1.6964
Results are assessed against plan	%	47.1%	41.2%	9.8%	2.0%	1.6667
The organization has a data collection plan that includes: tools and strategies for collecting data, the people responsible for data collection, collection frequency, and data storage procedures.	%	45.5%	34.5%	16.4%	3.6%	1.7818
Monitoring results influence implementation	%	41.2%	45.1%	11.8%	2.0%	1.7451
Evaluation results help make the case for continued and additional support	%	39.3%	46.4%	10.7%	3.6%	1.7857

The above mentioned findings were confirmed by the interviewees who participated in the capacity assessment. More specifically, the commission has no well-established monitoring and evaluation system. There are monthly meetings held at organization level to discuss performance of each process, but not in a systematic way. Performance of employees is not evaluated regularly. The performance of activities of work units is not measured. It is possible to say monitoring and evaluation system is absent in the Commission. Policies issued by the commission are not evaluated. No staff, no training, no software, no standard formats and no data collection policy do reflect and justify the existence of good monitoring and evaluation capacity in an organization.

4.4.11. Cross Cutting Issues

Among the issues that a capacity assessment should pay attention to include in its missions whether the organization has a strategy on key cross-cutting issues. REACC staff indicated that attention paid cross-cutting issues by the Afar REACC was close to emerging (see Table 4.27). This suggests that the capacity is some capacity that has to be strengthened. The Commission has no formally issued policies related with gender, HIV Aids, and environment, which are widely considered as cross cutting issues. No visible mainstreaming activity is observed.

Table 4.27: Cross Cutting Issues on some aspects(REACC staff and ethics liaison officers) (N=60)

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of gender mainstreaming manual	%	51.9%	32.7%	11.5%	3.8%	1.6731
Staffs' awareness of gender issues	%	15.4%	65.4%	11.5%	7.7%	2.1154
The organization has mainstreamed HIV/AIDS issues	%	34.6%	44.2%	13.5%	7.7%	1.9423
The organization has work place HIV program in-place	%	42.3%	40.4%	11.5%	5.8%	1.8077
Staffs' awareness of environmental issues	%	40.4%	40.4%	11.5%	7.7%	1.8654

4.5. The Individual level Capacity Assessment

Human resource (both technical and support staff) is the most precious resource without whom any organisations cannot function properly. As any human-intensive organization, the Afar REACC is required to have reasonable individuals (in terms of volume, professional mix, and quality) for effectively discharging its duties and responsibilities given by law. This individual level capacity, which refers to the skills, experience and knowledge that are vested in people and reflected as staff profile is extremely important due to the high level of expertise that the commission requires. The individual level capacity has been assessed against the volume, knowledge and the skills needed, necessary and appropriate for fulfilling particular roles (core and support) of the commission in its mandate.

4.5.1. The Commission's Staff Volume and Composition

Although the commission should be staffed by 72 employees according to the job analysis, the Afar REACC had 3 senior leaders, 7 technical and 18 support staff during the data collection in order to deal with the ethics and anti-corruption related issues of the region. This suggests that the organization met less than 39% of its human resource demand. Thus the commission is generally operating under significant shortage of human resources with serious HR capacity gaps. The key staffs by some core/support processes are summarized in Table 4.28 below.

Table 4.28: Key staff by education level and specialization

Core/support process	# of Staff Required	Available	Qualification
The Investigation and Prosecution	31	4	LLB
The Prevention , research and training	12	1	LLB, BA in Social Science
The Ethics Infrastructure	-	-	LLB, BA in Social Science
The Assets Disclosure and Registration	4	2	LLB, BA in Social Science
Finance and Procurement	9	9	BA in Accounting
Human Resources Management	7	7	BA in management, public

Core/support process	# of Staff Required	Available	Qualification
Coordination			administration or human resources management
Planning and Budgeting Directorate	4	1	BA in economics, accounting, management
Communication and Public Relation Directorate	4	1	BA in journalism, literature, communication or related
Office of the Commissioner	4	3	In different fields
	72	28	

Source: Human Resource Data Produced by Human Resource Directorate

In this capacity assessment, the staffs were categorized into three separate groups; viz., technical staff in charges of the core mission of the organization, managerial staff, and support staff. The results of data analysis show that the availability of sufficient staff in the above mentioned three categories of staff falls between nascent and emerging(but close to emerging) as documented in Table 4.29 below. This is to say that there is an infant initiative to attract and retain staff to build the REACC human resource capacity but much external support is needed to strengthen it further. Much capacity limitations were reported on staff working on technical areas like coordinating and moving the public at large against corruption (mean=1.6909), undertaking corruption prevention activities (mean=1.8393), conducting investigation (mean=1.7500), and undertaking and organizing asset registration & disclosure activities (mean=1.7407) in a four point scale.

Table 4.29: Staff Level Capacity (REACC staff and ethics liaison officers) (N=60)

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of sufficient staff who are able to fully and independently provide ethical education	%	12.5%	66.1%	19.6%	1.8%	2.1071
Availability of sufficient investigation staff who are able to fully and independently conduct investigation on any corruption suspects	%	28.6%	50.0%	21.4%	-	1.9286
Availability of sufficient prevention staff that are able to fully and independently undertaken prevention activities.	%	35.7%	46.4%	16.1%	1.8%	1.8393
Availability of sufficient investigation staff who are able to fully and independently conduct investigation on any corruption offices	%	41.1%	32.1%	21.4%	5.4%	1.9107
Availability of sufficient prosecution staff who are able to fully and independently conduct prosecution of	%	51.8%	25.0%	19.6%	3.6%	1.7500

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
corruption offenses						
Availability of sufficient staff who are able to fully and independently undertake and organize asset registration & disclosure activities	%	46.3%	38.9%	9.3%	5.6%	1.7407
Availability of sufficient staff who are able to fully and independently coordinate and move the public at large against corruption	%	50.9%	32.7%	12.7%	3.6%	1.6909
Availability of sufficient managerial staff who are able to run the day to day activities of the organization	%	42.9	35.7%	19.6%	1.8%	1.8036
Availability of sufficient support staff who are able to provide all support for technical staff	%	17.9%	64.3%	16.1%	1.8%	2.0179

One major constraint which was raised during the survey was the lack of capacity within the all the directorates of the commission, both when it comes to qualified staff as well as resources. Producing anticorruption material and spreading them are expensive, especially via television, and the directorate is already operating on a relatively small budget. The consequences of these constraints manifests themselves in the lack of capability to produce anticorruption material of a satisfactory high standard due to the lack of competence among several of the employees as well as the difficulty which the directorate is facing in keeping competent staff members. Unable to offer competitive salaries in comparison with the private sector, the turnover of staff is relatively high at the core process. The amount of employees within the Core Process now stands at 2.

4.5.2. Technical Staff Capacity Assessment

In addition to shortage of technical staff discussed above, lack of skills and the experiences were repeatedly raised by both internal and external stakeholders of the commission as one of the most serious challenges at the AfarREACC. Although this is partly explained by lack of quality of higher education in the country, the commission was not able to improve the skills and knowledge of its staff through induction trainings, refreshment trainings, and on job training as immediately as possible. As pointed out in Table 3.30, the skills of prevention and ethic education staff on the identified thirteen areas fall between low and medium across the board. Reviewing asset declarations is found to be the area where this is huge capacity gap.

Table 4.30: Skill of prevention and ethic education staff on some areas (REACC staff and ethics liaison officers)(N=60)

Variables	Data	Not at all (0)	Low (1)	Medium (2)	High (3)	Mean
Training people	%	-	27.5%	45.0%	27.5%	2.0000
Educating people	%	-	19.5%	73.2%	7.3%	1.8780

Variables	Data	Not at all (0)	Low (1)	Medium (2)	High (3)	Mean
Public speaking	%	-	25.0%	67.5%	7.5%	1.8250
Developing modules	%	2.5%	50.0%	40.0%	7.5%	1.5250
Writing public materials	%	7.3%	48.8%	34.1%	9.8%	1.4634
Writing training materials	%	9.8%	46.3%	29.3%	14.6%	1.4878
Mentoring and coaching	%	15.0%	45.0%	35.0%	5.0%	1.3000
Developing codes of conduct	%	23.1%	43.6%	25.6%	7.7%	1.1795
Drafting laws	%	26.8%	41.5%	29.3%	2.4%	1.0732
Undertaking research	%	17.5%	50.0%	32.5%	-	1.1500
Designing communication strategies	%	23.1%	38.5%	33.3%	5.1%	1.2051
Writing reports	%	5.0%	35.0%	47.5%	12.5%	1.6750
Reviewing asset declarations	%	35.9%	35.9%	19.6%	-	.9231

REACC staff were also asked to rate the experience of prevention and ethic education staff using eleven indicators detailed in Table 4.31 below. Findings revealed that the staff experiences required from the ethics education staffs were generally low.

Table 4.31: Experience of prevention and ethic education staff on some areas (REACC staff and ethics liaison officers) N=60

Variable	Data	Not at all (0)	Low (1)	Medium (2)	High (3)	Mean
Capacity to develop regional ethic and anti-corruption strategies	%	-	47.6%	45.2%	7.1%	1.5952
Monitoring the implementation of anti-corruption policies	%	12.2%	41.5%	41.5%	4.9%	1.3902
Capacity to evaluate the effectiveness of anti-corruption policies	%	11.9%	57.1%	23.8%	7.1%	1.2619
Reviewing legislation, regulations and procedures	%	14.3%	54.8%	23.8%	7.1%	1.2381
Proposing new or revised legislation, regulations and procedures	%	19.5%	53.7%	24.4%	2.4%	1.0976
Disseminating knowledge on corruption and anti-corruption	%	-	35.7%	57.1%	7.1%	1.7143
Communication	%	2.4%	23.8%	66.7%	7.1%	1.7857
Knowledge sharing	%	2.4%	31.0%	66.7%	-	1.6429
Gift policies	%	17.1%	36.6%	36.6%	9.8%	1.3902
Asset declarations	%	31.7%	34.1%	34.1%	-	1.0244

As can be in Table 4.32 below, REACC staff were asked to rate their skills on eleven concepts related to corruption and investigation. The results of data analysis indicated that their skills were between

low and medium. Concepts like money laundering, investigating electronic devices, intelligence gathering and surveillance were less understood and carried out by the staff.

Table 4.32: Skills/knowledge of investigation and prosecution staff on some concepts (REACC staff and ethics liaison officers) (N=60)

Variable	Data	Not at all (0)	Low (1)	Medium (2)	High (3)	Mean
Determining criminal law points to prove	%	-	30.4%	65.2%	4.3%	1.7391
Preparing file cases for the prosecutor	%	-	30.4%	43.5%	26.1%	1.9565
Interviewing	%	-	39.1%	56.5%	4.3%	1.6522
Note-taking	%	-	21.7%	78.3%	-	1.7826
File management	%	-	26.1%	60.9%	13.0%	1.8696
Document requests to other institutions	%	-	30.4%	65.2%	4.3%	1.7391
Intelligence gathering	%	4.3%	52.2%	43.5%	-	1.3913
Reading financial statements	%	4.3%	43.5%	52.2%	-	1.4783
Asset restraint	%	4.3%	47.8%	39.1%	8.7%	1.5217
Dealing with money laundering cases	%	-	65.2%	30.4%	4.3%	1.3913
Search and seize	%	-	56.5%	39.1%	1.8%	1.4783
Access and search electronic devices	%	4.3%	30.4%	60.9%	4.3%	1.6522
Surveillance	%	21.7%	34.8%	43.5%	-	1.2174
Using informants	%	-	39.1%	52.2%	8.7%	1.6957
Participating in joint operations with the police	%	-	34.8%	60.9%	4.3%	1.6957
Protecting evidence integrity	%	-	39.1%	56.5%	4.3%	1.6522
Investigation report writing	%	-	39.1%	52.2%	8.7%	1.6957

Table 4.33 below presents fifteen different concepts in order to determine whether the investigation and prosecution staffs are familiar with them or not. Most staff were fairly familiar with most concepts, but scores that on average fall below low need very immediate attention.

Table 4.33: Familiarity of investigation and prosecution staff on some concepts (REACC staff and ethics liaison officers) N=60

Variable	Data	Not at all (0)	Low (1)	Medium (2)	High (3)	Mean
Public sector corruption	%	4.3%	47.8%	43.5%	4.3%	1.4783
Private sector corruption	%	21.7%	43.5%	30.4%	4.3%	1.1739
Conspiracy	%	21.7%	34.8%	43.5%	-	1.2174

Variable	Data	Not at all (0)	Low (1)	Medium (2)	High (3)	Mean
Aiding and abetting offences	%	4.3%	56.5%	34.8%	4.3%	1.3913
Cases involving foreign public officials	%	4.3%	56.5%	34.8%	4.3%	1.3913
Embezzlement/Misappropriation	%	4.3%	39.1%	52.2%	4.3%	1.5652
Improper use of public property	%	4.3%	30.4%	56.5%	8.7%	1.6957
Misconduct in public office	%	4.3%	39.1%	52.2%	4.3%	1.5652
Trading in influence	%	26.1%	30.4%	39.1%	4.3%	1.2174
Nepotism	%	4.3%	43.5%	47.8%	4.3%	1.5217
Falsification of documents	%	4.3%	39.1%	56.5%	-	1.5217
Anti-money laundering	%	4.5%	45.5%	50.0%	-	1.4545
Restraint and confiscation	%	4.3%	43.5%	52.2%	-	1.4783
Asset recovery	%	26.1%	39.1%	26.1%	8.7%	1.1739
Requests for mutual legal assistance	%	4.3%	43.5%	47.8%	4.3%	1.5217

4.6. Non-human resources

The presence of adequate nonhuman resources is one of the critical factors of the operations of ethics and anti-corruption commissions in any countries. Specifically, those nonhuman resources like monetary, physical, and information (ICT) and social legitimacy are essential for any ethics and anti-corruption commissions to discharge its dues and responsibilities. The results of data analysis show that the Afar REACC has shortage of nonhuman resources that substantially hamper its effectiveness against fighting corruption. Data collected through observation revealed that the capacity limitations include:

- Inadequate office space for all the staff members of REACC: the available small offices were shared one and were not designed properly for the Commission's specific work environment or purpose. There are only few rooms including the Commissioner's Office; all are overstaffed. It was not well-furnished and attractive office compared to other government offices. Nor are well-furnished and equipped meeting rooms for internal stakeholders and other external stakeholders who can mandated to perform specific functions which may be closely related to its mandate and upon which the effectiveness of the commission may depend. There is no any recreational services (like cafeteria) for the staff that pursue a difficult job sometimes with risks to personal security. Nor are separate secret or waiting rooms for the whistle-blowers. Nor are offices along with archives for confidential documents restricted to entry of authorized personnel.
- Shortage of office equipment like laptops, computers and printers including internet services for the entire staff of the commission. For instance, the ESREACC has poor internet service, except at its Finance department and the Commissioner office. There is also a need to strengthen the commission by availing heavy-duty printer/copier machines.
- Shortage of vehicles and motor vehicles for covering vast part of the region: Visiting woredas and Kebles (including hard reaching areas) was practically impossible. Sadly, it is very risky

business or bear's vulnerability to take public transport services due to the nature of the job sometimes with risks to personal security. Thus, the above mentioned shortage of vehicles is at the heart of the discussion for not covering the entire kebles within the region.

- Inadequate investigation equipment: shortage of digital camera, and sound recorders. Discussants from the Corruption investigation and prosecution directorate indicated that their department was not equipped with a state of art technology to discharge their duty. As there were no adequate voice recorders, they have been using their personal mobile phones to organize some necessary sound testimonies that often end up with poor quality of records.
- There was no adequate library and/or resource centre including sufficient stories. It is difficult to store books, research papers, reports, bulletins, magazines, other publications etc. in the office due to shortage of office.
- Shortage of budget: Shortage of financial resources is the mother of the above mentioned challenges. There are severe budget limitations from governmental treasury (280,000 Birr per year for the last six year) only and external sources. For instance, the REACC has stopped gathering information from whistle-blowers using a free line phone/toll free line due to budget constraint. Limited support from external sources could not solve the problem. Wherever there are financial resources, limited capacity in procurement specification writing is another capacity limitation.

4.7. Critical Capacity gaps

The major critical capacity gaps observed at the Afar REACC against the three entry points in are summarized as follows:

4.7.1. Enabling environment:

- One of the grave challenges is inadequacy of allocated budget from government treasury to the Afar REACC. This has hindered organizational capacity in terms of availing quality human and nonhuman resources.
- One of the major gaps identified in the assessment is low level of coordination between the Commission and different governmental and non-governmental stakeholders working in the region. As we have seen from the opinions of different respondents of KII, regular discussion on major anti-corruption activities, strategies, policies and areas of cooperation are not well established. The roles, duties and responsibilities of each stakeholder in the anti-corruption movement is not clearly defined. Systematic sharing and exchange of information on corruption related symptoms, corruption cases, experiences etc. between the commission and its salient stakeholders is limited due to weak inter-institutional relationship and binding agreements. Absence of anti-corruption officers in many of the regional bureaus hampers the prevalence of weak institutional coordination between the Commission and respective bureaus.
- The effort made by the Commission to work with civil society organizations, academic and research institutions and different community establishments is very weak due to lack of strategic focus and poor internal capacity. As a result, the participation as well as contribution of citizens in anti-corruption activities is not well recognized. Corruption investigation and prosecution could not be successful without

stakeholders and citizens participation. The existing internal organizational capacity has visible limitations in this regard.

4.7.2. Organization level capacity gaps

- The AREACC organizational capacity is constrained by resource limitation, especially shortage of capital and admin budget, scarce logistics, poor office infrastructure and facilities. The Commission is undertaking its activities under constrained environment as far as office facilities and infrastructure is concerned.

4.7.3. Individual level capacity gaps

- The individual level capacity gap is explained in terms of adequacy and qualification of staff. Accordingly, the number of staff available in the Commission is below the staffing plan. There are many vacant posts open for recruitment and selection. Some of the vacant posts are left open due to budget constraint. Attracting and retaining qualified professionals like experienced lawyers is the most challenging task of the Commission. Many of the employees working in the Commission are inexperienced in the field of corruption investigation, training, research and ethics education. Many of the job incumbents acquired the position through experience, not through appropriate training and relevant education. Getting the right person for the right post is still manifested as a problem in the Commission.

4.8. Major priority Areas for Improving REACC Capacity

In the previous sections, an attempt was made to carry out the capacity assessment of Afar Regional Ethics and Anti-Corruption Commission through three distinct but inter-connected levels or entry points for capacity development; viz., the enabling environment, organizational level, and the individual level. The aim of this capacity assessment is to identify capacity gaps and address priority needs that would emerge from the capacity assessment. The participants of the research were asked to prioritize the major priority areas for improving the Afar REACC capacity assessment. The results of data analysis revealed that the following capacity priority areas identified in Table 4.34 below. The capacity priority areas focus on the individual level capacity (specifically capacity building trainings for prevention, ethic education and prosecution staff) and the organizational capacity level (related to human resource and financial manuals and capacity building trainings) as indicated in Items 1 to 5 in Table 4.34.

Table 4.34: Capacity Priority Areas

Variable	Mean	Rank order
Capacity building training for ethic education staff	2.4651	1
Capacity building training for prosecution staff	2.5263	2
Capacity building training for prevention staff	2.5714	3
Develop Human Resource Manual and provide Training	3.7273	4
Training on IE/BCC for ethics education	4.0000	5
Developing management manual	4.3333	6
Facilitate Networking and partnership	4.6154	7

Develop Investigation and prevention hand-outs and provide training	4.7647	8
Training on leadership and good governance	4.7813	9
Develop Procurement Procedure Manual and provide Training	4.9048	10
Training on the registration of the assets	5.0000	11
Strengthening staff development and knowledge management capacity	5.1111	12
Strengthen report writing skills	5.1176	13
Training on community mobilization and social inclusion to fight corruption	5.1429	14
Training on Gender Mainstreaming and budgeting	5.1538	15
Training on report writing and documentation	5.2500	16
Training on how to draft law, regulation or directives	5.2857	17
Develop Financial Management Manual and provide Training	5.4091	18
Develop Strategic Plan Management Document and Provide training	5.5000	19
Training on teamwork and facilitation skills	5.5000	20
Training on Lobbying and Advocacy	5.5714	21
Develop M&E Plan and Provide training	5.7500	22
Training on Resource mobilization and Grant Solicitation	6.4444	23

4.9. Summary of the Major Findings, Conclusions and Recommendations

Corruption occurs in all parts of the world including Ethiopia. There is no question about the negative impacts of corruption. Economically, it distorts economic systems by significantly deterring the development of markets, increasing uncertainty, discouraging investment, increasing costs, and reducing competitiveness. Corruption generally weakens the institutional foundations on which economic growth depends. Socially, corruption implies discrimination, injustice and disrespect for human dignity that cause social disintegration. Politically, corruption undermines the rule of law, endangers the stability of democratic institutions, discriminates in the delivery of government services and thus violates the rights of the people, and the poor in particular. The prevalence of corruption reflects a democracy, human rights and governance deficit that negatively impacts on poverty and human security of every nation. Combating corruption is one of the critical agenda of the Ethiopian government for realizing the vision of the country becoming a middle-income country by 2023. Accordingly, all the nine regional states have established their own Ethics and Anti-Corruption Commissions. The Afar Region State has also legally established its own Regional Ethics and Anti-Corruption Commission (REACC) in 2007. Since its establishments, the REAACC has scored significant results in fighting corruption (FEACC, 2015/2016). It has achieved remarkable results in educating, preventing, investigating and prosecuting corruption.

However, a comprehensive attack on corruption remains a challenge in the Afar Regional State as for many other emerging regional states. The Ethiopian government in collaboration with World Bank has initiated a capacity assessment for the Afar Regional state Ethics and Anti-Corruption Commission in order to undertake research-based capacity development interventions. The assessment process is expected to explicitly indicate key capacity gaps in the commission for undertaking targeted capacity development programmes. To that end, primary data was collected from the commission's internal and external stakeholders using multiple data collection instruments; viz., standard questionnaire, Key Informant Interview (KII), Focus Group Discussion (FGD) and direct

observation. Data were analysed using quantitative and qualitative analytical tools. Quantitative data were analysed using descriptive and inferential statistics with the help of CSPRO and SPSS while qualitative data were analysed using content and interpretive analyses. In the end, the analytical results of the two have been merged together in order to produce a triangulated comprehensive evaluation report. Having critically analysed the results of data analysis, the following major findings were documented:

4.9.1. Major Findings

- The political commitment of the Regional Government to fight corruption was rated as medium and high by the majority of the participants who involved in this capacity assessment. This political will has been demonstrated by the legal establishment of the commission, allocating budget, structuring, and staffing it.
- Almost all respondents from the AfarREACC staff and the regional council members rated the adequacy of the legal framework under which REACC operates to fight corruption. In this regard, the majority of the respondents rated the commission's autonomy as low. The allocated budget was reported as inadequate to carry out the activities of the commission and promotes the notion of funding at a constant level.
- The results of data analysis show that the commission was fairly established good institutional framework and coordination mechanisms in order to tackle corruption. More importantly, the commission has signed key MOU with its salient stakeholders (like clan leaders, educational facilities, police commission and justice office) as part of forming strategic alliances and there are key formal structure such as clan leader council with which it exchanges ideas and working in close collaboration.
- Based on its mandate, the Afar REACC has developed a vision and a mission, codified through succinct statements for setting its institutional identity, for motivating staff and creating a sense of purpose. The commission has an active five year strategic plan as part of BSC plan. It is claimed that the Afar regional state has adequate capacity for planning and reviewing their strategic plans.
- The results of data analysis show that the commission in collaboration with its stakeholders has been trying to build the executive leadership capacity but much external support from diverse stakeholders is needed to further strengthen the existing capacity assets through tailored-made training and exposure visits. Urgent capacity development of the leaders of the commission is of paramount importance to deal with other capacity limitations.
- The commission's capacity in terms of creating clear policy and procedural manual for giving ethics education, forming strategic partnerships with media, and in-house capacity for producing brochures and flyers falls between nascent and emerging. Similarly, the REACC's capacity for corruption prevention, investigation and prosecution of corruption was found to be close to emerging and much external support is needed to strengthen it. However, the level of capacity and readiness to register or cause the registration of the assets and financial interests of public officials and other public employees was found to be nascent (almost non-existent and needs very immediate attention before engaging into the actual task).
- With regard to human resource management capacity, the commission's hiring process in terms of openness, competitiveness and efficiency, performance management and incentive system were rated as emerging. The capacity to provide induction training and continuously

mentoring new and junior staff is, however, almost non-existent (*nascent*) and needs very immediate attention.

- The results of data analysis show that the capacity for planning and budgeting, finance utilization and management, and financial reporting was positioned between emerging and expanding levels (but skewed towards emerging). Similarly, the results of data analysis show that the capacity for procurement, supplies and inventory management was close to emerging. That is to mean, the overall financial and procurement system requires external support to strengthen it.
- The results of data analysis reveal that the capacity of knowledge and information management is almost *nascent* or very infant and needs very immediate attention. The data gathered through a series of interviews and focus group discussions confirmed the absence of well-organized knowledge information and management system.
- As perceived by the participants of the capacity assessment research, external and internal communication within and outside the commission, and monitoring and evaluation capacity rated the existing organizational assets as emerging, where there is an initiative to build the capacity in the said areas but much external support is needed to strengthen it.
- This individual level capacity, which refers to the skills, experience and knowledge that are vested in people and reflected as staff profile falls between nascent and emerging (but close to emerging). This study clearly showed that the individual level capacity of the technical staff in terms of their knowledge, skills and the experiences as reported by salient stakeholders of the commission was very low.
- This study clearly documented that the commission suffers from inadequate logistics, office facilities and information (ICT) infrastructure, which are essential for any ethics and anti-corruption commissions to discharge its dues and responsibilities. These include: Inadequate office space for all the staff members of REACC, shortage of office equipment like laptops, computers and printers including internet services for the entire staff of the commission. Shortage of vehicles and motor vehicles for covering vast part of the region, inadequate investigation equipment like digital camera, and sound recorders.
- Major priority areas suggested for improving REACC capacity include the individual level capacity development (specifically capacity building trainings for prevention, ethic education and prosecution staff) and the organizational capacity level (related to human resource and financial manuals and capacity building trainings).

4.9.2. Conclusions

This capacity assessment analysed the current capacities of the Afar Regional Ethics and Anti-Corruption Commission against desired future capacities. As has been in section 4.1 above, the assessment generated an understanding of capacity assets and needs of the commission which in turn leads to the formulation of capacity development strategies and action plan. The capacity gaps are identified at all capacity development levels: individual, organizational and non-human resource areas. This is manifested to both individual and organizational capacity levels in terms of inadequate human (technical staff knowledge, skills and experiences), nonhuman resources (financial resources, own building, office furniture and equipment, vehicles, ICT infrastructures, etc.) and weak financial management, HRM, M&E system, and knowledge management system; and externally to institutional framework and coordination mechanisms. One of the grave capacity gaps related to structure is absence of the commission's affiliated branch offices at the Zones and Woredas. There is

no also unit in charge of asset registration and disclosure. Moreover, inadequate capacity of mobilizing diverse salient stakeholders (namely state institutions, civil society, private sector and others) towards fighting corruption is increasingly becoming serious capacity gaps.

4.9.3. Recommendations

This capacity assessment clearly indicated that the gaps between capacity assets and needs at the Afar Regional State Ethics and Anti-Corruption Commission have been explained by a multitude of interrelated factors in both the internal and external environments. This implies that there is a need for improvement in both the internal and external environments of the commission to bring positive changes in current ethics and anti-corruption practices. Based on the major findings, the following recommendations have been forwarded:

- The Afar Regional State is advised to allocate sufficient annual budget for projects and programs designed to enhance anti-corruption front and partnership with community members, religious leaders, youth and women groups, professional associations, citizens engaged in different economic and social activities. In addition to this, the Regional government should allocate reasonable amount of administrative budget for office use, recurrent activities, staff retention programs, training and development, experience sharing and for other related activities essential for the commission in order to carry out its activities. On the other hand, the Commission should engage in active dialogue and discussion with Budget and Finance Standing Committee of the Regional Council, the President Office and Bureau of Finance to convince political representatives and top level decision makers by preparing participatory plan.
- As disseminating ethics education and fighting corruption is not the sole responsibility of a single commission, there is a need for mobilizing as many key stakeholders as possible. As a consequence, the main functions include the common feature of requiring considerable coordination among different stakeholders like government departments, independent oversight agencies, the legislative, as well as non-state actors-civil society, NGOs and the private sector. In this regard, the commission has to sign MOUs with its salient stakeholders as part of forming strategic alliances.
- Structurally, the Afar REACC is advised to open branch offices in the Zones and Woredas of the Region to facilitate outreach and easy access to urban and rural communities and institutions outside the Regional Capital. In order to utilize resources appropriately, the offices opened in Zone and Woredas should be slim offices operating with maximum efficiency and effectiveness. The Commission needs to set up a system to create synergy of work and effort at different level in the local government hierarchy. Especially, branch offices should primarily focus in intelligence and surveillance activities. Moreover, we recommend the Commission to incorporate a work unit in the structure which is in charge of coordinating partnership and networking with different stakeholders to boost collaboration and team work.
- Assigning/hiring anti-corruption officers in all bureaus and regional offices needs attention of the Commission. Therefore, the Commission has to develop a guideline and standard of operation for anti-corruption officers and submit the same for legislative approval. Closely working with anti-corruption officers of different bureaus will likely enhance anti-corruption

- efforts in general, training and awareness programs and information sharing among other things.
- With regard to organizational level capacity development, the Commission should enhance issuance of appropriate legislations, rules and regulations to improve organizational performance and successfully achieve its mission. Some detail guidelines are required to implement the mandates given in Regulation. Although issuing laws and regulations is the mandate of the legislative, the Commission needs to play its facilitation and technical role of crafting essential articles and agenda for concerned bodies based on the realities of the Commission. Continuously reviewing operational manuals, updating systems, work procedures & internal rules which are critical for service delivery shall be the task of the leadership.
 - Disseminating ethics education and fighting corruption depends on knowledge embedded in people (mainly technical staff as well as other non-human inputs such as technologies, there is an urgent need for developing individual competitiveness. Widely proven capacity building tools like training, experience sharing, secondment programs, coaching and mentoring are some of the interventions used to build capacities of professionals of the Commission. Major priority areas suggested for improving REACC capacity include the individual level capacity development (specifically capacity building trainings for prevention, ethic education and prosecution staff) and some exposure visits in-country and abroad. In very special cases and specific purposes, secondment from FEACC or any sister REACC has proven to be effective in many cases, provided that the same conditions and safeguards apply to seconded personnel as they do to regular staff. There should also be a strategic management and leadership capacity building training for the executive leadership of the Commission. To facilitate training and development programs, the Commission should create either training or development unit in the structure or is advised to establish its own training centre in collaboration with Ethiopian universities. Besides building the capacity of existing staff with training and other means, the Commission should develop a system to attract and retain qualified people from the labour market to deliver quality service to citizens and stakeholders. For this purpose, the qualification requirement and job grading of the Commission should be redefined in line with the Regulation of the Civil Service Human Resources management policy.
 - Measures should be taken for improving the commission's non-human resources that include setting fairly comfortable office space for all the staff members, fulfil office equipment like laptops, computers and printers including internet services for the entire staff of the commission. There is a need for having more vehicles and motorcycles (be used in pool) for covering vast part of the region and improving logistics constraints. Very urgent action should be taken to avail investigation equipment like digital camera, and sound recorders.

CHAPTER FIVE: THE CASE OF GAMBELLA REGIONAL ETHICS AND ANTI-CORRUPTION COMMISSION

5.1. Background information about the Gambella Regional State

Gambella National Regional State (hereafter GRS) is one of the 9 Regional states in the Federal Democratic Republic of Ethiopia (FDRE). It is divided in 3 zones; viz., Agnuak, Nuer and Madjang zones with 12 woredas²; and one special woreda (Itang), covering an estimated area of 25,802.01 KM². The region is located in the south-west part of Ethiopia and borders two other regions, Oromia to the North and East and Southern Nations, Nationalities, and peoples Regional state (SNNPRS) to the South and the Republic of South Sudan to the South-West.



Figure 5.1 The Map of Ethiopia with the Gambella region shaded in dark red color.

The geographical feature of the regional state is mostly flat and its climate is hot and humid. The annual coverage rainfall is about 600mm while average annual temperature is approximately 28.5° C. Gambella region is home to over 129,000 hectares of cultivable land, but only a small percentage of this land is currently being farmed.

According to the data from 2007 housing census report, the total population of Gambella region is 306,916, of whom 52% were male. The major Ethnic groups in the region are Agnuak (21.17%), Nuer (46.65%), Madjang (4%) and people from other Ethiopian regional states (28.18%). Approximately 80.3% of the population is rural inhabitants, while 19.7% are urban dwellers.

Gambella is particularly well suited to livestock production, especially cattle, but these activities are largely restricted to the Jikawo and Akobo woredas. There are also large amounts of surface water and forestland and the rivers produce over 1,200 tons of fish per year. While most people in the region practice subsistence farming, the major economies in the region are coffee cultivation in Godere woreda, gold mining in Dimma, and government farms in Alwo-Pena woreda. There are also semi pastorals whose life is based on cattle breeding. Fish is one of alternative income resources to the people in rural areas of the region.

²Gambella Zuria, Abobo, Gog, Jor, Dimma, Godare, Mengeshi, Lare, Jikawo, Wantwa, Akobo, and Mekoy

Agriculture is common in most parts of the region, particularly maize and sorghum farming is widely practiced in all ethnic groups in the region. There is also coffee plantation that covers 1.64% of the total production of Ethiopia and cotton state farm in Abobo. Alwero Irrigation dam, the first in Ethiopia, that is used for 10,000 (ten thousand) hectare agriculture investment of MIDROC company known as Saudi-Star. There are many foreigners and domestic investors in the region. There is high amount gold and oil mines deposition in the region, which are not yet being used. Of course, there is traditional mining of goals in Dimma Woreda.

There are different governmental and NGO institutions in Gambella town. There are 38 regional government institutions (bureaus/agencies/offices), the branch offices of the federal institutions as Administration for Refugees and Returnees Affairs (ARRA), Human rights Commission, Federal Ombudsman, Revenue & Customs Authority (ERCA), Ministry of Federal Affairs, Ethiopian Electric Power Corporation (EEPC), Ethio- telecom; and such international organizations as UNHCR, WFP, IOM, USAID, UNICEF, and etc. The income of majority of the households is based on small and medium business activities; cattle breeding and salary from the government employment. Due to the distance from the centre of the country, the cost of primary commodities in the town is very high and it is not appropriate with average income of the households in the town. This has got its own contribution for the incidence of corruption.

With the current enhanced and vibrant economical activities of the regional state, it is a wise decision to establish Regional Ethics and Anti-Corruption Commission (hereafter REACC) firstly, and continuously assessing and strengthening its (REACC's) capacity for better achievements in the fight against corruption.

5.2. Participants of the Study

While the TOR has identified the initial entry points for the REACC capacity assessment, PRIN undertook a stakeholder analysis in order to include as many salient stakeholders as possible in this REACC capacity assessment research. Various tools (12) and approaches (mixed method) were used for managing internal and external stakeholders' involvement in this study as shown in Table 5.1 below (see section 3.3 in Chapter 3).

Table 5.1.: Regional stakeholders involved in the capacity assessment

No	Organizational or Individual Actor	Type of collected data	Data collection Instrument	Respondent by position	#
1	Regional Ethics and Anti-Corruption Commission (REACC) and Ethics Liaison officers	Quantitative Data	Questionnaire	Randomly selected	60
2	Regional Council		Questionnaire	Randomly selected	71
3	Regional Ethics and Anti-Corruption Commission		Key Informant Interview	Purposively selected to involve well informed personalities	3
4	Regional President office			Advisors (Social, Economic, legal	6

No	Organizational or Individual Actor	Type of collected data	Data collection Instrument	Respondent by position	#
				etc.)	
5	Regional Police Commission			Officers	4
6	Regional Justice Bureau			Regional Bureau Justice, Officers	4
7	Regional Finance Bureau			Regional Bureau Finance, Officers	2
11	Regional Procurement and Property Administration Agency			Regional Bureau, Officers	2
12				Regional Bureau, Officers	
13				Regional Bureau, Officers	
14	Regional House and town			Regional House and town Bureau, Officers	2
15	Regional Education Bureau			Regional Education Bureau, Head	2
16	Regional Auditor General			Regional Auditor General, Officers	3
17	Regional Revenue & Custom Authority			Regional Revenue Bureau, Officers	2
18	Regional Transport Bureau			Regional Transport Bureau, Officers	3
19	Youth League		Focus Group Discussion	Group	3
20	Religious League			Group	3
21	Women League			Group	3
22	Professional Association			Group	3

The key features of these participants from the Gambella REACC and regional council in terms of their sex, marital status, education and types of staff are summarized as shown in Table 5.2 below. The results of data analysis indicated that the majority of the respondents were male (about 64% for REACC & 80% for Regional Council). About 88% of the REACC staff and 72% from the regional council reported that they were married. In terms of their educational status, almost all participants (98%) were graduates from post-secondary education (holding from PhD to diploma), while the significant majority were first degree holders. From the REACC staff who participated in this capacity assessment research, the majority (77.6%) were drawn from the technical staff as indicated in Table 5.2 below.

Table 5.2: Demographic Information

Variable	Option	REACC and Ethics officers (N=60)	Regional Council (N=71)
		%	%
Sex	Male	64.0	80.0
	Female	36.0	20.0
	Total	100.0	100.0
Marital Status	Not married	12.0	16.0
	Married	88.0	72.0
	Divorced	-	12.0
	Total	100.0	100.0
Education (Academic Qualification)	Illiterate		
	Primary Education		2.0

Variable	Option	REACC and Ethics officers (N=60)	Regional Council (N=71)
		%	%
	Secondary Education	2.0	-
	Diploma	34.7	9.8
	BSc/BA/BEd	57.1	62.7
	MSc/MA	4.1	19.6
	PhD	-	5.9
	Others	2.0	-
	Total	100.0	100.0
Staff	Technical staff	77.6	
	Support staff	22.4	
	Total	100.0	

5.3. Enabling environment

It is well known that the Gambella regional state Ethics and Anti-Corruption Commission cannot win the fight against corruption alone and the effectiveness of the commission is also dependent on its enabling environment. The enabling environment is here understood as the social, economic, and political context and the regional/national policies, institutional arrangements, the legislative framework and the accountability mechanisms, within which the Gambella REACC operates. This capacity assessment has analysed the extent to which the REACC's enabling environment is appropriate and sufficient for the functions that it is mandated to perform summarized in this section.

5.3.1. Political Will to Fight Corruption

The Gambella REACC operates in its own organizational environment/context as any anti-corruption regional commissions in Ethiopia. Analysing the social, political and economic context is a pre-requisite for understanding the enabling environment. The political situation, particularly the political will of the federal and regional governments for fighting corruption is an important parameter to determine the effectiveness of the Gambella REACC. The political will/commitment to fight corruption was rated positively by the majority of the participants. The Gambella regional state REACC staff reported that the political will of the regional government to fight corruption falls between nascent and emerging (mean=1.7600 on a four scale point). About 32.7% and 40.8% of the participants from the regional council rated the political commitment to fight corruption as medium and high, respectively. Moreover, the presence of political commitment to fight corruption has been positively acknowledged by almost all interviewees and FGD discussants. For instance, the FGD held with youth league, women league, professional associations and religious institutions confirmed that the political commitment to fight corruption is of theoretically high, but it seems low in practices. Although the political will to fight corruption has been explained by the legal establishment of the commission, allocating budget, structuring, and staffing it, micromanagement and frequent interferences with the operation of the commission from the regional president office undermine organizational autonomy as told by the respondents who participated in the interviews.

Having known that cultural understanding is also important; traditional kinship, clan, networks, although informal, may hold sway in some societies and traditional practices such as gift giving may not be considered as corruption, an attempt was made to gather the perception of the participants on the relationship between culture and corruption. Almost all respondents from various public organizations have indicated that culture has no effect on corruption in the Gambella regional state. Very few respondents who participated in the key informant interviews said that in some instances, there is an uncompromised loyalty to their family or clan members/ethnic group that might have an impact on practices of corruption fighting.

5.3.2. Legal Framework

This capacity assessment study argues that it is important for an anti-corruption commission to be clear on its mandate. The Gambella regional Ethics and Anti-Corruption Commission was established in 2007, according to the council of the Gambella people's National Regional State establishment proclamation number 59/2007 and Article 30(1). It is an independent government body mandated with certain powers, duties and objectives. It operates on three protracted approaches: Ethics & anticorruption education, Corruption prevention, Investigation & Prosecution, and asset registration and disclosure. As rated by almost all the Gambella REACC staff who participated in the research, the existing legal framework is adequate for carrying out the mandates given to the organization by law. As indicated in Item 3 in Table 5.3 below, 73.4% of the participants from the regional council reported the adequacy of legal framework to fight corruption as medium and high. Nonetheless, the major respondents perceived that there are some sort of overlapping of mandates between REACC and other organizations such as regional justice office or police commission, causing some sort of confusion as reported in Item 2 of Table 5.3 below.

Table 5.3: Legal framework as perceived by Regional Council (N=71)

Variable	Data	Not sure	Not at all (0)	Low (1)	Medium (2)	High (3)	mean
Adequacy of legal framework to fight corruption	%	2.1%	2.1%	19.1%	25.5%	51.1%	3.2128
Overlapping of mandates between REACC and other organizations such as regional justice office or police commission, causing confusion	%	2.0%	10.2%	16.3%	40.8%	30.6%	2.8776
Level of legal provisions facilitating the detection and investigation of corruption	%	-	-	26.5%	46.9%	26.5%	3.0000

Knowing that any duplication of mandates with other institutions should be avoided, this capacity assessment research has tried to further dig into the matter to figure out the presence of any overlapping mandates. Respondents from law enforcing institutions such as justice office and police

commission show that there is unavoidable overlaps that never cause confusions in handling corruption cases. One of the problems of the existing legal framework is that the law has not adequately focused on corruption activities undertaken by Civil Societies, NGOs, religious organizations, associations, networks and the private sectors etc. as part of carrying out the mandates given to organization by law.

5.3.3. The Gambella REACC Autonomy

Although organizational autonomy is part and parcel of the legal framework of any organization, it is separately discussed as follows. It is argued that any government (be it national or regional) shall grant the Ethics and Anti-corruption commission the necessary independence to carry out its functions effectively and free from any undue influence. As documented in Table 5.4 below, the majority (28% and 60%) of the respondents rated the Gambella Regional State Ethics and Anti-corruption commission's autonomy as medium and high, respectively. In this capacity assessment research, a distinction between various forms/dimensions of autonomy is useful, and very specific data were obtained on the four dimensions of independence are summarized and presented in Table 5.4 below. Item 2 in Table 5.4 presents that the freedom of using finance as the REACC sees fit was rated as medium and high by 70% of the regional council participants. During a series of interviews finance officials, it was possible to learn that the commission has independence to decide and spend the allocated fund within the broad principles of the Financial Rules. The majority of the regional council members said that the commission has autonomy in staffing, internal reorganization, and in access to information (see Items 4,5 & 6 in Table 5.4 below). Nevertheless, one of the most pressing challenges of the Gambella REACC was shortage budget that impedes or restricts the commission's performance as shown in Item 2 of Table 5.4. This has also been confirmed by the majority participants who involved in KIIs and FGDs.

Table 5.4: Organizational autonomy by Regional Council (N=71)

Variable	Data	Not at all (0)	Low (1)	Medium (2)	High (3)	Mean
Organizational autonomy (empowerment) for the REACC	%	2.0%	10.0%	28.0%	60.0%	2.4600
Adequacy of budget allocation to REACC	%	4.2%	25.0%	62.5%	8.3%	1.7500
Freedom of using finance as the organization sees fit	%	2.0%	20.4%	51.0%	26.5%	2.0204
Freedom of organization (internal reorganization or establishing new units)	%	6.0%	30.0%	28.0%	36.0%	1.9400
Freedom of the right staffing (hiring and motivating appropriately)	%	2.0%	16.0%	40.0%	42.0%	2.2200
Access to information including government data	%	4.0%	26.0%	46.0%	24.0%	1.9000

Allocation of budget to RAECC was closely reviewed as financial resources that have the most direct impact on institutional capacity. Although budget allocation for the commission has been increasing

from year to year in the last five years, the volume of the allocated budget was reported as low by the majority of interviewees and focus group discussants. As a result of the said budget constraint, the commission suffers from lack of the necessary office materials, equipment, logistics, own office building, etc.

One of the observable concerns on the organizational autonomy is that the commission is answerable /accountable to the region president. The results of qualitative data analysis clearly show that the regional president has unlimited power to appoint and dismiss the Commissioner and the deputy Commissioner. Any corruption offense is subject to further investigation after getting a green light of the regional president. This personal authority can go to the extent of blocking ongoing investigation and prosecution processes if the president feels so.

5.3.4. Institutional arrangements and coordination mechanisms

Fighting corruption requires more than one single Regional Ethics and Anti-Corruption Commission. The duties and responsibilities for REACC on ethics education, preventive measures, investigation, prosecution and asset registration and disclosure clearly demonstrate that tackling corruption requires the support and engagement of many institutions or stakeholders. This capacity assessment sought to gain insights into the establishment of formal system at the Gambella REACC that coordinates the activities of major stakeholders in the fight against corruption. As presented in Table 5.5 below, there is an initiative to very build strong system of collaboration with the Federal Ethics and Anti-Corruption Commission (hereafter FEACC) or other regional ethics and anti-corruption commissions in the fight against corruption but much external support is needed to strengthen the existing system. This finding was confirmed during a series of interviews with FEACC officials (commissioner, deputy commissioner, 2 directors, and experts), where there is now biannual consultative meeting organized by FEACC. With other salient stakeholders like justice office, police commission, schools, different leagues(women, youth and religion) and professional association, such a strong system that allows regular meeting has been hardly established (see Table 5.5 below) and needs very immediate attention.

Table 5.5: System and procedures for coordinating Ethics Infrastructure (REACC Staff and Ethics Liaison officers) N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mean
Availability of strong system/ joint forum/coalition to coordinate the activities of major stakeholders in the fight against corruption	%	34.7%	53.1%	12.2%	1.7755
Established system of collaboration with FEACC or other regional ethics and anti-corruption commissions in the fight against corruption	%	31.3%	60.4%	8.3%	1.7708
Established system of collaboration with Ethics liaison offices in regional offices in the fight against corruption	%	32.7%	51.0%	16.3%	1.8367
Established system of collaboration	%	38.8%	51.0%	10.2%	1.7143

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mean
with public offices (e.g.; police, prosecutorial bodies, courts, ombudsman and human rights agencies, auditor generals, parliaments, etc.) in charge of investigating and prosecuting crimes					
Established system of collaboration with ethics and civics education clubs in schools	%	43.8%	41.7%	14.6%	1.7083
Established system of collaboration with civil society organizations in the region in the fight against corruption	%	44.9%	49.0%	6.1%	1.6122
Established system of collaboration with professional associations in the fight against corruption	%	46.9%	49.0%	4.1%	1.5714
Established system of collaboration with media and religious organizations in the fight against corruption	%	52.1%	45.8%	2.1%	1.5000

Moreover, the commissioner has been reportedly explained that the commission closely working with stakeholders such as FEACC, Public offices (police department, prosecutorial bodies, court, auditor generals, parliament, BOFEC, etc.), school level ethics and civics education clubs, civil society organizations, professional associations, media and religious organizations informally or formally as indicated through interviews held with diverse stakeholders.

As pointed out in Table 5.6 below, the institutional arrangement and coordination mechanism at REACC were found to be between nascent and emerging as measured in fourteen indicators listed down. Low scores were relatively recorded on the level of experience of involving religious organizations/clan leaders in anti-corruption activities; and availability of a well-defined stakeholder base. However, the experience in involving police or justice system and receiving their prompt responses to investigate or prosecute corruption offenses was rated emerging and expanding (see Item 5 of Table 5.6 below).

Table 5.6: Institutional Arrangements and Coordination Mechanisms (REACC staff and Ethic Liaison officers) N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of clearly defined stakeholders' engagement strategy	%	30.6%	65.3%	4.1%	-	1.7347
Availability of a well-defined stakeholder base	%	30.0%	70.0%	-	-	1.7000
Communication between the	%	18.0%	66.0%	16.0%	-	1.9800

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
regional government and leadership reflects mutual respect, appreciation for roles and responsibilities, shared commitment, and valuing of collective wisdom						
The regional president office engages in efficient discussions and reaches decisions in a timely manner.	%	22.0%	72.0%	6.0%	-	1.8400
Experience in involving police or justice system and receive their prompt responses to investigate or prosecute corruption offenses	%	12.0%	72.0%	16.0%	-	2.0400
Capacity to conduct periodic review meeting that involves the salient stakeholders	%	22.0%	68.0%	10.0%	-	1.8800
Level of organizing joint monitoring and evaluation activities with key stakeholders including beneficiaries	%	24.0%	68.0%	8.0%	-	1.8400
Credibility in the eyes of the public to date	%	34.0%	60.0%	4.0%	2.0%	1.7400
Capacity to work collaboratively with all of the key government agencies including police and justice	%	8.2%	75.5%	14.3%	2.0%	2.1020
Level of credibility in the eyes of its partner government agencies	%	26.5%	67.3%	6.1%	-	1.7959
The Organization has full access to information including government data	%	14.3%	75.5%	8.2%	2.0%	1.9796

5.3.5. Accountability

Having acknowledged that any sort of authority and independence goes side by side with a proportional level of accountability, this capacity assessment research tried to figure out the reporting relationships between the Gambella REACC and its oversight bodies, such as regional President Office, Parliament including representation of civil society, academia, professional associations, as well as key national authorities including FEACC. The results of data analysis show that three governmental bodies; viz., the Regional President, FEACC, and the regional council bureau were identified receiving performance reports from the Gambella REACC. Every three month, the REACC is required to report to standing Economic and Social committee of the Council. The commission is also reporting twice a year to the FEACC, and once in a year, it presents to the regional council. During various interviews with the FEACC officials, it was possible to know that the Gambella

REACC has demonstrated the capacity to regularly report its performance to FEACC, but it still requires some level of external support to improve depth of analysis. Similarly, as indicated in Table 5.7 below, the Gambella REACC has demonstrated the capacity to prepare comprehensive, & readable report timely to regional council but it requires some level of external support to improve depth of analysis of the report.

Table 5.7: Reporting (Regional Council) (N=71)

Variable	Data	Low (1)	Medium (2)	High (3)	Mean
Completeness of REACC's reports to regional council	%	15.2%	56.5%	28.3%	2.1304
Depth of analysis	%	24.4%	55.6%	20.0%	1.9556
Language usage/readability	%	11.4%	52.3%	36.4%	2.2500
Timeliness of reports	%	22.2%	46.7%	31.1%	2.0889

5.4. The organizational level Capacity Assessment

The organizational level capacity assessment is concerned with the policies, procedures and business processes that are essential for effective performance of the Gambella Regional State Ethics and Anti-Corruption Commission. In other words, it includes the entire infrastructure necessary to enable the REACC to deliver on its mandate. A number of internal institutional arrangements such as organizational vision and mission, leadership, strategic planning (SP), organizational structure, human resource management (HRM), finance and procurement management, knowledge management, communication, and monitoring and evaluation are assessed to determine the gaps between capacity assets and needs in the following sections.

5.4.1. Vision and mission

Based on its mandate given by law, the Gambella REACC has developed a **vision and a mission**, codified through succinct statements for setting its institutional identity, for motivating staff and creating a sense of purpose. In this regard, its vision reads as: to become one of the best Anti-Corruption institutions in Ethiopia in 2025 by curbing corruption to the level where it cannot become an obstacle to good governance and development efforts of the country. The commission's mission is to insure transparency and accountability in public offices, public enterprises and public organizations by promoting ethics and anti-corruption education, mobilizing the public against corruption, conducting assets registration and disclosure undertakings and preventing corruption and impropriety in cooperation with relevant bodies.

On the basis of its vision and mission, six different core values and principles; viz., serving as an ethical model, showing the maximum determination and perseverance in fighting corruption, upholding professionalism and team work, being an equal opportunity employer, recognizing the public as a major partner in the fight against corruption and building an ethical society were identified. Likewise, about 92% of the regional council members who participated in this capacity assessment confirmed the availability of vision and mission statements. Nonetheless, the availability of the above mentioned vision and mission is a necessary but not a sufficient condition to guide all of REACC's work, to identify a few clearly defined program goals that are compatible with its mission,

and to have a shared understanding of the Gambella REACC's mission and vision as indicated by the REACC staff (see Items 1 to 3 Table 5.8 below).

Table 5.8: Mission, Goals, and Core Values (REACC staff and Ethics liaison Officers) N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
The availability of a clearly defined vision and mission that guides all of its work.	%	8.0%	56.0%	28.0%	8.0%	2.3600
Capacity to identify a few clearly defined program goals that are compatible with its mission.	%	10.0%	68.0%	18.0%	4.0%	2.1600
The leadership, staff and beneficiaries of the Organization have a clear understanding of the Organization's vision, mission, and goals.	%	32.0%	56.0%	8.0%	4.0%	1.8400

One of the problematic factors for having a shared vision and mission statement was that they were not well known by the staff and were not internalized as part of the organizational culture. From the observation conducted by the regional coordinator and through the discussion held with the Gambella REACC officials, it was noted that the mission, vision, and core values of the commission were posted in the compound as well as in the rooms/offices.

5.4.2. Leadership

It is argued that effective leadership is essential to implement the Gambella REACC's mandate and vision by promoting successful, win-win relationships with others, both within and outside the organization, and delivering positive and reinforcing messages to motivate people. In this capacity assessment, leadership cannot be restricted to a single post or even to a team or subset of colleagues at the strategic apex, but rather dispersed around the commission including at upper, middle, and operational level management. The Gambella REACC establishment proclamation reads as the commissioner and the deputy commissioner are appointed by the Regional Council upon the nomination by the regional president. The law also defines conditions under which they could be removed from their positions. Eleven indicators were used to gauge the level of the executive leadership capacity of the Gambella REACC as indicated in Table 5.9 below. The results of data analysis at all indicators generally show that there is an initiative to build the executive leadership capacity but much external support from diverse stakeholders is needed to further strengthen it through tailored-made training and exposure visits. Comparatively better results were recorded on the indicators like the executive leadership is having a clear vision of the organization's mission. a clear understanding of their roles and responsibilities as providers of overall direction, and is evaluating its performance regularly and implement strategies for improving its performance (see Items 5, 6 and 11 in Table 5.9).

Table 5.9: Executive Leadership Capacity (REACC staff and Ethics Liaison officers) (N=60)

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Capable of carrying out key roles such as policy formulation, fund raising, public relations & lobbying	%	30.0%	58.0%	12.0%	-	1.8200
Capacity of providing strong direction, support, and accountability to leadership and engages as a strategic resource	%	30.0%	60.0%	10.0%	-	1.8000
Staffed with highly qualified and competent senior management members	%	30.0%	48.0%	20.0%	2.0%	1.9400
The senior leadership has diverse skills and professional expertise that match the organization's needs.	%	14.0%	68.0%	16.0%	2.0%	2.0600
The senior leadership has a clear vision of the organization's mission.	%	18.0%	44.0%	30.0%	8.0%	2.2800
Senior leadership/management have a clear understanding of their roles and responsibilities as providers of overall direction	%	16.0%	54.0%	28.0%	2.0%	2.1600
Senior management's relationship to staff is participatory, transparent and management decisions are delegated	%	24.0%	58.0%	18.0%	-	1.9400
Leadership is accessible and fosters participation of constituents	%	22.0%	70.0%	8.0%	-	1.8600
The senior leadership gives guidance (when needed) to help others make decisions.	%	14.3%	67.3%	16.3%	2.0%	2.0612
The Leadership sets annual performance goals for each heads of subunits and reviews his/her performance	%	24.0%	60.0%	16.0%	-	1.9200
The senior leadership evaluates its performance regularly and implement strategies for improving its performance.	%	16.0%	66.0%	16.0%	2.0%	2.0400

On the other hand, the qualitative data obtained through a series of interviews and focus group discussions revealed that the senior leadership is relatively staffed with highlyqualified leaders and professional lawyers. Nonetheless, they still need more acquaintance with key leadership styles,

stakeholders' management, and the issues of steering the organization towards efficiency and effectiveness.

5.4.3. Strategy planning

The existence of clear linkages between the Gambella REACC's vision and long term strategy and department level and individual level work plans is fundamental to integrate the differentiated units through various mechanisms (e.g. policies, resource allocation mechanisms, reward systems, etc.) in order to trigger adequate responses from internal actors. This is to say the effectiveness of a given REACC depends on whether the institution undertakes regular strategic planning. Data collected from diverse sources using different tools show that the Gambella REACC has a five-year strategic plan (from 2016 - 2020). The strategy's main pillars include: combating corruption regional wide, corruption prevention, ethics and anti-corruption education, investigation, and prosecution. Preventive is a priority area and it is considered as cost-effective, sustainable and participatory approach to fight against corruption. The main directions of the commission include identifying risk areas related to land management and administration system; revenue collection and tax system; construction; grand public procurements, justice institutions and asset disclosure and registration.

The Gambella REACC staffs were asked to determine the preparation process of the strategic plan, its quality, its roles in guiding action plan and resources according to the Commission's missions, and organization capacity for the revision of its strategic plan as reported in Table 5.10. The results of data analysis revealed that it falls mainly close to emerging, which is to say that there is an initiative to build own capacity on the said indicators but much external support is needed to strengthen and pragmatically improve the existing asset. Going through the preparation of the strategic plan, the planning staff of the commission understands each program's specific goal and objective embedded in the plan. The organization also develops its own annual plans that guide yearly actions in accordance with the strategic plan (see Items 3 and 4 of Table 5.10).

Table 4.10: Strategic Planning (REACC staff and Ethics Liaison officers) N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Strategic plan is prepared to further the mission and address clearly defined needs	%	26.5%	55.1%	18.4%	-	1.9184
Stakeholders and staff are involved in the strategic planning process	%	32.0%	60.0%	8.0%	-	1.7600
Planning staff understands each program's specific goals and objectives	%	20.0%	62.0%	18.0%	-	1.9800
Organization develops operational/annual plans that guide action	%	20.4%	63.3%	16.3%	-	1.9592
Annual plans of action are reviewed, updated and reflect the strategic	%	30.0%	52.0%	18.0%	-	1.8800

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
plan						
Resources are planned accordingly and allocated properly	%	40.8%	55.1%	4.1%	-	1.6327
All staff understand how each program relates to the organization's mission.	%	34.0%	58.0%	8.0%	-	1.7400

5.4.4. Organizational structure

The organ gram of the Gambella REACC depicted below indicates that the commission is led by a Commissioner. The commissioner is supported by a deputy commissioner. There are a total of 3 main process owners, and 8 supporting process owners and one service (logistics). This organizational structure reflects the functions and mandate stipulated by the establishment of the regional EACC proclamation number 99/2007. The Commission has adapted Hong Kong's three-pronged approach to fighting corruption, which incorporates investigation, prosecution and prevention /ethics education. Most regional council members (72%) perceived that the Commission achieved adequate organizational coordination to medium and high level. janitor cleaner

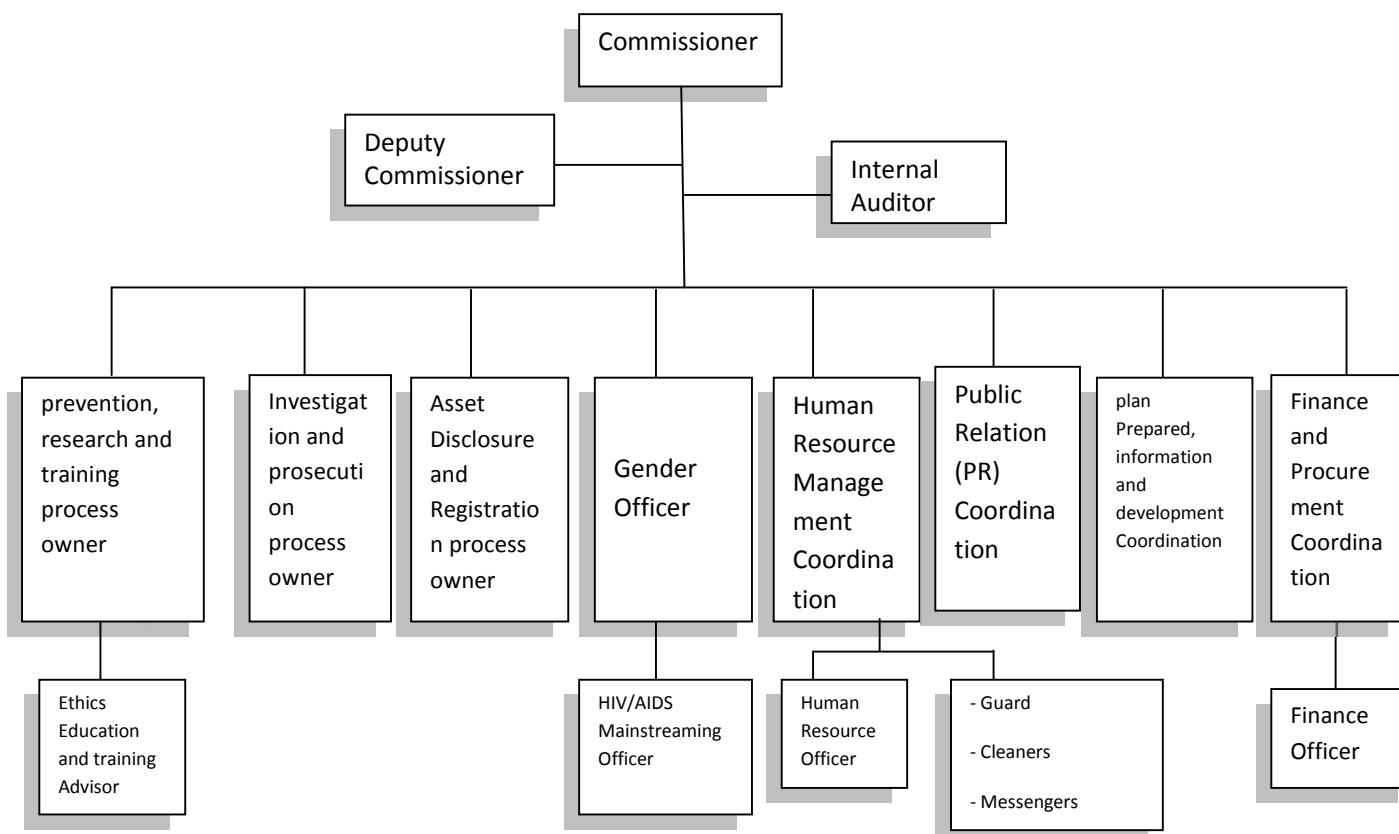


Figure 5.2: Organizational Structure of the Gambella Ethics and Anti-Corruption Commission

Although this organizational chart should have helped everyone navigate who is supposed to do what and report to whom, the majority of the Gambella REACC staff (more than a fourth) reported that there are capacity gaps in clearly defining lines of authority and responsibilities, facilitating agile decision-making, discussion, & problem-solving capacity, and in coordinating among different units involved in service delivery as indicated in Table 5.11 below. Much external support is needed for refining and finetuning the structure. One of the pressing challenges identified by the participants of the interviewees and focus group discussions across the board was work overload for the commissioner. This structure depicts that all core and support processes are directly answerable to the commissioner so that the commissioner has been occupied with micromanagement than focusing on the strategic issues.

Table 5:11: Organizational Structure (REACC staff and Ethics Liaison officers) N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
The existence of an organizational structure with clearly defined lines of authority and responsibilities	%	28.0%	58.0%	10.0%	4.0%	1.9000
Lines of authority facilitate agile decision-making, discussion, & problem-solving	%	38.8%	55.1%	4.1%	1(2.0%)	1.6939
The organizational structure facilitates smooth coordination among different units involved in service delivery	%	29.2%	62.5%	8.3%	-	1.7917

As illustrated in the organizational chart above (Figure 1), the REACC has three core processes; viz., the Investigation and Prosecution process, the Prevention, research and training process, and the Assets Disclosure and Registration process. The results of data analysis on the capacity of the said core process are summarized on the subsections that follow.

5.4.4.1. Ethic Education

Ethic Education is organized under the Prevention, Research and Training core process unlike many other sisterly REACCs, which often separate ethical education from prevention. During the interview with the experts from the Gambella REACC, it was possible to know that the ethics education team in addition to their core activity of disseminating ethical education is required to review of government systems for corruption risks, and the existence of policies and practices to protect against these risks. As its core mandate, ethics education strives to create greater public awareness by disseminating ethics education, and undertaking public relation activities through various outlets that corruption should not be tolerated. It focuses on preventing corruption before it occurs through a face-to-face training, TOT, and Panel discussions and organizing of events during government and public celebration days. This core-process consists of diverse professionals in the areas of political sciences, English language, Ethics education and management.

According to data obtained from the Gambella REACC staff, the commission's capacity in terms of creating clear policy and procedural manual for giving ethics education, forming strategic partnerships with media, and in-house capacity for producing brochures and flyers falls between

nascent and emerging as indicated in Table 5.12. This means that the capacity is almost infant and needs very immediate attention for improvement.

Table 5.12: Capacity to Carry out Ethics Education (REACC staff and Ethics Liaison officers) N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mean
Availability of clear policy and procedural manual for giving ethics education	%	36.7%	44.9%	18.4%	1.8163
Availability of system of promoting ethics and anti-corruption education in Ethiopian society	%	32.7%	46.9%	20.4%	1.8776
Capacity to undertake face-to-face trainings, organize panel discussions, use TOTs, and publicity and marketing through publications, posters, flyers, brochures, stickers, billboards, newsletters (internal and external), media, and ma	%	20.0%	56.0%	24.0%	2.0400
Availability of established strategic alliances with television and radio and other written media to reach citizens including illiterate people	%	54.0%	36.0%	10.0%	1.5600
Availability of in-house capacity for producing brochures and flyers	%	52.0%	44.0%	4.0%	1.5200

Many of the respondents who participated in the series of interviews revealed that the Gambella REACC was unable to use the electronic media to reach as many people as possible. Nor was it used the available mass media such as Radio and TV by preparing TV spots and drama.

5.4.4.2. Corruption Prevention

As has been pointed out in section 5.4.4.1 above, corruption prevention is organized under the Prevention, Research and Training core process. It seeks to prevent corruption by studying the practices and work procedures of public offices and enterprises that may lead to corrupt practices and follows up on the implementation of recommended suggestion through intensive consultation with REACC's salient stakeholders. The Gambella regional state REACC's capacity for corruption prevention as gauged by the seven indicators listed in Table 5.13 below was found to be exactly between nascent and emerging, which shows that there is limited capacity and much urgent external support is needed to strengthen it. There is a huge capacity gap between capacity asset and need concerning conducting in-house research (mean=1.4091 of the four point scale). Similarly, there is now limited capacity to support Ethic and Anti-corruption Liaison offices and almost no formal memorandum of understanding signed with salient stakeholders on how to cooperate for preventing corruption as shown in the last item of the table.

Table 5.13: Capacity to Corruption prevention (REACC staff and Ethics Liaison officers) N=60

Variables	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (3)	Mean
Availability of clear policy and procedural manual for corruption prevention	%	26.0%	48.0%	24.0%	2.0%	2.0200
Capacity to conduct in-house research	%	59.1%	40.9%	-	-	1.4091
Capacity to study corruption practices and work procedures of public offices and public enterprises	%	44.9%	44.9%	10.2%	-	1.6531
Capacity to mentor or coach on the implementation of recommended suggestions following research findings	%	46.0%	48.0%	6.0%	-	1.6000
Capacity to support Ethic and Anti-corruption Liaison offices	%	51.0%	42.9%	6.1%	-	1.5510
Availability of sufficient capacity of mobilizing stakeholders such as media, schools, and religious institutions on preventing and combating corruption	%	46.9%	44.9%	8.2%	-	1.6122
There is now formal memorandum of understanding with salient stakeholders on how to cooperate for preventing corruption	%	40.0%	54.0%	6.0%	-	1.6600

From the qualitative data, it is possible to know that 70% of the Regional offices located in Gambella town have established their ethics liaison units and the rest 30% did not do so due to budget constraint. Similarly 9 schools and 3 colleges in the region have their own civic and ethics clubs, which are fairly performing. Women and youth coalition to fight corruption was formed in all the towns and three woredas (Gudere, Abebbo, and Lare). No study has been conducted on practices and work procedures of public offices and enterprises that may lead to corrupt practices.

5.4.4.3. Corruption Investigation

Corruption investigation is organized under the Investigation and Prosecution core process. It investigates any alleged or suspected corruption offences specified in the Criminal Code or in other laws, where they are committed in public offices or public enterprises, fall within the power of the Commission. While many corruption investigations are financial crime scene inquiries, and the case often built on documentary evidence, some cases will require key witnesses (including whistle-blowers) such as those who saw payments being made or experts who can explain to judges, assessors or juries both the nature of the financial activities and what they may mean in terms of what they say about corrupt relationships or the acquisition of illicit assets or victims, who can witness how they were deprived of funds or assets by the suspects. The Gambella Regional State REACC staffs were asked to determine their capacity for investigating of corruption offenses using

the following seven indicators listed in Table 5.14 below. The overall corruption investigation capacity was rated as close emerging, where there is some basic capacity but much external support is needed to strengthen it urgently. Better capacities of corruption investigation were available in system formation and setting up clear channels and mechanism (such as e-mail, telephone (hotline), fax, regular mail, or in-person statements) to obtain complaints about alleged corruption from whistle blowers.

Table 5.14: Capacity to Investigation of Corruption Offenses (REACC staff and Ethics Liaison officers) N=60

Variables	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of clear policy and procedural manual during investigation	%	14.0%	66.0%	18.0%	2.0%	2.0800
Existence of clear channels and mechanism (such as e-mail, telephone (hotline), fax, regular mail, or in-person statements) to obtain complaints about alleged corruption from whistle blowers	%	46.0%	42.0%	8.0%	2.0%	2.0600
Availability of a whistle-blower and witness protection law or regulation or guideline or policy	%	36.0%	46.0%	16.0%	2.0%	1.8400
Availability of a clear guideline for sorting out the case to be handled by itself or addressed by another government agency	%	28.0%	62.0%	10.0%	-	1.8200
Availability of a system of collaboration with other organization for investigation of corruption offenses	%	26.0%	58.0%	14.0%	2.0%	1.9200
Availability of directives concerning the manners of reporting of corruption offences investigation carried out by other investigating bodies	%	14.0%	74.0%	8.0%	4.0%	2.0200
Availability of an established system of classifying corruption into modest corruption offenses, serious corruption offenses, and very serious corruption offenses using criteria	%	34.0%	50.0%	14.0%	2.0%	1.8400

5.4.4.4. Corruption prosecution

Prosecution has an obvious retributive value in that those involved in corruption are seen as not immune from the rule of law and criminal justice processes. Any ethics and anti-corruption agencies

are required to have the needed capacity to prosecute corruption offenses, processing charges on files worthy of prosecuting among whose investigation have been completed; and going through the processes until the court rules on the files. Moreover, the responsibility of facilitating necessary legal protection for whistle blowers & witnesses goes to this core process. Assessment of prosecution of corruption offenses capacity at the Gambella REACC rated emerging by the commission's staff (see Table 5.15 below). This is to say that there is a promising initiative to establish system but much external support is needed to further strengthen it.

Table 5.15: Capacity for Prosecution of Corruption Offenses (REACC staff and Ethics Liaison officers)
N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mean
Availability of clear policy and procedural manual during prosecution of corruption offenses	%	28.0%	50.0%	22.0%	1.9400
Existence of systems to collect, analyse, and use data and information during prosecution of corruption offenses	%	22.4%	59.2%	18.4%	1.9592
Capacity for the prosecution of any alleged or suspected corruption offences specified in the criminal code or in other laws where they are committed by any actors including senior political leaders	%	18.0%	56.0%	26.0%	2.1000

During the series of interview sessions and focus group discussions, it was possible to learn that the commission undertook corrective actions on 72 forged educational credentials from education and health colleges. There were some success stories related to freezing, forfeiting and returning government assets such as government house, land, money, vehicle, laptops, etc. obtained by corruption following the court order.

5.4.4.5. Asset Registration and Disclosure

Following the ratification of property registration and asset disclosure proclamation of Gambella region in 2011, Assets Registration and Disclosure core process has been established since 2012. Nonetheless, the actual asset registration and disclosure was carried out to date due to lack of political commitment and budget. As reported by the REACC staff (see Table 5.16 below), the level of capacity and readiness to register or cause the registration of the assets and financial interests of public officials and other public employees was found be close to between nascent and emerging. This suggests that the capacity is some capacity that has to be strengthened immediate through demonstrable political commitment and budget support.

Table 5.16: Capacity to Asset registration and disclosure (REACC staff and Ethics Liaison officers)
N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mean
Presence of clear policy and procedural manual during prosecution of corruption offenses	%	26.5%	65.3%	8.2%	1.8163
Level of capacity and readiness to register or cause the registration of the assets and financial interests of public officials and other public employees compellable to do so as specified by law in cooperation with relevant bodies.	%	41.7%	58.3%	-	1.5833

Documentary evidences show that the commission has already addressed all preconditions like developing forms, certificates, and the identification of people who are legally required to register their assets were carried out. A preliminary assessment for Property registration of public officials in 3 zones of Agnuak, Nuer and Madjang has been done. Accordingly, 289 officials from Nuer Zone Woredas, 177 officials from Agnuak Zone Woredas, and 127 officials Madjang Zone Woredas, were identified to register their assets (EACC, 2017 report).

5.4.5. Human Resource Management (HRM) Capacity

Any Ethics and Anti-Corruption Commissions need to have their own, dedicated staff for performing their duties and responsibilities. This requires REACCs to have a well-established human resource management system in order to conduct open and fair recruitment, provide a competitive compensation package, implement continuous training and capacity building, and establish processes that ensure staff integrity, performance appraisal and adherence to strict discipline codes, as well as an internal complaint system. This capacity assessment revealed that the commission has its home-made human resource management, including recruitment, retention, promotion and dismissal. This human resource development manual was separate and distinct from regional human resource development strategy and procedure. The manual has given significant independence to REACC in its human resource development strategy practices. More assessment of the HRM system capacity of the Gambella REACC has been conducted by examining the status of HRM manual, HRD, internal work culture, gender and diversity, supervision and performance management, salaries and benefits management system and managing grievance and conflict as indicated in the subsections that follow.

5.4.5.1. Recruitment, and Job descriptions

Having the right numbers of the right people in the right place at the right time holds the key to the success of any ethics and anti-corruption commissions; this is much lined with having the right mix of support staff and technical staff who are useful to enhance efficient operations of the commissions. The important precondition in this regard is the establishment of a capacitated recruitment system. As clearly documented in Table 5.17 below, the commission's hiring process in terms of openness, competitiveness and efficiency was rated as between emerging and expanding, where there is some what demonstrable recruitment capacity but much external support is needed to further strengthen and refine it (see Item 1 in Table 5.17). Each staff member has a written job description that defines

his/her responsibilities, tasks, and reporting relationships. However, the organization is required to promote inclusiveness in hiring people with disability, PLHIV, and women.

Table 5.17: Capacity for Recruitment and Job Descriptions (REACC staff and Ethics Liaison officers) (N=60)

Variables	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mean
Hiring process is open, competitive and efficient	%	18.0%	58.0%	24.0%	2.3750
Each staff member has a written job description that clearly defines his/her responsibilities, tasks, and reporting relationships.	%	30.0%	50.0%	20.0%	2.1636
The staff exercise their functions in accordance with their job descriptions	%	22.0%	62.0%	16.0%	2.2500
Responsibility is delegated to promote an effective division of labour, job satisfaction, and leadership opportunities.	%	22.0%	72.0%	6.0%	2.1000
The organization encourages/committed to recruit people with disability, PLHIV, etc.	%	42.9%	49.0%	8.1%	1.7800
Men and women are evenly represented on the staff, within the Executive Team	%	28.0%	58.0%	12.0%	1.7755

5.4.5.2. Performance management and incentives

A performance management system should be in place that sets measurable performance targets for staff and ensures regular assessment and feedback on performance. There should also be an incentive system that defines competitive salary, attractive career development options partly performance-based, recognitions and rewards, etc. The Gambella REACC staffs were required to determine the level of capacity asset of their organization's performance management and incentive system. The results of data analysis indicated that there is some capacity (specifically close to emerging) to build the capacity but much external support is needed to strengthen it (see Table 5.18). With regard to incentives, staff salaries or other benefits package are perceived as less competitive (see Last Item in Table 5.18) by the staff.

Table 5.18: Performance management and incentives(REACC staff and Ethics Liaison officers) N=60

Variables	Data	Nascen t (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Staff meetings are held on a regular basis	%	36.0%	54.0%	10.0%	-	1.8000
Staffs participate in executive	%	26.0%	70.0%	4.0%	-	1.8163

Variables	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
decisions and are encouraged to take initiative						
Team work is promoted	%	34.0%	54.0%	8.0%	4.0%	1.7400
Each staff member meets with his or her supervisor at least once a month for orientation and feedback on his/her work.	%	42.0%	52.0%	6.0%	-	1.8200
Staffs receive a formal performance evaluation from their supervisor at least once a year.	%	38.0%	44.0%	16.0%	1(2.0%)	1.8800
Promotions and raises are based upon the results of the performance evaluations	%	38.0%	54.0%	8.0%		1.9600
The Organization has a clearly defined salary scale which determines how much staff is paid	%	22.0%	48.0%	20.0%	5(10.0%)	1.6735
Staff salaries or other benefits package are competitive	%	30.6%	63.3%	6.1%	-	1.6400

5.4.6. Induction, Training and mentoring

It is argued that any specialized organization like ethics and anti-corruption agency requires its staff to be trained. General induction training for all new staff joining the organization will be useful, as well as more specific training tailored to technical functions. There should also be a system for regular knowledge sharing through mentoring is needed to ensure that knowledge is genuinely absorbed in the organization. According to REACC staff, the capacity to provide induction training and continuously mentoring junior staff is close to emerging as shown in Table 5.19 below and thereby much external support is needed to strengthen it.

Table 5.19: Capacity to provide induction Training and Mentoring (REACC staff and Ethics Liaison officers) N=60

Variables	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mean
The Organization incorporates need-based staff training as a part of its annual plan.	%	24.5%	69.4%	6.1%	1.9400
The staff training plan is funded	%	38.0%	52.0%	10.0%	1.8571
Staff training is considered a priority for the organization	%	28.6%	65.3%	6.1%	1.8400

5.4.7. Finance and Procurement Management Capacity

It is believed that the Gambella REACC needs to establish a reputation of being clean itself at the expense of losing credibility in order for assuming a “watchdog” role over public financial

management in other organizations. The availability of strong finance and procurement management capacity enables it to blame and shame other organization for mismanagement and corruption; hence it is of utmost importance that the Commission observes the highest standards in terms of its own procurement and finance actions. In this regard, adequate rules and procedures for procurement and financial transactions need to be in place, critically observed and monitored. REACC staffs were asked to determine the commission's finance and procurement management by considering the existence of planning and budgeting system, finance utilization and management, financial reporting, and procurement management. Findings against the above mentioned four broad areas are presented in the subsections below.

5.4.7.1. Planning and budgeting

As revealed in Table 4.20, seven different indicators were used to assess the planning and budgeting capacity of the commission. The results of data analysis show that the capacity is positioned between emerging and expanding levels (but somewhat skewed towards emerging). That is to mean, the system of planning and budgeting capacity of the commission is emerging requiring external support to strengthen it. Nevertheless, budgets for units are prepared and hardly adjusted annually to comply with the organization's overall budget as reported in the last item of Table 5.20 below.

Table 5.20: Capacity of Planning and Budgeting (REACC staff and Ethics Liaison officers) N=60

Variables	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of financial policy and procedural manual	%	28.6%	59.2%	10.2%	2.0%	1.8571
Financial management policy meet the government laws and directives	%	25.0%	62.5%	10.4%	2.1%	1.8958
Availability of an annual budget approved in a participatory fashion	%	39.6%	54.2%	4.2%	2.1%	1.6875
Expenses are made in accordance with the annual budget	%	20.4%	65.3%	10.2%	4.1%	1.9796
Expenses against budget are analysed at least quarterly	%	34.7%	55.1%	10.2%	-	1.7551
Budgets for units are prepared and adjusted annually to comply with the organization's overall budget.	%	51.0%	40.8%	8.2%	-	1.5714

5.4.7.2. Finance utilization and management

Eleven different indicators were used to assess the budget utilization and management capacity of the commission as indicated in Table 5.21. The results of data analysis show that the capacity is positioned between emerging and expanding levels (but skewed towards emerging). That is to mean, the system of finance utilization and management capacity of the commission is emerging requiring external support to strengthen it. Low scores were recorded on the availability of a computerized bookkeeping system.

Table 5.21: Capacity for finance utilization and management (REACC staff and Ethics Liaison officers) N=60

Variables	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
All transactions are coded in accordance with the Chart of Accounts	%	32.7%	46.9%	16.3%	4.1%	1.9184
The cashier keeps a cash book documenting all cash transactions	%	20.4%	49.0%	26.5%	4.1%	2.1429
Cash advances are only cancelled when adequate receipts and change are submitted	%	14.3%	65.3%	18.4%	2.0%	2.0816
Bank checks are signed by at least two people, neither of whom is directly responsible for preparing financial reports	%	22.4%	32.7%	34.7%	10.2%	2.3265
Bank payments are reviewed and authorized by someone who checks that proposed disbursement is in accordance with the approved budget	%	10.2%	71.4%	18.4%	-	2.0816
Supporting documentation of all financial transactions are systematically filed and retained as required by law.	%	14.3%	59.2%	24.5%	2.0%	2.1429
Cash balances are reconciled monthly.	%	16.7%	45.8%	31.3%	6.3%	2.2708
Person(s) maintaining financial records (are) knowledgeable and skilled in the area.	%	12.5%	54.2%	29.2%	4.2%	2.2500
Availability of a computerized bookkeeping system.	%	34.7%	46.9%	18.4%	-	1.8367
External Audits are conducted by a reputable firm ever year	%	31.3%	47.9%	18.8%	2.1%	1.9167

5.4.7.3. Financial Reporting

Financial reporting was another assessment area as shown in Table 5.22. Eight different indicators were used to assess the financial reporting capacity of the Gambella REACC. Findings show that the capacity is positioned between emerging and expanding levels (but skewed to emerging). That is to mean, the system of financial reporting is emerging requiring external support to strengthen it.

Table 5.22: Capacity of financial reporting (REACC staff and Ethics Liaison officers) N=60

Variables	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
The financial report includes a statement of expenses against budget.	%	18.4%	57.1%	20.4%	4.1%	2.1020
Capacity to produce internal monthly financial reports	%	22.4%	46.9%	28.6%	2.0%	2.1020

Variables	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Quarterly financial reports are submitted for the review and approval of the finance office.	%	12.2%	67.3%	18.4%	2.0%	2.1020
The financial report includes a balance sheet and bank reconciliation	%	22.4%	55.1%	20.4%	2.0%	2.0204
The financial report includes a statement of expenses against budget.	%	18.4%	57.1%	20.4%	4.1%	2.1020
Expenses are reported by activity.	%	22.4%	61.2%	16.3%	-	1.9388
Capacity to present a full financial statement in its annual report for public consumption in a timely fashion.	%	22.0%	66.0%	10.0%	2.0%	1.9200
Financial reports are concise, easy to understand, and produced in a timely manner.	%	18.4%	75.5%	6.1%	-	1.8776

5.4.7.4. Procurement, Supplies and Inventory Management

As revealed in Table 5.23 below, five different indicators were used to assess the procurement, supplies and inventory management capacity of the commission. The results of data analysis show that the capacity is positioned close to emerging. That is to mean, the overall procurement system requires external support to strengthen it.

Table 5.23: Capacity to undertake Procurement, Supplies and Inventory Management (REACC staff and Ethics Liaison officers) N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of a procurement management manual	%	22.4%	67.3%	10.2%	-	1.8776
Competitive procurement practices are followed for all purchases as per public procurement law.	%	16.0%	72.0%	10.0%	2.0%	1.9800
Procurement procedures is evaluated by procurement committee	%	18.0%	70.0%	12.0%	-	1.9400
All fixed assets are coded and incorporated in a fixed asset inventory control	%	36.0%	58.0%	2.0%	4.0%	1.7400

5.4.8. Knowledge and information management

In the current dynamic environment, any ethics and anti-corruption commission should have the capacity for knowledge management in all its units in general and more specifically by drawing upon findings from the investigation division to determine strategic interventions by the prevention division and vice-versa. It is argued that when the technical divisions of the commission mutually reinforce one another, the REACC will be at its strongest. In order to assess the capacity of

knowledge and information management of Gambella REACC, eight indicators were used (see Table 5.24 below). The results of data analysis reveal that the capacity related to knowledge and information management of the region's REACC falls exactly between *nascent* and emerging ratings. This suggests that there is some initiative of sharing knowledge and information among internal actors during planning and performance evaluation meeting and yet external support is needed to make it the commission's culture.

Table 5.24: Knowledge, Information and Technology Management (REACC staff and Ethics Liaison officers) N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mean
Availability well-designed, user-friendly, comprehensive systems to capture, document, and disseminate knowledge internally in all relevant areas	%	38.0%	58.0%	4.0%	1.6600
The existence of systems to collect, analyse, use and disseminate data and information to relevant external stakeholders	%	16.3%	77.6%	6.1%	1.8980
All staff is aware of systems, knowledgeable in their use, and make frequent use of them	%	40.0%	56.0%	4.0%	1.6400
The organization has internet access and all technical and admin staff has individual computer and e-mail access	%	64.0%	32.0%	4.0%	1.4000
The organization has reliable telephone and fax facilities accessible by all staff	%	44.0%	52.0%	4.0%	1.6000
The organization has fully networked computing hardware with comprehensive range of up-to-date software applications	%	56.0%	44.0%	-	1.4400
The organization has comprehensive and interactive Web site, regularly maintained and kept up to date on latest area and organization developments	%	60.0%	38.0%	2.0%	1.4200
The organization has comprehensive electronic database and management reporting systems exist for tracking clients, staff, volunteers, program outcomes and financial information; widely used and essential in increasing information sharing and efficiency	%	68.0%	28.0%	4.0%	1.3600

The data gathered through a series of interviews and focus group discussions confirmed the absence of well-organized knowledge information and management system. To that end, it is recommended that internal and external communication is crucial to create a culture of knowledge and information sharing within the organization and with partners.

5.4.9. Communication Capacity

Communication is one of the crucial set of organizational capacities, which relates to coordination and cooperation with both internal and external stakeholders. Stakeholder support can be achieved with effective communication so that it is indispensable for managing the multiple functions and expectations successfully. The external communication aims to make key stakeholders aware of the range of activities that are undertaken by the Gambella REACC. The internal communication aims to involve the broader commission community (e.g. leadership, technical staff, and administrative staff) on the activities and achievements of the organization. As perceived by the Gambella REACC staff, the communication capacity (communication through reporting) became close emerging (see Table 5.25 below). This is to say that there is an initiative to build the reporting capacity but much external support is needed to strengthen it.

Table 5.25: Reporting Capacity (REACC staff and Ethics Liaison officers) N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Capacity to regularly communication on activities and results of evaluations to relevant stakeholders	%	24.0%	62.0%	12.0%	2.0%	1.9200
Communication is clear and easy to understand.	%	36.4%	50.0%	11.4%	2.3%	1.7955
Ability of publishing and disseminating reports/communication on lessons learned using paper and electronic media including webpage	%	42.0%	52.0%	6.0%	-	1.6400
Capacity to demonstrate outcomes with numbers, data, and stories about how the organization made a difference	%	25.0%	68.2%	4.5%	2.3%	1.8409

From several salient stakeholders who have participated in a series of interviews and focus group discussions, it came to know that the commission has very weak capacity of external communication with stakeholders such as youth league, women and girls league, professional associations, religious institution and Chamber of commerce. More specifically, it has very limited communication capacity was justified by its inability to establish good relationships with media, which enables the commission to reach as many stakeholders as possible. Equally, nor is the Gambella REACC able to sign Memorandum of Understanding with its salient stakeholders for forming strategic alliances.

5.4.10. Monitoring and Evaluation Capacity

Monitoring and evaluation of the organization's internal work is another key capacity needed by ethics and anti-corruption commissions. The monitoring and evaluation system should track performance against three types of indicators; viz., output indicators, outcome indicators, and efficiency and productivity indicators. According to the data organized in Table 5.26 below, six indicators were used to assess the monitoring and evaluation capacity of the Gambella REACC. REACC's staff rated the existing organizational assets of monitoring and evaluation capacity between nascent and emerging, where there is slow initiative to build the M&E capacity but much external support is needed to strengthen it. From the data in the said table, results are hardly assessed against plan regularly and both monitoring and evaluation results rarely influence performances.

Table 5.26: Monitoring and Evaluation Capacity (REACC staff and Ethics Liaison officers) N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mean
The organization has M&E system in place with sets of qualitative and quantitative indicators and processes for program performance monitoring and modification	%	38.0%	52.0%	10.0%	1.7400
Level of monitoring organization's performance against the set standards & benchmarks	%	30.0%	60.0%	10.0%	1.8000
Results are assessed against plan	%	37.5%	62.5%	-	1.6250
The organization has a data collection plan that includes: tools and strategies for collecting data, the people responsible for data collection, collection frequency, and data storage procedures.	%	42.0%	54.0%	4.0%	1.6200
Monitoring results influence implementation	%	42.2%	51.1%	6.7%	1.6444
Evaluation results help make the case for continued and additional support	%	20.4%	69.4%	10.2%	1.8980

The above mentioned findings were confirmed by the interviewees who participated in the capacity assessment. No staff, no training, no software, no standard formats and no data collection policy that reflects and justifies the existence of good monitoring and evaluation capacity in an organization.

5.4.11. Cross Cutting Issues

Among the issues that a capacity assessment should pay attention to include in its missions whether the organization has a strategy on key cross-cutting issues. REACC staff indicated that attention paid cross-cutting issues by the Gambella REACC was close to emerging (see Table 5.27). This suggests that the capacity is some capacity that has to be strengthened. Low scores were documented on the availability of work place HIV program at the commission.

Table 5.27: Cross Cutting Issues on some aspects(REACC staff and Ethics Liaison officers) (N=60)

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of gender mainstreaming manual	%	32.7%	44.9%	18.4%	4.1%	1.9388
Staffs' awareness of gender issues	%	18.4%	63.3%	18.4%	-	2.0000
The organization has mainstreamed HIV/AIDS issues	%	28.6%	61.2%	8.2%	2.0%	1.8367
The organization has work place HIV program in-place	%	32.7%	61.2%	6.1%	-	1.7347
Staffs' awareness of environmental issues	%	24.5%	73.5%	2.0%		1.7755

5.5. The Individual level Capacity Assessment

Human resource (both technical and support staff) is the most precious resource without whom any organisations cannot function properly. As any human-intensive organization, the Gambella REACC is required to have reasonable individuals (in terms of volume, professional mix, and quality) for effectively discharging its duties and responsibilities given by law. This individual level capacity, which refers to the skills, experience and knowledge that are vested in people and reflected as staff profile is extremely important due to the high level of expertise that the commission requires. The individual level capacity has been assessed against the volume, knowledge and the skills needed, necessary and appropriate for fulfilling particular roles (core and support) of the commission in its mandate.

5.5.1. The Commission's Staff Volume and Composition

The commission should have been staffed by 90 employees according to its staffing plan. However, the Gambella REACC has currently staffed with a total of 63 employees including 3 senior leaders, 38 technical and 22 support staff in order to deal with the ethics and anti-corruption related issues of the region. This suggests that the organization met only 70% of its human resource demand. Thus the commission is generally operating under considerable shortage of human resources. The key staffs by some core/support processes are summarized in Table 5.28 below.

Table 5.28: Key staff by education level and specialization

REACC	Core/support process	# of Staff required	Available at the REACC	Education Level and Area of specialization
Gambella	Office of the Commissioner	4	3	MA in Law, Diploma Secretary
	Office of the Vice Commissioner	4	2	MA in Law,
	Gender Unit	2	2	Diploma in Gender
	The Prevention ,	13	7	

REACC	Core/support process	# of Staff required	Available at the REACC	Education Level and Area of specialization
	research and training			MA in political Science, BA in English and Ethics Education, and Diploma in Management
	The Assets Disclosure and Registration	8	2	BA in Business and Management
	The Investigation and Prosecution	23	22	MA in Law, LLB, and diploma in different fields
	Information Development and Plan Preparedness	3	2	Degree in Management
	Finance and Procurement Administration	6	4	Degree in Management, Diploma in accounting and purchasing
	Public Relation	5	4	Diploma in management
	Internal Audit	2	1	Accounting
	Human Resources Management Coordination	19	14	Degree in Marketing management and Diploma in Secretariat Science
	HIV Mainstreaming	1	-	-
	Total	90	63	

In this capacity assessment, the staffs were categorized into three separate groups; viz., technical staff in charges of the core mission of the organization, managerial staff, and support staff. The results of data analysis show that the availability of sufficient staff in the above mentioned three categories of staff falls between nascent and emerging(but close to emerging) as documented in Table 5.29 below. This is to say that there is an infant initiative to attract and retain staff to build the REACC human resource capacity but much external support is needed to strengthen it further. Much capacity limitations were reported on staff working on technical areas like playing a leadership role for stakeholder management (mean=1.6531), undertaking corruption prevention activities (mean=1.7143, and conducting investigation (mean=1.7751) on a four point scale for each mean.

Table 5.29: Staff Level Capacity (REACC staff and Ethics Liaison officers) N=60

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mean
Availability of sufficient staff who are able to fully and independently provide ethical education	%	26.5%	63.3%	10.2%	1.8571
Availability of sufficient investigation staff who are able to fully and independently conduct investigation on any corruption suspects	%	16.3%	79.6%	4.1%	1.8776
Availability of sufficient prevention staff that are able to fully and independently undertaken prevention activities.	%	36.7%	55.1%	8.2%	1.7143
Availability of sufficient investigation staff who are able to fully and independently conduct investigation on any corruption offices	%	28.6%	67.3%	4.1%	1.7551
Availability of sufficient prosecution staff who are able to fully and independently conduct prosecution of corruption offenses	%	26.5%	67.3%	6.1%	1.7959
Availability of sufficient staff who are able to fully and independently undertake and organize asset registration & disclosure activities	%	24.5%	69.4%	6.1%	1.8163
Availability of sufficient staff who are able to fully and independently coordinate and move the public at large against corruption	%	36.7%	61.2%	2.0%	1.6531
Availability of sufficient managerial staff who are able to run the day to day activities of the organization	%	26.5%	65.3%	8.2%	1.8163
Availability of sufficient support staff who are able to provide all support for technical staff	%	30.6%	61.2%	8.2%)	1.7755

5.5.2. Technical Staff Capacity Assessment

In addition to shortage of technical staff discussed above, lack of skills and the experiences were repeatedly raised by both internal and external stakeholders of the commission as one of the most serious challenges at the Gambella REACC. Although this is partly explained by lack of quality of higher education in the country, the commission was not able to improve the skills and knowledge of its staff through induction trainings, refreshment trainings, and on job training as immediately as

possible. As indicated in Table 5.30, the skills of prevention and ethic education staff on the identified thirteen areas fall close to low across the board.

Table 5.30: Skill of prevention and ethic education staff on some areas (REACC staff and Ethics Liaison officers) N=60

Variables	Data	Not at all (0)	Low (1)	Medium (2)	High (3)	Mean
Training people	%	-	42.1%	42.1%	15.8%	1.7368
Educating people	%	-	21.1%	52.6%	26.3%	2.0526
Public speaking	%	5.3%	36.8%	52.6%	5.3%	1.5789
Developing modules	%	5.3%	31.6%	52.6%	10.5%	1.6842
Writing public materials	%	5.3%	31.6%	42.1%	21.1%	1.7895
Writing training materials	%	5.3%	26.3%	47.4%	21.1%	1.8421
Mentoring and coaching	%	5.3%	36.8%	47.4%	10.5%	1.6316
Developing codes of conduct	%	5.3%	36.8%	52.6%	5.3%	1.5789
Drafting laws	%	10.5%	26.3%	52.6%	10.5%	1.6316
Undertaking research	%	10.5%	42.1%	36.8%	10.5%	1.4737
Designing communication strategies	%	10.5%	21.1%	57.9%	10.5%	1.6842
Writing reports	%	-	15.8%	57.9%	26.3%	2.1053
Reviewing asset declarations	%	10.0%	45.0%	40.0%	5.0%	1.4000

REACC staff were also asked to rate the experience of prevention and ethic education staff using eleven indicators detailed in Table 5.31 below. Findings revealed that the experiences of staff on the key experiences required by prevention and ethics education staff aspects were generally low. It is safe to conclude that while there is some capacity of developing regional ethic and anti-corruption strategies and action plans, the experience on gift policies and asset declarations fall comparatively between non-existent and low and thereby needs very immediate attention.

Table 5.31: Experience of prevention and ethic education staff on some areas (REACC staff and Ethics Liaison officers) N=60

Variable	Data	Not at all (0)	Low (1)	Medium (2)	High (3)	Mean
Capacity to develop regional ethic and anti-corruption strategies	%					1.8889
Capacity to develop anti-corruption action plans	%					1.8333
Monitoring the implementation of anti-corruption policies	%	-	27.8%	66.7%	5.6%	1.7778
Capacity to evaluate the effectiveness of anti-corruption policies	%	-	27.8%	55.6%	16.7%	1.8889
Reviewing legislation, regulations and procedures	%	5.6%	33.3%	55.6%	5.6%	1.6111

Variable	Data	Not at all (0)	Low (1)	Medium (2)	High (3)	Mean
Proposing new or revised legislation, regulations and procedures	%	-	33.3%	50.0%	16.7%	1.8333
Disseminating knowledge on corruption and anti-corruption	%	-	16.7%	77.8%	5.6%	1.8889
Communication	%	-	27.8%	61.1%	11.1%	1.8333
Knowledge sharing	%		33.3%	50.0%	16.7%	1.8333
Gift policies	%	11.1%	38.9%	44.4%	5.6%	1.4444
Asset declarations	%	5.6%	33.3%	61.1%	-	1.5556

As can be in Table 5.32 below, REACC staff were asked to rate their skills on eleven concepts related to corruption and investigation. The results of data analysis indicated that their skills were very between low and medium. Concepts like money laundering, investigating electronic devices, intelligence gathering and surveillance were less understood and carried out by the staff.

Table 5.32: Skills/knowledge of investigation and prosecution staff on some concepts (REACC staff and Ethics Liaison officers) N=60

Variables	Data	Not at all (0)	Low (1)	Medium (2)	High (3)	Mean
Determining criminal law points to prove	%	-	-	40.0%	60.0%	2.6000
Preparing file cases for the prosecutor	%	-	-	40.0%	60.0%	2.6000
Interviewing	%	-	10.0%	30.0%	60.0%	2.5000
Note-taking	%	-	10.0%	30.0%	60.0%	2.5000
File management	%	-	20.0%	20.0%	60.0%	2.4000
Document requests to other institutions	%	-	10.0%	50.0%	40.0%	2.3000
Intelligence gathering	%		10.0%	40.0%	50.0%	2.4000
Reading financial statements	%	-	10.0%	80.0%	10.0%	2.0000
Asset restraint	%	-	-	90.0%	10.0%	2.1000
Dealing with money laundering cases	%	10.0%	30.0%	20.0%	40.0%	1.9000
Search and seize	%	-	20.0%	60.0%	20.0%	2.0000
Access and search electronic devices	%	-	30.0%	30.0%	40.0%	2.1000
Surveillance	%	-	40.0%	50.0%	10.0%	1.7000
Using informants	%	-	20.0%	40.0%	40.0%	2.2000
Participating in joint operations with the police	%	-	10.0%	50.0%	40.0%	2.3000
Protecting evidence integrity	%	-	-	60.0%	40.0%	2.4000

Variables	Data	Not at all (0)	Low (1)	Medium (2)	High (3)	Mean
Investigation report writing	%	-	-	40.0%	60.0%	2.6000

Table 5.33 below presents fifteen different concepts in order to determine whether the investigation and prosecution staffs are familiar with them or not. Most staff were fairly familiar with most concepts, but scores that on average fall below low need very immediate attention.

Table 5.33: Familiarity of investigation and prosecution staff on some concepts (REACC staff and Ethics Liaison officers) N=60

Variables	Data	Not at all (0)	Low (1)	Medium (2)	High (3)	Mean
Public sector corruption	%	-	-	40.0%	60.0%	2.6000
Private sector corruption	%	-	33.3%	44.4%	22.2%	1.8889
Conspiracy	%	10.0%	10.0%	60.0%	20.0%	1.9000
Aiding and abetting offences	%	10.0%	10.0%	60.0%	20.0%	1.9000
Cases involving foreign public officials	%	40.0%	-	50.0%	10.0%	1.3000
Embezzlement/Misappropriation	%	-	11.1%	55.6%	33.3%	2.2222
Improper use of public property	%	-	10.0%	40.0%	50.0%	2.4000
Misconduct in public office	%	-	10.0%	50.0%	40.0%	2.3000
Trading in influence	%	-	10.0%	50.0%	40.0%	2.3000
Nepotism	%	-	10.0%	40.0%	50.0%	2.4000
Falsification of documents	%	10.0%	-	50.0%	40.0%	2.2000
Anti-money laundering	%	-	40.0%	40.0%	20.0%	1.8000
Restraint and confiscation	%	-	10.0%	70.0%	20.0%	2.1000
Asset recovery	%	-	20.0%	50.0%	30.0%	2.1000
Requests for mutual legal assistance	%	-	30.0%	50.0%	20.0%	1.9000

5.6. Non-human resources

The presence of adequate nonhuman resources is one of the critical factors of the operations of ethics and anti-corruption commissions in any countries. Specifically, those nonhuman resources like monetary, physical, and information (ICT) and social legitimacy are essential for any ethics and anti-corruption commission to discharge its dues and responsibilities. The results of data analysis show that the Gambella REACC has shortage of nonhuman resources that substantially hamper its effectiveness for dealing with unethical and corruption matters. Data collected through observation revealed that the capacity limitations regarding non-human resources include:

- Inadequate office space for all the staff members of the Gambella REACC: the available small office was rented one and was not built for office purpose, and overpopulated and crowded. It was not well-furnished and attractive offices compared to other government offices. Nor

are well-furnished and equipped meeting rooms for internal stakeholders and other external stakeholders who can mandated to perform specific functions which may be closely related to its mandate and upon which the effectiveness of the commission may depend. There is no any recreational services (like cafeteria) for the staff that pursue a difficult job sometimes with risks to personal security. Nor are separate secret or waiting rooms for the whistle-blowers. Nor are offices along with archives for confidential documents restricted to entry of authorized personnel.

- Shortage of office equipment like laptops, computers and printers including internet services for the entire staff of the commission. These basic materials are understood as luxury items for some staff working on key positions. For instance, the ESREACC has no internet service, except at its Finance department and the Commissioner office. There is also a need to strengthen the commission by availing heavy-duty printer/copier machines and laptops.
 - Shortage of vehicles and motor vehicles for covering vast part of the region: Visiting woredas and Kebles (including hard-to-reach areas) was practically impossible. Sadly, it is very risky business or bear's vulnerability to take public transport services due to the nature of the job sometimes with risks to personal security. Thus, the above mentioned shortage of vehicles is at the heart of the discussion for not covering the entire kebeles within the region.
 - Inadequate investigation equipment: shortage of digital camera, and sound recorders. Discussants from the Corruption investigation and prosecution directorate indicated that their department was not equipped with a state of art technology to discharge their duty. As there were no adequate voice recorders, they have been using their personal mobile phones to organize some necessary sound testimonies that often end up with poor quality of records.
 - There was no adequate library and/or resource centre including sufficient stories. Although the Gambella REACC has sufficient security services and accessible premise for even with special needs, the organization did not exploit its location opportunity by posting its mission, vision, and core values in the compound as well as in the rooms/offices.
 - Shortage of budget: Shortage of financial resources is the mother of the above mentioned challenges. There are grave budget limitation from governmental treasury and external sources. For instance, the REACC has stopped gathering information from whistle-blowers using a free line phone/toll free line due to budget constraint. Limited support from external sources exacerbated the problem. For example, very recently REACC requested World Bank for 3 Million ETB to train individuals who are involved in fighting corruption at woreda level, but it was granted only with 170,000 ETB. Wherever there are financial resources, limited capacity in procurement specification writing is another capacity limitation.
- (critical gaps identified at entry levels enabling, organizational, and individual levels)

5.7. Critical Capacity Gaps of the Gambella REACC

This capacity assessment research has identified several capacity gaps for the Gambella REACC at the enabling environment, the organizational level, and the individual level as outlined below:

5.7.1. Enabling environment

- The inadequate and grave financial challenges for the Gambella REACC affected the implementation of its duties and responsibilities granted by law.

- Very low stakeholder participation and engagement - lack of cooperation from key stakeholders, public institutions, citizens, private sector, civil societies and the media reduced the Commission's utmost performance. In this regard, there is no regional anti-corruption policy such as stakeholder engagement policy that guides a fight against corruption. This results in uncoordinated and varied implementation within and outside REACC. More importantly, this has affected investigation and asset recovery by REACC.
- The implementation of anti-corruption law is limited only to public offices and public enterprises but the law does not include corruption practices done in the civil societies and the private sectors. The absence such a legal framework affects the national efforts to fight corruption.
- Lack of support and political commitments among the public officials and public enterprises in order to undertake property registration and asset disclosure proclaimed in the law.

5.7.2. The Organizational level capacity gaps

- Lack of integrated M&E framework to ensure effective monitoring and evaluation activities.
- There is strong system for imparting education to the wider population. Similar challenges were perceived at the ethic liaison offices in public organizations due to lack of commitment among the public officials and public enterprise heads.
- Due to inadequate organizational capacity in terms coordinating different internal actors, the commission has planned and provided very limited Education and training workshops to its stakeholders. Nor did it prepare and distribute information education (IE/BCC) to the Gambella society.
- Inadequate knowledge management system- there is no good information management system. Much time is lost for obtaining information from the concerned public offices and enterprises. Lack of systematic cooperation and sharing of information among law enforcement agencies is a key challenge to the effectiveness of the fight against corruption in the regional state of Gambella.
- Inadequate human resources-financial resource, physical resources (well-furnished offices, lack of equipment such as digital cameras, computers, laptops, etc., vehicles, cafeteria, poor working environment, and overcrowded offices, no ICT infrastructures, and the likes).

5.7.3. The individual level capacity gaps

There are inadequate human resources in terms of volume and professional mix. In particular, the followings are key capacity gaps:

- Technical capacity challenges in the Investigation unit with regard to collection of evidences. Evidence collection becomes more complex with criminals' ability to abuse information and communication technology is high.
- The Commission has grave limitation in terms of individual skills or expertise in conducting research or study on corruption issues. No research has been so far conducted on working procedures of public organizations in order to prevent corruption before it occurs.
- Lack of capacity building for staff in various courses in investigation and prosecution.

5.8. Major priority Areas for Improving REACC Capacity

In the previous sections, an attempt was made to carry out the capacity assessment of Gambella Regional Ethics and Anti-Corruption Commission through three distinct but inter-connected levels or entry points for capacity development; viz., the enabling environment, organizational level, and the individual level. The aim of this capacity assessment is to identify capacity gaps and address priority needs that would emerge from the capacity assessment. The participants of the research were asked to prioritize the major priority areas for improving the Gambella REACC capacity assessment. The results of data analysis revealed that the following capacity priority areas identified in Table 3.34 below. The capacity priority areas focus on the individual level capacity (specifically capacity building trainings for prevention, ethic education and prosecution staff) and the organizational capacity level (related to human resource and financial manuals and capacity building trainings) as indicated in Items 1 to 5 in Table 4.34.

Table 4.34: Capacity Priority Areas (REACC staff and Ethics Liaison officers) (N=50)

Variables	Mean	Rank order
Capacity building training for prevention staff	2.8250	1
Capacity building training for ethic education staff	3.1935	2
Capacity building training for prosecution staff	3.2800	3
Develop Financial Management Manual and provide Training	3.5833	4
Develop Human Resource Manual and provide Training	3.7500	5
Develop Procurement Procedure Manual and provide Training	3.8182	6
Develop Investigation and prevention hand-outs and provide training	3.9375	7
Develop M&E Plan and Provide training	3.9474	8
Training on how to draft law, regulation or directives	4.7222	9
Develop Strategic Plan Management Document and Provide training	4.7727	10
Training on the registration of the assets	4.7857	11
Developing management manual	4.9091	12
Training on leadership and good governance	5.0000	13
Strengthen report writing skills	5.2857	14
Training on Gender Mainstreaming and budgeting	5.4615	15
Training on Lobbying and Advocacy	5.7143	16
Training on community mobilization and social inclusion to fight corruption	5.8571	17
Training on teamwork and facilitation skills	5.9000	18
Facilitate Networking and partnership	6.3750	19
Training on report writing and documentation	6.4000	20
Training on Resource mobilization and Grant Solicitation	6.4167	21
Training on IE/BCC for ethics education	6.4444	22
Strengthening staff development and knowledge management capacity	6.4545	23

5.9. Major Findings, Conclusions and Recommendations

5.9.1. Major Findings

The findings that have been obtained from the quantitative and qualitative analysis of data are:

- This study documented that there is high political will and commitment to fight corruption in the Gambella Regional State. This political commitment is expressed by legally establishment of the commission, budget allocation, structuring and staffing it.
- There is no regional anti-corruption policy such as stakeholder engagement policy that guides a fight against corruption. This results in uncoordinated and varied implementation within and outside REACC. More importantly, this has affected investigation and asset recovery by REACC.
- Almost all respondents (94%) from the Gambella REACC staff and the regional council members rated the adequacy of the legal framework under which REACC operates to fight corruption. In this regard, the majority (28% and 60%) of the respondents rated the commission's autonomy as medium and high, respectively. Although budget allocation for the commission has been increasing from year to year in the last five years, the allocated budget was reported as inadequate to carry out the activities of the commission in wide scope.
- In terms of the coordination mechanism of REACC with other sectors, the results of data analysis showed that the Commission had good working relationship and coordination mechanisms with public sectors and social groups at its early period of establishment. However, the Commission has not yet signed any MOU with its salient stakeholders as part of forming strategic alliances and there are no formal structure with which it exchanges ideas and working in close collaboration.
- The Regional EACC established its vision and mission based on the mandates given by the council of the Gambella people's National Regional State establishment proclamation number 59/2007 and Article 30(1). The Commission has an active five year strategic plan (2016-2020). The organization structure of the Commission has created over work load on the Commissioner not to focus on the strategic priorities of the commission because most of the staffs are directly accountable to the Commissioner.
- The results of data analysis showed that the Commission in collaboration with its stakeholders has been trying to build the executive leadership capacity due to lack of management and leadership knowledge and skills among senior managers and technical capacity among the staff but much external support from diverse stakeholders is needed to further strengthen the existing capacity assets through tailored-made trainings.
- The Commission's capacity in terms of creating clear policy and procedural manual for giving ethics education, forming strategic partnerships with media, and in-house capacity for producing brochures and flyers is almost non-existent and low. Similarly, the REACC's capacity for corruption prevention, investigation and prosecution of corruption was found to be close to emerging and much external support is needed to strengthen it. In addition, the level of capacity and readiness to register the assets and financial interests of public officials and other public employees was found to be almost non-existent and needs very immediate attention before engaging into the actual task.
- Regarding to budget allocation to the REACC, the respondents felt that the allocated budget to the commission was not enough to accomplish its strategy plan effectively and efficiently.
- With regard to human resource management capacity, the Commission's hiring process in terms of openness, competitiveness and efficiency, performance management and incentive system were rated as emerging. The capacity to provide induction training and continuously

mentoring new and junior staff is, however, almost non-existent and needs very immediate attention.

- The results of data analysis showed that the capacity for planning and budgeting, finance utilization and management, and financial reporting was positioned between emerging and expanding levels (but skewed towards emerging). Similarly, the results of data analysis showed that the capacity for procurement, supplies and inventory management was close to emerging. That is to mean, the overall financial and procurement system requires external support to strengthen it.
- The results of data analysis revealed that the capacity of knowledge and information management is almost very infant and needs very immediate attention. The data gathered through a series of interviews and focus group discussions confirmed the absence of well-organized knowledge information and management system.
- As perceived by the participants of the capacity assessment research, external and internal communication within and outside the commission, and monitoring and evaluation capacity rated the existing organizational assets as emerging, where there is an initiative to build the capacity in the said areas but much external support is needed to strengthen it.
- Concerning the implementation of prevention strategies, most of the discussants agreed that the priority should be given to awareness creation in the society and corrupted officials also be accountable and punished in front of the law.
- REACC has serious lack of individual level capacity which refers to the skills, experience and knowledge that are vested in the staff and reflected as staff profile falls between nascent and emerging (but close to emerging) in various courses in the prevention, investigation and prosecution and supporting staff. These include: forensic investigation; good governance; Information Communication Technology; management and leadership; monitoring and evaluation; transparency and accountability; procurement; project planning and management; public policy analysis; research methodology; records management; report writing and presentation.
- This study clearly documented that the Commission suffers from inadequate nonhuman resources like monetary, physical, and information (ICT) and social legitimacy, which are essential for any ethics and anti-corruption Commission to discharge its dues and responsibilities. These include: Inadequate office space for all the staff members of REACC, shortage of office equipment like laptops, computers and printers including internet services for the entire staff of the commission. This basic office equipment is understood as luxury items for some staff working on key positions. Shortage of vehicles and motor vehicles for covering vast part of the region, inadequate investigation equipment like digital camera, and sound recorders. More importantly, shortage of financial resources is the mother of the above mentioned challenges.
- Major priority areas suggested for improving REACC capacity include the individual level capacity development (specifically capacity building trainings for prevention, ethic education and prosecution staff) and the organizational capacity level (related to human resource and financial manuals and capacity building trainings).

5.9.2. Conclusions

Gambella region is one of the emerging regions which require continuing effort to change the living standard of the citizens. The Regional EACC has its own strategy plan (2016-2020) of prevention and

combating corruption. Beside implementation of the strategies, REACC faced a lot of problems. The progress of development in the region has closely tied with corruption. As a result the implementation of anti-corruption practices have not been as expected in the standard of the role and responsibility and mandate of the Commission as stated in the establishment proclamation.

This capacity assessment analysed the current capacities of the Gambella Regional Ethics and Anti-Corruption Commission against desired future capacities. The capacity gaps are found at all capacity development levels/entry points. The commission is not in a position to deliver its duties and responsibilities according to its mandate. This is attributed internally to both individual and organizational capacity levels in terms of inadequate human (technical staff knowledge, skills and experiences), nonhuman resources (financial resources, own building, office furniture and equipment, vehicles, ICT infrastructures, etc.) and weak financial management, HRM, M&E system, and knowledge management system; and externally to institutional framework and coordination mechanisms.

The Commission lacks of capacity building for staff in various courses and collection of evidences during investigation and prosecution which is time consuming as documents are not properly archived and criminals' ability to abuse information and communication technology is high. Lack of systematic cooperation and sharing of information among law enforcement agencies have been found in many public sectors and public enterprise to be a key challenge to the effectiveness of the fight against corruption. The capacity buildings include: forensic investigation; good governance; Information Communication Technology; management and leadership; monitoring and evaluation; transparency and accountability; procurement; project planning and management; public policy analysis; research methodology; records management; report writing and presentation. Moreover, inadequate capacity of mobilizing diverse salient stakeholders (namely state institutions, civil society, private sector and others) towards fighting corruption is increasingly becoming serious capacity gaps.

5.9.3. Recommendations

This capacity assessment clearly indicated that the gaps between capacity assets and needs at the Gambella Regional State Ethics and Anti-Corruption Commission have been explained by a multitude of interrelated factors in both the internal and external environments. This implies that there is a need for improvement in both the internal and external environments of the commission to bring positive changes in current ethics and anti-corruption practices. Based on the major findings, the following recommendations have been forwarded:

- The Gambella regional state is advised to allocate sufficient budget to the commission in order to carry out the activities according to its strategic plan (2016 - 2020).
- REACC should strengthen its relationships and collaboration with stakeholders in the fight against corruption. In this respect, the Commission didn't engage or involve the society actively. As ethics education and fighting corruption is not the sole responsibility of a single commission, there is a need for mobilizing as many key stakeholders as possible. As a consequence, the main functions include the common feature of requiring considerable coordination among different stakeholders like government departments, independent oversight agencies, the legislative, as well as non-state actors-civil society, NGOs and the private sector. In this regard, the commission has to sign MOUs with its salient stakeholders

as part of forming strategic alliances. Moreover, in this regard, government and civil society anti-corruption and good governance forum should be established in order to ensure the responsibility of all parts of the society.

- Structurally, the Gambella REACC is advised to establish a dedicated structure like coordination office that makes the much needed link between internal activities and the outside world (particularly stakeholders) by highlighting opportunities for collaboration. Additionally, it is suggested that the Commission may establish very efficient and slim offices at the Woreda level and Zones as the case may be. There is an urgent need to establish an asset registration and disclosure office. Equally, an intelligence and surveillance team should be formed at the Commission.
- According to information from the respondents interviewed from public sectors indicated that the Government procurement processes still need further improvement by enforcing accountability and transparency at all levels including check and balance price list in the common market and what is written in the Performa and reforming the duties and responsibilities of officials and experts, and building the capacity of institutions involved in public procurement.
- With regard to organizational level capacity development, the existing systems, working procedures and internal rules shall be continuously improved and refined in the light of mission accomplishment, efficiency, cost containment, service quality and access, and effectiveness.
- The other area for improvement is the capacity of the Commission and its staff, which should be addressed through hiring or assigning more qualified staff in the Commission and the capacity building trainings which include (forensic investigation; good governance; Information Communication Technology; management and leadership; monitoring and evaluation; transparency and accountability; procurement; project planning and management; public policy analysis; research methodology; records management; report writing and presentation.) and strengthening the media towards combating corruption and asset disclosure of public officials in the 3 zones of Agnuak, Nuer and Madjang Zones. In very special cases and specific purposes, secondment from FEACC or any sister REACC has proven to be effective in many cases, provided that the same conditions and safeguards apply to seconded personnel as they do to regular staff.
- Urgent measures should be taken for improving the commission's non-human resources that include fairly comfortable office space for all the staff members, office equipment like laptops, computers and printers including internet services for the entire staff of the commission. There is a need for having more vehicles and motorcycles (be used in pool) for covering vast part of the region. Very urgent action should be taken to avail investigation equipment like digital camera, and sound recorders.

CHAPTER SIX: THE CASE STUDY OF ETHIOPIAN SOMALI REGIONAL ETHICS AND ANTI-CORRUPTION COMMISSION

6.1. Background information about the Somali Regional State

The Ethiopian Somali Regional State (hereafter ESRS) comprises 11 zones, 93 woredas, and 6 city administrations. The region covers 250,000KM², which makes it the second largest regional state of Ethiopia, next to Oromia. The State of Somali is located in the eastern and south eastern part of Ethiopia, having common boundaries with Afar and the Republic of Djibouti in the north, Kenya in the south, the State of Oromia in the west, and Somalia in the east and in the South (see <http://www.ethiopia.gov.et/statesomali>). The region's capital is Jigjiga.



Figure6.1: The Map of Ethiopia with the Ethiopia Somali Regional State shaded in dark red colour

The majority of the region has an altitude of 900 meters above sea level and in some areas the altitude reaches 1600 meters. Of the total area size of the State, about 80% is flat and 7% mountainous. Regarding climate, 80% of the region is classified as (lowland), 5% highland, and 15% of the area falls under temperate category. The maximum temperature reaches 32-40°C, while it is within 20-28°C in the temperate areas. The mean annual rainfall of the State is estimated to be 300-500 mm.

According to the 2007 CSA report, the number of the population of the regional state was 4.45 million of which 56% are males. The great majority of them (85.98%) are also rural inhabitants (CSA Somali Report, 2007). Somaligna is predominantly spoken by 95.9% of the population within the State. Other major languages Afan Oromo and Amharic are widely spoken in the ESRS. In terms of religion, the population is predominantly Muslim.

The main source of livelihood in the ESRS is livestock. Crop production (mainly sorghum and maize) is practised in the region. The region is also known for its commercial activity. Concerning the livestock population, sheep, goats and cattle are the most important domestic animals in the state that helps the population to earn their livelihood. Camels are also the most important livestock for the Somali community. Most city dwellers depend on trade with high money circulation (see link

[https://www.africaphonebooks.com/ethiopia/t/Ethiopian-Somali-Regional-State-Jigjiga-Cityfor_more_information\).](https://www.africaphonebooks.com/ethiopia/t/Ethiopian-Somali-Regional-State-Jigjiga-Cityfor_more_information).)

Next to its huge livestock potentials, the Somali regional state is endowed with natural gum, natural salt (in Afdem zone), natural gas oil, so the region has high potential for investment. The regional state has also attracted a lot of ongoing investments and also has potential for new investments which could be prone to corruption. With the current enhanced economical activities of the regional state, it is a wise decision to establish Regional Ethics and Anti-Corruption Commission (hereafter REACC). Firstly, and continuously assessing and strengthening its (REACC's) capacity for better achievements in the fight against corruption is necessary.

6.2. Participants of the Study

While the TOR has identified the initial entry points for the REACC capacity assessment, PRIN undertook a stakeholder analysis in order to include as many salient stakeholders as possible in this REACC capacity assessment research. Technical staffs of the REACC and Ethics Officers from Regional Public organizations were approached to administer a questionnaire. Various tools (12) and approaches (mixed method) were used for managing internal and external stakeholders' involvement in this study as shown in Table 6.1 below (see section 3.3 in Chapter 3).

Table 6.1.: Regional stakeholders involved in the capacity assessment

No	Organizational or Individual Actor	Type of collected data	Data collection Instrument	Respondent by position	#
1	Regional Ethics and Anti-Corruption Commission technical staff and ethics officers from public organizations	Quantitative Data	Questionnaire	Randomly selected	59
2	Regional Council		Questionnaire	Randomly selected	47
3	REACC		Key Informant Interview	Commissioner	1
				Corruption Prevention Directorate Director	1
				Human Resource Head	1
				Finance process Head and expert	2
				Education and Training Directorate Director	1
				Investigation & Prosecution Directorate Director Delegate and two experts	3
				Vice President	1
4	ESRS Supreme Court			Head of BOFEC and Public Relations head	2
5	BOFEC			Finance and Performance Audit Director	1
6	Audit Office			Head	1
7	Bureau of Labour and				

No	Organizational or Individual Actor	Type of collected data	Data collection Instrument	Respondent by position	#
	Social Affairs				
11	General Prosecution and Justice Bureau			Head Representative	1
12				Prosecutors	2
13				Head	1
14	Public Service and HRD Bureau			Deputy Head	1
15	Livestock and Pastoralist Development Bureau			Deputy head, and a team leaders	3
16	ESRS Council Office			Head and the Planning Officer	2
17	Bureau of Urban Development & Construction			Planning Head and two experts	3
18	Tubsah Financial Auditing & compilation Consultancy			Head	1
19	Youth League		Focus Group Discussion	Group	3
20	Religious League			Group	2
21	Women League			Group	2
22	Chamber of Commerce			Group	1

The key features of these participants from REACC, ethics officers from public organizations and regional council in terms of their sex, marital status, education and types of staff are summarized as shown in Table 5.2 below. The results of data analysis indicated that the majority of the respondents were male (about 82% for REACC and Ethics Officers& 76.5% for Regional Council). About 71% of the REACC staff and 59% from regional council reported that they were married. In terms of their educational status, almost all participants were graduates from post-secondary education (holding from PhD to diploma), while the significant majority were first degree holders. From the REACC staff and ethics officers who participated in this capacity assessment research, the majority (55.6%) were drawn from the technical staff as indicated in Table 6.2 below.

Table 6.2: Demographic Information

Variable	Option	REACC staff and ethics liaison officers N=59	Regional Council N=47
		%	%
Sex	Male	82.0	76.5
	Female	18.0	23.5
	Total	100.0	100.0
Marital Status	Not married	29.2	41.2
	Married	70.8	58.8
	Total	100.0	100.0
Education (Academic	Illiterate	2.0	-

Variable	Option	REACC staff and ethics liaison officers N=59	Regional Council N=47
		%	%
Qualification)	Diploma	8.2	25.0
	BSc/BA/BEd	77.6	62.5
	MSc/MA	10.2	6.3
	PhD	-	6.3
	Others	2.0	-
	Total	100.0	100.0
Staff	Technical staff	55.6	
	Support staff	42.2	
	Others	2.2	
	Total	100.0	

6.3. Enabling environment

It is well known that the Somali regional state Ethics and Anti-Corruption Commission cannot win the fight against corruption alone and the effectiveness of the commission is also dependent on its enabling environment. In this research, the enabling environment is understood as the social, economic, and political context and the regional/national policies, institutional arrangements, the legislative framework and the accountability mechanisms, within which the commission operates. This capacity assessment has analysed the extent to which the commission's enabling environment is appropriate and sufficient for the functions that it is mandated to perform summarized in this section.

6.3.1. Political Will to Fight Corruption

As any anti-corruption regional commissions in Ethiopia, the Somali REACC operates in its own contexts. Analysing the social, political and economic context is a pre-requisite for understanding the enabling environment. The political situation, particularly the **political will** of the federal and regional governments for fighting corruption is an important parameter to determine the effectiveness of the Somali REACC. The political will/commitment to fight corruption was rated as medium and high by the majority of the participants. The Somali Regional State REACC staff and ethics officers from public organizations reported that the political will of the regional government to fight corruption falls between emerging and expanding. About 47.1% and 52.9% of the participants from the regional council rated the political commitment to fight corruption as medium and high, respectively. Moreover, the presence of political commitment to fight corruption has been positively acknowledged by almost all interviewees and FGD discussants. More specifically, the political will to fight corruption has been explained by the legal establishment of the commission, allocating budget, structuring, and staffing it. For instance, the Somali REACC has full authority to investigate corruption offenses in any government agency or entity except in the Parliament. The latter has immunity from such investigations.

Having known that cultural understanding is also important; traditional kinship, clan, networks, although informal, may hold sway in some societies and traditional practices such as gift giving may

not be considered as corruption, an attempt was made to gather the perception of the participants on the relationship between culture and corruption. Almost all respondents from various public organizations have indicated that culture has no effect on corruption in the Somali region state. Similarly, according to the response obtained from the members of the regional council, the significant majority (41.2%) of the respondents did not report a connection between culture and corruption in the region. However, one respondent argued that Somali people have culture of communal life, which might have an impact on practices of corruption involving multiple individuals from the same clan. Corrupt officials when prosecuted and jailed often try to circulate hearsay that undermines the judiciary system. Verdicts or decisions by the court are often considered as a political attack on their (officials') own clan because of strong commitment to the member of the clan.

6.3.2. Legal Framework

This capacity assessment study argues that it is important for an anti-corruption commission to be clear on its mandate. ESEACC was established under 'Ethiopian Somali Ethics & Anti-Corruption Commission Establishment Proclamation' in 2004 E.C with proclamation number 113/2004. It is an independent government body mandated with certain powers, duties and objectives. It operates on three protracted approaches: Ethics & anticorruption education, Corruption prevention, and Investigation & Prosecution. As rated by the Somali REACC staff, the existing legal framework is adequate for carrying out the mandates given to the organization by law. As indicated in Table 6.3 below, 94% of the participants from the regional council reported the adequacy of legal framework to fight corruption as medium and high. Item 3 in the same table reveals that the level of legal provisions facilitating the detection and investigation of corruption was medium as indicated by 81% of the regional council respondents. Nonetheless, about 50% of the respondents identified overlapping of mandates between REACC and other organizations such as regional justice office or police commission, causing some sort of confusion.

Table 6.3: Legal framework as perceived by Regional Council (N=47)

Variable	Data	Not at all (0)	Low (1)	Medium (2)	High (3)	Mean
Adequacy of legal framework to fight corruption	%	6.7%	-	60.0%	33.3%	3.2000
Overlapping of mandates between REACC and other organizations such as regional justice office or police commission, causing confusion	%	6.3%	43.8%	25.0%	25.0%	2.6875
Level of legal provisions facilitating the detection and investigation of corruption	%	6.3%	12.5%	81.3%	-	2.7500

Knowing that any duplication of mandates with other institutions should be avoided, this capacity assessment research has tried to further dig into the matter to figure out the presence of any overlapping mandates. The response from the corruption prevention directorate of the REACC shows that the regional justice office in collaboration with the regional police commission has also been handling corruption cases; and there is no often a clear-cut division of tasks. As points of concerns,

the above mentioned overlapping mandates and lack of mandate clarities become challenges for the REACC may result in institutional rivalries and poor coordination. In general, however, as far as the existing legal framework is concerned, the commissioner and the REACC staff members are satisfied with the existing legal framework and thereby there is no urgent need for improvement.

6.3.3. REACC Autonomy

Although organizational autonomy is part and parcel of the legal framework of any organization, we want to separately discuss the independence of the organization as follows. It is stated that any government shall grant the Ethics and Anti-corruption commission the necessary independence to carry out its functions effectively and free from any undue influence. As documented in Table 6.4 below, the majority (41.2% and 58.8%) of the respondents rated the Somali Regional State organizational autonomy as medium and high, respectively. In this capacity assessment research, a distinction between various forms/dimensions of autonomy is useful, and very specific data were obtained on four dimensions of independence are summarized as follows. Item 3 in Table 6.4 presents that the freedom of using finance as the REACC sees fit was rated as medium and high by a third of the regional council participants. The organization has almost full autonomy in staffing, internal reorganization, and in access to information as reported by more than 90% of the regional council respondents (see Items 4,5 &6 in Table 6.4 below). Nevertheless, adequacy of budget allocation to REACC is another area that impedes or restricts the commission's activities by reducing its budget as shown in Item 2 of Table 6.4. This has also been confirmed by the participants who involved in KII and FGD.

Table 6.4: Organizational autonomy by Regional Council (N=47)

Variable	Data	Not at all (0)	Low (1)	Medium (2)	High (3)	Mean
Organizational autonomy (empowerment) for the REACC	%	-	-	41.2%	58.8%	2.5882
Adequacy of budget allocation to REACC	%	5.9%	17.6%	70.6%	5.9%	1.7647
Freedom of using finance as the organization sees fit	%	5.9%	-	41.2%	52.9%	2.4118
Freedom of organization (internal reorganization or establishing new units)	%	-	11.8%	11.8%	76.5%	2.6471
Freedom of the right staffing (hiring and motivating appropriately)	%	-	5.9%	35.3%	58.8%	2.5294
Access to information including government data	%	5.9%	-	41.2%	52.9%	2.4118

Allocation of budget to RAECC was closely reviewed as financial resources have the most direct impact on institutional capacity. As per the response from the Commissioner of the ESRSREAC, although budget allocation for the commission has been increasing from year to year in the last five years (i.e.; 2,684,157 Birr in 2006 E.C; 3,752,957 Birr in 2007E.C; and 5,663,991 Birr in 2008 E.C), the allocated budget was not enough to carry out the activities of the commission in wide scope. The

Corruption Prevention Directorate Director of the ESRSEACC has indicated the following in relation to the budget allocation:

It is good that the budget allocated to the commission is increasing from year to year, but as you know the Ethiopian Somali Regional State is very vast, and it is difficult to actively engage in the fight against corruption across all the available Woredas and city administrations with limited budget and resources like vehicles.

Budget constraint at the REACC has also forced the commission to quite some services like toll free phone line to gather information from whistle-blowers. The idea from the Ethics Education and Training Directorate Director strengths the existence of budget scarcity as follows “Previously the REACC has a toll free phone line for whistle-blowers, but currently it is not functional due to budget constraint.”

6.3.4. Institutional arrangements and coordination mechanisms

As it is well known, fighting corruption requires more than one single Regional Ethics and Anti-Corruption Commission. The duties and responsibilities for REACC on ethics education, preventive measures, investigation, prosecution and asset registration and disclosure clearly demonstrate that tackling corruption requires the support and engagement of many institutions or stakeholders. This capacity assessment sought to gain insights into the establishment of formal system at the Somali REACC that coordinates the activities of major stakeholders in the fight against corruption. According to FEACC’s report of 2015/16, the Somali REACC has established different institutional arrangements and coordination mechanisms to disseminate ethics education and fight against corruption. Some of the key infrastructures include: sector specific infrastructures (i.e., development sector, justice sector, and finance sector), ethics coordination offices in all public organizations, ethics and anti-corruption councils at each Zone, ethics and anti-corruption clubs in all educational institutions, and anti-corruption coalition with different actors like religious leaders. Although tackling corruption requires the support and engagement of many institutions listed above, several interviewees and focus group discussants did not confirm the existence of such strong stakeholders’ coordination mechanisms in the region.

As presented in Table 6.5 below, there is an initiative to very build strong system of collaboration with the Federal Ethics and Anti-Corruption Commission (hereafter FEACC) or other regional ethics and anti-corruption commissions in the fight against corruption but much external support is needed to strengthen the existing system. This finding was confirmed during a series of interviews with FEACC officials (commisioner, duputy commissioner, 2 directors, and experts), where there is now biannual consultative meeting organized by FEACC. With other sailent stakeholders like justice office, police commsion, schools, different leagues(women, youth and religion) and professional association, such a strong system that allows regular meeting has been hardly established and needs very immediate attention.

Table6.5: System and procedures for coordinating Ethics Infrastructure (REACC Staff and ethics liaison officers) N=59

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
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Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of strong system/ joint forum/coalition to coordinate the activities of major stakeholders in the fight against corruption	%	22.0%	52.0%	18.0%	6.0%	2.08
Established system of collaboration with FEACC or other regional ethics and anti-corruption commissions in the fight against corruption	%	26.0%	38.0%	26.0%	8.0%	2.16
Established system of collaboration with Ethics liaison offices in regional offices in the fight against corruption	%	26.0%	40.0%	24.0%	8.0 %	2.14
Established system of collaboration with public offices (e.g.; police, prosecutorial bodies, courts, ombudsman and human rights agencies, auditor generals, parliaments, etc.) in charge of investigating and prosecuting crimes	%	28.0%	50.0%	14.0%)	6.0 %	1.97
Established system of collaboration with ethics and civics education clubs in schools	%	34.0%	44.0%	16.0%	4.0 %	1.89
Established system of collaboration with civil society organizations in the region in the fight against corruption	%	26.0%	50.0%	18.0%)	4.0 %	2.00
Established system of collaboration with professional associations in the fight against corruption	%	32.0%	38.0%	20.0%	8.0 %	2.04
Established system of collaboration with media and religious organizations in the fight against corruption	%	30.0%	40.0%	20.0%	8.0%	2.06

As part of the qualitative data, the Ethics Education and Training Director of the SRSEACC has specifically mentioned the absence of strong collaboration work with youth and women leagues, and religious leaders in fighting against corruption. The director also pinpointed the importance of strengthening the public relation office of the commission, which currently has limited capacity to organize platforms for collaboration engagement with stakeholders. From outside the commission, representatives from Public Service and HRD, BOFEC, Audit, Labour and social affairs, Livestock and Pastoralist development, urban development and construction, and other bureaus indicated that their collaboration with the REACC is limited to attending trainings provided by the commission to their staff members working on ethics and anticorruption. The following were responses from various interviewees which attest the presence of loose working relationship with the REACC:

We have no different meeting schedule with the REACC; they took part in biannual review meeting on financial issue organized by our office for all public organizations in the region. (Public Relation Head, BOFEC).

Since we are engaged in auditing public organizations, we are supposed to provide information on suspected corruption cases to REACC, which was not done in coordinated manner so far. To be honest, so far we haven't provided any information on suspected corruption cases to the commission. The REACC has no regular meeting with the Auditor Bureau. The REACC has provided awareness creation trainings for our staff members who are working on ethics and anti-corruption that is the collaboration that we have so far (Finance and Performance Audit Director of ESRS).

The REACC investigates suspected cases of corruption, and we also did the same. We don't reject or forward corruption cases to REACC assuming that it is not our responsibility. We also feel that the REACC has limited capacity in preparing documents and prosecuting cases. So, we work almost independently. Specially, since the REACC has no structure at Woreda level, we solely prosecute suspected cases of corruption. The main focus is on the result, it is not who did it. So, we don't stop prosecuting corruption cases unless and otherwise prohibited by law(Prosecutor from ESRS Justice Bureau).

The commission has not signed any MOU with its stakeholders as part of forming strategic alliances and there are no formal regular meeting platforms arranged by the commission with its main stakeholders for exchanging ideas and working in close collaboration, except a regular meeting organized by Prosecutorial bodies' office which some of its stakeholders. According to the Commissioner of the REACC, however, there are best practices and strategic partnerships with ESTV and FM Jigjiga (services without payment). Through the said mass Medias, the REACC presents drama and music to the community with main purpose of creating awareness on ethics and anticorruption. The commissioner also indicated the presence of relatively good collaboration with police commission, prosecutorial bodies and auditor office for dealing with ethics and corruption malpractices.

This capacity assessment revealed where other institutions support the Somali REACC and contribute to its work and where they hamper its effectiveness. Although the commission has been reportedly closely working with stakeholders such as FEACC, Public offices (police department, prosecutorial bodies, court, auditor generals, parliament, BOFEC, etc.), school level ethics and civics education clubs, civil society organizations, professional associations, media and religious organizations informally or formally as indicated through interviews held with diverse stakeholders, the institutional arrangement and coordination mechanism at REACC were found to be between nascent and emerging as measured in fourteen indicators listed down in Table 6.6 below. Low scores were recorded on the availability of clearly defined stakeholders' engagement strategy; capacity to conduct periodic review meeting that involves the salient stakeholders; and on the level of experience of involving religious organizations/clan leaders in anti-corruption activities. However, the regional president office engages in efficient discussions, mutual respect, appreciation for roles and responsibilities, shared commitment, and valuing of collective wisdom and thereby reaches decisions in a timely manner (see Items 3 & 4 of Table 6.6 below).

Table 6.6: Institutional Arrangements and Coordination Mechanisms (REACC staff and ethics liaison officers) N=59

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Data
Availability of clearly defined stakeholders' engagement strategy	%	32.0%	48.0%	14.0%	6.0%	1.94
Availability of a well-defined stakeholder base	%	26.0%	44.0%	26.0%	4.0%	2.08
Communication between the regional government and leadership reflects mutual respect, appreciation for roles and responsibilities, shared commitment, and valuing of collective wisdom	%	10.0%	56.0%	34.0%	-	2.24
The regional president office engages in efficient discussions and reaches decisions in a timely manner.	%	24.0%	38.0%	36.0%	2.0%	2.16
Experience in involving police or justice system and receive their prompt responses to investigate or prosecute corruption offenses	%	24.0%	50.0%	20.0%	6.0%	2.08
Capacity to conduct periodic review meeting that involves the salient stakeholders	%	30.0%	54.0%	10.0%	4.0%	1.87
Level of organizing joint monitoring and evaluation activities with key stakeholders including beneficiaries	%	24.0%	54.0%	16.0%	6.0%	2.04
Availability of appropriate community mobilization and participation experience to fight corruption	%	22.0%	56.0%	18.0%	4.0%	2.04
Credibility in the eyes of	%	16.0%	62.0%	18.0%	4.0%	2.10

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Data
the public to date						
Level of experience of involving religious organizations/clan leaders in anti-corruption activities	%	32.0%	44.0%	16.0%	6.0%	1.95
Capacity to work collaboratively with all of the key government agencies including police and justice	%	20.0%	58.0%	18.0%	2.0%	2.02
Level of credibility in the eyes of its partner government agencies	%	22.0%	58.0%	16.0%	2.0%	1.97
The Organization has full access to information including government data	%	18.0%	54.0%	22.0%	4.0%	2.12

As one of the success histories, however, two Ethics and Anti-Corruption Movements of women & Youth were established in Jigjiga capital of the region. Ethics liaison units with five persons each were also established in the regional and woreda public offices. Furthermore, the commission has monthly briefing session with police, justice, and court bodies to share some information among each other.

6.3.5. Accountability

Having acknowledged that any sort of authority and independence goes side by side with a proportional level of accountability, this capacity assessment research tried to figure out the reporting relationships between the Somali REACC and an oversight body, such as Regional President Office, Parliament including representation of civil society, academia, professional associations, as well as key national authorities including FEACC. The results of data analysis show that three governmental bodies; viz., the Regional President, FEACC, and the regional council bureau were identified at the forefront in receiving performance reports of REACC. Every three month, the REACC is required to report to its Board, which is chaired by the President of the Region. It is also expected to report twice a year to the FEACC, and once in a year to the regional parliament. During various interviews with the FEACC officials, it was possible to know that the Somali REACC has demonstrated the capacity to regularly report its performance to FEACC, but it still requires some level of external support to improve depth of analysis. Similarly, as indicated in Table 6.7 below, the Somali REACC has demonstrated the capacity to prepare comprehensive, andreadable report timely to regional council but it requires some level of external support to improve depth of analysis of the report.

Table 6.7: Reporting (Regional Council) N=47

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Data
Completeness of REACC's reports to regional council	%	-	6.7%	46.7%	46.7%	2.4000
Depth of analysis	%	6.7%	13.3%	53.3%	26.7%	2.0000
Language usage/readability	%	-	-	26.7%	73.3%	2.7333
Timeliness of reports	%	-	-	28.6%	71.4%	2.7143

According to the REACC commissioner, the image of the REACC in the public is improving from time to time because of the commission's aggressive work on awareness creation packages through Medias like ESTV, FM radio, Medinio newsletter, booklet, and face to face trainings. Through interviews conducted with representatives of the approached public organizations, respondents have acknowledged the positive effort of the commission in creating awareness about ethics and anti-corruption activities to the wider community through Medias like ESTV and FM radio. There is, however, an urgent need to develop organizational website to improve its public images.

6.4. The organizational level Capacity Assessment

The organizational level capacity assessment is concerned with the policies, procedures and business processes that are essential for effective performance of the Somali Regional State Ethics and Anti-Corruption Commission. In other words, it includes the entire infrastructure necessary to enable the REACC to deliver on its mandate. A number of internal institutional arrangements such as organizational vision and mission, leadership, strategic planning (SP), organizational structure, human resource management (HRM), finance and procurement management, knowledge management, communication, and monitoring and evaluation are assessed to determine the gaps between capacity assets and needs in the following sections.

6.4.1. Vision and mission

Based on its mandate, the Somali REACC has developed a **vision and a mission**, codified through succinct statements for setting its institutional identity, for motivating staff and creating a sense of purpose. In this regard, its vision reads as: to diminish the prevalence of corruption offences and improprieties in ESRS to a degree that won't hamper good governance and economic development of the region by 2013 E.C. The commission's mission is:

- To ascertain corruption-free ESRS through expanding ethics & anti-corruption education, so as to create an aware society where corruption and improprieties won't be condoned
- Examining practices and procedures of government offices and public enterprises in order to plug any loophole that provides for improprieties and corruption offences in their work system
- Exposing investigation and prosecuting any alleged corruption offences in the government office and public enterprises of the region.

On the basis of its vision and mission, eight different core values and principles; viz., accountability, exemplary, transparency, honesty & knowledge based service, readiness for change, participatory,

supremacy of the law, and productivity & saving were identified. Likewise, more than 80% of the REACC staff and ethics officers who participated in this capacity assessment confirmed the availability of clear vision and mission statements. Nonetheless, the availability of the above mentioned clearly defined vision and mission is found to be a necessary but not a sufficient condition to guide all of REACC's work, to identify a few clearly defined program goals that are compatible with its mission, and to have a shared understanding of the Somali REACC's mission and vision as indicated by the REACC staff (see Items 1 to 3 Table 6.8 below).

Table 6.8: Mission, Goals, and Core Values (REACC staff and ethics liaison officers) N=59

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
The availability of a clearly defined vision and mission that guides all of its work.	%	8.0%	26.0%	62.0%	4.0%	2.62
Capacity to identify a few clearly defined program goals that are compatible with its mission.	%	10.0%	38.0%	46.0%	6.0%	2.48
The leadership, staff and beneficiaries of the Organization have a clear understanding of the Organization's vision, mission, and goals.	%	12.0%	34.0%	46.0%	8.0%	2.50

One of the problematic factors for having a shared vision and mission statement was that they were not publicly available, not well known by the staff and were not internalized as part of the organizational culture. From the observation conducted by the regional coordinator and through discussion with ESREACC staffs, it was noted that the mission, vision, and core values of the commission were not posted anywhere in the compound as well as in the rooms/offices. As indicated above in last item of Table 6.8, the mission statements seems not developed through a participatory process involving all staff and its stakeholders in order to ensure ownership. The vision and mission statements should be revisited and refreshed to ensure their continued relevance, to strengthen organizational identity, and to ascertain its feasibility by mobilizing its salient stakeholders.

6.4.2. Leadership

The capacity assessment team argues that the effective leadership is essential to implement the Somali REACC's mandate and vision by promoting successful, win-win relationships with others, both within and outside the organization, and delivering positive and reinforcing messages to motivate people. In this capacity assessment, leadership cannot be restricted to a single post or even to a team or subset of colleagues in the centre, but rather dispersed around the commission including at upper, middle, and operational level management. In ESRS, the commissioner and the deputy commissioner

are appointed by the Regional Council upon the nomination by the regional president. Once the above senior leaders are appointed, the law defines conditions under which they could be removed from their positions. As indicated in Table 6.9 below, twelve indicators were used to gauge the level of the executive leadership capacity of the Somali REACC. The results of data analysis show that there is an initiative to build the executive leadership capacity but much external support from diverse stakeholders is needed to further strengthen it through tailored-made training and exposure visits (see all Items in Table 6.9). About 89% of the regional council members rated the leadership capacity in terms of educational preparation or experiences as medium and high. Better results were recorded on the capacity of setting clear vision and having a clear understanding of their roles and responsibilities as providers of overall direction (see Items 5 & 6 in Table 6.9). On the other hand, for example, it was found that the senior leadership is relatively staffed with less qualified and competent senior management members who lack diverse skills and professional expertise that match the organization's needs (see Items 3 and 4 of the same table).

Table 6.9: Executive Leadership (REACC staff and ethics liaison officers) N=59

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Capable of carrying out key roles such as policy formulation, fund raising, public relations & lobbying	%	6.0%	58.0%	28.0%	8.0%	2.3800
Capacity of providing strong direction, support, and accountability to leadership and engages as a strategic resource	%	14.0%	38.0%	38.0%	10.0%	2.44
Staffed with highly qualified and competent senior management members	%	14.0%	44.0%	32.0%	10.0%	2.38
The senior leadership has diverse skills and professional expertise that match the organization's needs.	%	16.0%	38.0%	34.0%	12.0%	2.42
The senior leadership has a clear vision of the organization's mission.	%	12.0%	32.0%	48.0%	8.0%	2.52
Senior leadership/management have a clear understanding of their roles and responsibilities as providers of overall direction	%	6.0%	48.0%	40.0%	6.0%	2.46
Senior management's relationship to staff is	%	24.0%	28.0%	40.0%	8.0%	2.32

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
participatory, transparent and management decisions are delegated						
Leadership is accessible and fosters participation of constituents	%	16.0%	34.0%	36.0%	8.0%	2.38
The senior leadership gives guidance (when needed) to help others make decisions.	%	16.0%	24.0%	46.0 %	10.0%	2.52
The Leadership sets annual performance goals for each heads of subunits and reviews his/her performance	%	18.0%	28.0%	40.0%	10.0%	2.43
The senior leadership evaluates its performance regularly and implement strategies for improving its performance.	%	16.0%	42.0%	36.0%	6.0%	2.32

During the interview with the REACC commissioner, it was possible to learn that there is a need for improving the technical capacity of leadership through trainings and exposure visits. Noting that the leadership capacity development is not a one-off activity, the FEACC has offered continuous leadership capacity development trainings, as reported by the commissioner. Having appreciated the efforts of FEACC, the Ethics Education Directorate Director of the ESRSEACC has forwarded the following training related observation:

As it stands today, the leadership capacity of the commission is limited. There is a need for arranging capacity building training in order to discharge its duties and responsibilities effectively. Most capacity building interventions arranged by FEACC are not need-based; and mostly repetitive. Regional based-need assessment shall precede the actual trainings.

6.4.3. Strategy planning

The existence of clear linkages between the Somali REACC's vision and long term strategy and department level and individual level work plans is fundamental to integrate the differentiated units through various mechanisms (e.g. policies, resource allocation mechanisms, reward systems,etc.) in order to trigger adequate responses from internal actors. This is to say the effectiveness of a given REACC depends on whether the institution undertakes regular strategic planning. Data collected from diverse sources using different tools show that the Somali REACC has a five year strategic plan (2008-2012) which was prepared in collaboration with stakeholders like BOFEC. The main pillars of excellence for the second strategic plan were identified as ethics advancement, research and follow-up, and investigation and prosecution of corruption offences. This live strategy plan has identified

land administration, bulk government procurement, task and revenue, and construction as the main focus areas.

The Somali REACC staff were asked to rate their organization capacity of preparation to revision of its strategic plan as reported in Table 5.10. The results of data analysis revealed that there is an initiative to build its own capacity in the preparation of the strategic plan but much external support is needed to strengthen and pragmatically improve the existing assets. Given that the Commission is new with only its second generation strategic plan, its achievement in this regard is commendable as noted during the interviews of diverse stakeholders. The majority of the REACC staff reported that the active strategic plan has been guiding their work over the medium and long-term period and more importantly, planning staff (part of finance support process) understands each program's specific goals and objectives and develops operational/annual plans that guide yearly action (see Items 1, 4 and 5 of Table 6.10).

Table 6.10: Strategic Planning (REACC Staff and ethics liaison officers) N=59

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of a strategic plan that guides its work over the medium and long-term period	%	10.0%	26.0%	50.0%	14.0%	2.68
SP is prepared to further the mission and address clearly defined needs	%	16.0%	42.0%	34.0%	4.0%	2.27
Stakeholders and staff are involved in the strategic planning process	%	28.0%	26.0%	38.0%	6.0%	2.22
Planning staff understands each program's specific goals and objectives	%	10.0%	40.0%	42.0%	8.0%	2.48
Organization develops operational/annual plans that guide action	%	18.0%	28.0%	48.0%	6.0%	2.42
Annual plans of action are reviewed, updated and reflect the strategic plan	%	12.5%	35.4%	43.8%	8.3%	2.47
Resources are planned accordingly and allocated properly	%	16.3%	38.8%	40.8%	4.1%	2.32
All staff understand how each program relates to the organization's mission.	%	14.0%	46.0%	38.0%	2.0%	2.28

In the open ended part of the questionnaire and interview with Finance department head, it was documented that department Annual Plans were based on the objectives described in the Strategy and specify key targets, activities, and indicators. Individual annual work plans to their respective department annual plans and note key outputs staffs are to produce and activities they are involved in. The commissioner and the directors for corruption prevention, and Ethics Education and Training directorates feel that the commission has internal capacity to develop SP after going through a learning curve during the preparation the two strategic plans. It was also possible to learn that the

commission does have adequate capacity to review its SP when needed. Various respondents, including the REACC commissioner, Justice Office Head, and other REACC staff members have acknowledged the fact that the commission's main focuses have been creating awareness on the society through ethics education and training. So, it is a good strategy to address issues of research and prosecution of corruption offences in this new strategic plan.

6.4.4. Organizational structure

The Regional Council established the Ethiopian Somali Ethics and Anti-Corruption Commission using proclamation No 113/2004 as an independent government body mandated with certain powers, duties, and objectives to bring an all-encompassing development in the region by curbing corruption and corrupt practices in 2012. The proclamation came in to effect in 2013, which the Commission become fully operational the same year. Since then, as indicated in Fig.6.2 below, the Somali Regional Ethics and Anti-Corruption Commission has an organizational structure that shows a division of labour and established reporting lines. Most regional council members (94%) perceived that the Commission achieved adequate organizational coordination to medium and high level.

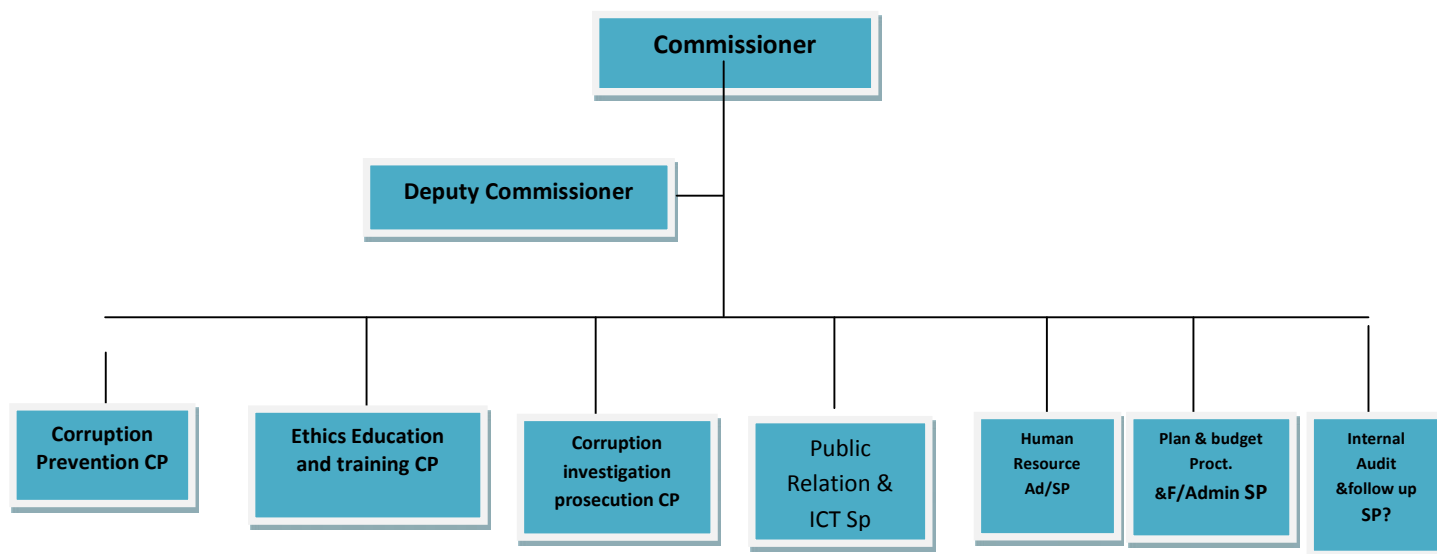


Figure 6.2: Organizational Structure of the Somali Ethics and Anti-Corruption Commission

Although this organizational chart should have helped everyone navigate who is supposed to do what and report to whom, the majority of the Somali REACC staff (more than 50%) reported that there are capacity gaps in clearly defining lines of authority and responsibilities, facilitating agile decision-making, discussion, and problem-solving capacity, and in coordinating among different units involved in service delivery as indicated in Table 6.11 below. In its operation for the last four to five years, the organization managed to build capacity of organizing itself but much external support is needed to strengthen it as presented below.

Table 6.11: Organizational Structure (REACC Staff and ethics officers) N=59

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
The existence of an	%	20.0%	36.0%	34.0%	10.0%	2.34

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
organizational structure with clearly defined lines of authority and responsibilities						
Lines of authority facilitate agile decision-making, discussion, & problem-solving	%	24.5%	44.9%	26.5%	4.1%	2.10
The organizational structure facilitates smooth coordination among different units involved in service delivery	%	26.0%	42.9%	22.4%	8.2%	2.12

Across the board, all respondents who participated in a series of interviews and focus group discussions revealed that the absence of Ethics and Anti-corruption offices at the Zones and Woredas within this vast Somali region (93 woredas and 6 city administrations) causes a serious of capacity gaps to realize organizational mission. Given the existing limited budget and few personnel, it is practically impossible to fully deal with ethics and corruption related issues by primarily working at the regional capital, Jigjiga. The organization has also many vacancies including the position of the Deputy Commissioner. This position is currently assumed and managed by corruption investigation and prosecution directorate.

As illustrated in the organizational chart above (Figure 6.2), the REACC has three core processes; viz., Ethics education and training, corruption prevention, and corruption investigation and prosecution. The Somali Regional State Ethics and Anti-Corruption Commission staffs were asked to identify their system related capacity assets and gaps against the above mentioned core processes as well as on asset registration and disclosure. The results of data analysis were summarized on the subsections that follow.

6.4.4.1. Ethics Education

Ethics education strives to create greater public awareness by disseminating ethics education, and undertaking public relation activities through various outlets that corruption should not be tolerated. This Department is comprised of public relations, media, ethics, and education teams. The commission disseminates its message through various channels like face-to-face training, TOT at school clubs, panel and through publications, posters, flyers, brochures, stickers, billboards, newsletters (local), media like ESTV. According to data obtained from the Somali REACC staff, the commission's capacity in terms of creating clear policy and procedural manual for giving ethics education, forming strategic partnerships with media, and in-house capacity for producing brochures and flyers falls between nascent and emerging as indicated in Table 6.12. This means that the capacity is almost infant and needs very immediate attention for improvement.

Table 6.12: Capacity to Carry out Ethics Education (REACC Staff and ethics liaison officers) N=59

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of clear policy and procedural manual for giving ethics education	%	12.0%	48.0%	34.0%	6.0%	2.34
Availability of system of promoting ethics and anti-corruption education in Ethiopian society	%	16.0%	56.0%	22.0%	6.0%	2.18
Capacity to undertake face-to-face trainings, organize panel discussions, use TOTs, and publicity and marketing through publications, posters, flyers, brochures, stickers, billboards, newsletters (internal and external), media, and ma	%	34.0%	40.0%	20.0%	6.0%	1.98
Availability of established strategic alliances with television and radio and other written media to reach citizens including illiterate people	%	28.0%	38.0%	24.0%	10.0%	2.16
Availability of in-house capacity for producing brochures and flyers	%	30.4%	39.1%	13.0%	17.4%	2.17

Many of the respondents who participated in the series of interviews revealed that the REACC has, for example, a structure of Public Relations department, which was almost non-functional during the assessment period. It was neither well-staffed with the required human resource nor well-equipped with other required facilities to undertake the needed communication to the commission's internal and external stakeholders.

6.4.4.2. Corruption Prevention

The second core process consists of *corruption prevention functions* that seek to prevent corruption by studying the practices and work procedures of public offices and enterprises. It further attempts to examine work methods that may lead to corrupt practices and follows up on the implementation of recommended suggestion through intensive consultation with REACC's salient stakeholders. The Somali regional states REACC's capacity for corruption prevention as gauged by the seven indicators was found to be close to emerging, which shows that there is an initiative to pragmatically build the capacity but much external support is needed to strengthen it. There is a huge capacity gap between capacity asset and need concerning conducting in-house research (mean=2.00). Similarly, there is now

limited capacity in concluding formal memorandum of understanding with salient stakeholders on how to cooperate for preventing corruption as shown in the last item of Table 6.13 below.

Table 6.13: Capacity to Corruption prevention (REACC Staff and ethics liaison officers) N=59

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of clear policy and procedural manual for corruption prevention	%	12.2%	49.0%	32.7%	6.1%	2.32
Capacity to conduct in-house research	%	38.1%	33.3%	19.0%	9.5%	2.00
Capacity to study corruption practices and work procedures of public offices and public enterprises	%	14.6%	58.3%	16.7%	10.4%	2.22
Capacity to mentor or coach on the implementation of recommended suggestions following research findings	%	18.8%	56.3%	16.7%	8.3%	2.14
Capacity to support Ethic and Anti-corruption Liaison offices	%	20.8%	43.8%	25.0%	10.4%	2.25
Availability of sufficient capacity of mobilizing stakeholders such as media, schools, and religious institutions on preventing and combating corruption	%	25.0%	43.8%	20.8%	10.4%	2.16
There is now formal memorandum of understanding with salient stakeholders on how to cooperate for preventing corruption	%	25.5%	46.8%	17.0%	10.6%	2.12

From the qualitative data, the REACC in collaboration with public organizations in the region have established an ethics liaison unit with five members at each of the public organizations. It was noted that their relationship is loose and limited to involving on awareness creation programs organized by the REACC. The other effort appreciated by various respondents from public organizations is the use of media, particularly ESTV, in disseminating awareness on ethics and anti-corruption to the public at large through music and dramas. Some respondents like the representative from Audit office General

Prosecution and Justice Office suggested for arranging more frequent transmissions through ESTV as what they did so far was not enough.

6.4.4.3. Corruption Investigation

The third core process refers to a corruption investigation sub-unit. While many corruption investigations are financial crime scene inquiries, and the case often built on documentary evidence, some cases will require key witnesses (including whistle-blowers) such as those who saw payments being made or experts who can explain to judges, assessors or juries both the nature of the financial activities and what they may mean in terms of what they say about corrupt relationships or the acquisition of illicit assets or victims, who can witness how they were deprived of funds or assets by the suspects. The Somali Regional State REACC staffs were asked to determine their capacity for investigating of corruption offenses using the following seven indicators listed down in Table 6.14 below. The overall corruption investigation capacity was rated as emerging, where there is some basic capacity but much external support is needed to strengthen it urgently. The meager available capacity at the Somali region REACC has been found to be too small in the absence of additional branch offices at the Zones, Woreda and city administrations. As clearly documented in Table 6.14 below, there was limited channels and mechanism (such as e-mail, telephone (hotline), fax, regular mail, or in-person statements) to obtain complaints about alleged corruption from whistle blowers as outward facing facilities.

Table 6.14: Capacity to Investigation of Corruption Offenses (REACC Staff and ethics liaison officers)
N=59

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of clear policy and procedural manual during investigation	%	16.7%	50.0%	27.1%	6.3%	2.22
Existence of clear channels and mechanism (such as e-mail, telephone (hotline), fax, regular mail, or in-person statements) to obtain complaints about alleged corruption from whistle blowers	%	34.0%	31.3%	22.9%	10.4%	2.08
Availability of a whistle-blower and witness protection law or regulation or guideline or policy	%	29.2%	31.3%	29.2%	10.4%	2.20
Availability of a clear guideline for sorting out the case to be handled by itself or addressed by another government agency	%	18.8%	47.9%	22.9%	10.4%	2.25
Availability of a system of collaboration with other organization for investigation of corruption offenses	%	14.9%	59.6%	14.9%	10.6%	2.21
Availability of directives concerning the manners of reporting of corruption offences investigation carried out by other investigating bodies	%	28.3%	41.3%	17.4%	13.0%	2.15

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of an established system of classifying corruption into modest corruption offenses, serious corruption offenses, and very serious corruption offenses using criteria	%	12.8%	48.9%	23.4%	14.9%	2.40

6.4.4.4. Corruption prosecution

Prosecution has an obvious retributive value in that those involved in corruption are seen as not immune from the rule of law and criminal justice processes. Any ethics and anti-corruption agencies are required to have the needed capacity to prosecute corruption offenses, processing charges on files worthy of prosecuting among whose investigation have been completed; and going through the processes until the court rules on the files. Moreover, the responsibility of facilitating necessary legal protection for whistle blowers & witnesses goes to this core process. Assessment of prosecution of corruption offenses at the Somali REACC as rated by the commission's staff became exactly emerging, showing that there is a promising initiative to establish system but much external support is needed to further strengthen it (see Table 5.15 below). However, there is still relatively limited capacity for the prosecution of any alleged or suspected corruption offences specified in the criminal code or in other laws where they are committed by any actors including senior political leaders.

Table 6.15: Capacity for Prosecution of Corruption Offenses (REACC Staff and ethics liaison officers)
N=59

Variables	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of clear policy and procedural manual during prosecution of corruption offenses	%	20.8%	33.3%	39.6%	6.3%	2.31
Existence of systems to collect, analyse, and use data and information during prosecution of corruption offenses	%	12.5%	58.3%	20.8%	8.3%	2.25
Capacity for the prosecution of any alleged or suspected corruption offences specified in the criminal code or in other laws where they are committed by any actors including senior political leaders	%	22.9%	47.9%	22.9%	6.3%	2.12

6.4.4.5. Asset Registration and Disclosure

As evident from Fig.6.2 above, no office in charge of asset registration and disclosure was established as part of the organogram of the Commission. As reported by the REACC staff (see Table 6.16 below), the level of capacity and readiness to register or cause the registration of the assets and financial interests of public officials and other public employees was found to be "nascent". This suggests that

the capacity is almost non-existent and needs very immediate attention before engaging into the actual task.

Table6.16: Capacity to Asset registration and disclosure(REACC Staff and ethics liaison officers)
N=59

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Presence of clear policy and procedural manual during prosecution of corruption offenses	%	17.0%	40.4%	34.0%	8.5%	2.34
Level of capacity and readiness to register or cause the registration of the assets and financial interests of public officials and other public employees compellable to do so as specified by law in cooperation with relevant bodies.	%	40.8%	38.8%	12.2%	8.2%	1.87

6.4.5. Human resource management (HRM) capacity

Any Ethics and Anti-Corruption Commissions need to have their own, dedicated staff for performing their duties and responsibilities. This requires REACCs to have a well-established human resource management system in order to conduct open and fair recruitment, provide a competitive compensation package, implement continuous training and capacity building, and establish processes that ensure staff integrity, performance appraisal and adherence to strict discipline codes, as well as an internal complaint system. According to the data obtained from the REACC staff and the regional council members, the commission has clear human resource police and manual, which show that the REACC has demonstrated the capacity to fill its gaps but it requires some level of external support. More assessment of the HRM system capacity of the Somali REACC has been conducted by examining the status of HRM manual, HRD, internal work culture, gender and diversity, supervision and performance management, salaries and benefits management system and managing grievance and conflict as indicated in the subsections that follow.

6.4.5.1. Recruitment, and Job descriptions

For an organization like ethics and anti-corruption commissions, having the right numbers of the right people in the right place at the right time plays an instrumental role in achieving its goals. Particularly, having the right mix of support staff and technical staff is useful to enhance efficient operations of the commissions. The important precondition in this regard is the establishment of a capacitated recruitment system. Table 6.17 below presents the results of data analysis concerning the Somali REACC's recruitment and job description system. As clearly documented in the said table, the

commission's hiring process in terms of openness, competitiveness and efficiency was rated as close emerging, where there is good initiative to build the recruitment capacity but much external support is needed to strengthen and refine it (see Item 1 in Table 6.17). Each staff member has a written job description that slightly defines his/her responsibilities, tasks, and reporting relationships. However, the organization is required to encourage/commit itself to recruit people with disability, PLHIV, etc.

Table 6.17: Capacity for Recruitment and Job Descriptions (REACC Staff and ethics liaison officers)
N=59

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Hiring process is open, competitive and efficient	%	20.0%	46.0%	26.0%	8.0%	2.22
Each staff member has a written job description that clearly defines his/her responsibilities, tasks, and reporting relationships.	%	14.0%	50.0%	30.0%	6.0%	2.28
The staff exercise their functions in accordance with their job descriptions	%	20.0%	42.0%	32.0%	6.0%	2.24
Responsibility is delegated to promote an effective division of labour, job satisfaction, and leadership opportunities.	%	18.0%	52.0%	24.0%	6.0%	2.18
The organization encourages/committed to recruit people with disability, PLHIV, etc.	%	36.0%	48.0%	8.0%	8.0%	1.88
Men and women are evenly represented on the staff, within the Executive Team	%	18.0%	54.0%	22.0%	6.0%	2.16

Data obtained from the open-ended part of the questionnaires and through the interviews and focus group discussions showed that the absence of branch offices in Zones and Woreda along with shortage of human resource at the centre causes capacity limitations of the Somali REACC.

6.4.5.2. Performance management and incentives

A performance management system should be in place that sets measurable performance targets for staff and ensures regular assessment and feedback on performance. Linked to that, an incentive system should also be in place including the following; competitive salary, partly performance-based; attractive career development options, recognitions and rewards, etc. REACC staff were required to determine the level of capacity asset of the Somali REACC regarding its performance management and incentive system. The results of data analysis indicated that there is some capacity (specifically

close to emerging) to build the capacity but much external support is needed to strengthen it (see Table 5.18). It was possible to learn that each staff member hardly meets with his or her supervisor at least once a month for orientation and feedback on his/her work. With regard to incentives, staff salaries or other benefits package are perceived as less competitive (see Last Item in Table 6.18) by the REACC staff and ethics officers in public organizations while the majority of regional council members (60%) reported the availability of proper incentive/reward system to motivate staff as part of the regional civil servants policies.

Table 6.18: Performance management and incentives (REACC Staff and ethics liaison officers) N=59

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Staff meetings are held on a regular basis	%	32.7%	34.7%	26.5%	6.1%	2.06
Staffs participate in executive decisions and are encouraged to take initiative	%	24.0%	46.0%	(22.0%	8.0%	2.14
Team work is promoted	%	28.0%	42.0%	24.0%	6.0%	2.08
Each staff member meets with his or her supervisor at least once a month for orientation and feedback on his/her work.	%	32.7%	40.8%	18.4%	8.2%	2.02
Staffs receive a formal performance evaluation from their supervisor at least once a year.	%	36.7%	32.7%	24.5%	6.1%	2.00
Promotions and raises are based upon the results of the performance evaluations	%	26.5%	51.0%	16.3%	6.1%	2.02
The Organization has a clearly defined salary scale which determines how much staff is paid	%	20.0%	40.0%	32.0%	8.0%	2.28
Staff salaries or other benefits package are competitive	%	28.6%	46.9%	20.4%	4.1%	2.00

6.4.5.3. Induction, Training and mentoring

It is argued that any specialized organization like ethics and anti-corruption agency requires its staff to be trained. General induction training for all new staff joining the organization will be useful, as well as more specific training tailored to technical functions. There should also be a system for regular knowledge sharing through mentoring is needed to ensure that knowledge is genuinely absorbed in the organization. According to REACC staff and ethics officers from public organizations, the capacity to provide induction training and continuously mentoring junior staff is almost non-

existent (nascent) or at infant stage as shown in Table 6.19 below and thereby needs very immediate attention.

Table 6.19: Capacity to provide induction Training and Mentoring (REACC Staff and ethics liaison officers) N=59

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
The Organization incorporates need-based staff training as a part of its annual plan.	%	26.0%	58.0%	12.0%	(4.0%	1.94
The staff training plan is funded	%	54.0%	32.0%	12.0%	2.0%	1.62
Staff training is considered a priority for the organization	%	28.0%	48.0%	20.0%	4.0%	2.00

6.4.6. Finance and Procurement Management Capacity

It is believed that the Somali REACC needs to establish a reputation of being clean itself at the expense of losing credibility in order for assuming a “watchdog” role over public financial management in other organizations. The availability of strong finance and procurement management capacity enables it to blame and shame other organization for mismanagement and corruption; hence it is of utmost importance that the Commission observes the highest standards in terms of its own procurement and finance actions. In this regard, adequate rules and procedures for procurement and financial transactions need to be in place, observed and monitored. REACC staffs were asked to determine the commission’s finance and procurement management by considering the existence of planning and budgeting system, finance utilization and management, financial reporting, and procurement management. Findings against the above four broad areas are presented in the subsections as hereunder.

6.4.6.1. Planning and budgeting

As revealed in Table 6.20, seven different indicators were used to assess the planning and budgeting capacity of the commission. The results of data analysis show that the capacity is positioned between emerging and expanding levels (but skewed towards emerging). That is to mean, the system of planning and budgeting capacity of the commission is emerging requiring external support to strengthen it.

Table 6.20: Capacity of Planning and Budgeting (REACC Staff and ethics liaison officers) N=59

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of financial policy and procedural manual	%	16.3%	36.7%	38.8%	8.2%	2.38
Financial management policy meet the government	%	14.6%	37.5%	43.8%	(4.2%	2.37

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
laws and directives						
Availability of an annual budget approved in a participatory fashion	%	20.4%	32.7%	38.8%	8.2%	2.34
Expenses are made in accordance with the annual budget	%	15.2 %	50.0%	28.3%	6.5%	2.26
Expenses against budget are analysed at least quarterly	%	12.8%	53.2%	27.7%	6.4%	2.27
Budgets for units are prepared and adjusted annually to comply with the organization's overall budget.	%	26.1%	39.1%	30.4%	(4.3%	2.13
The regional finance office reviews and authorizes major financial commitments.	%	23.9%	34.8%	34.8%	6.5%	2.23

6.4.6.2. Finance utilization and management

Eleven different indicators were used to assess the budget utilization and management capacity of the commission as indicated in Table 6.21. The results of data analysis show that the capacity is positioned between emerging and expanding levels (but skewed towards emerging). That is to mean, the system of finance utilization and management capacity of the commission is emerging requiring external support to strengthen it.

Table6.21: Capacity for finance utilization and management (REACC Staff and ethics liaison officers)
N=59

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
All transactions are coded in accordance with the Chart of Accounts	%	20.4%	34.7%	40.8%	4.1%	2.28
Processes for handling finances and money ("internal controls") are written and followed.	%	15.2%	52.2%	28.3%	4.3%	2.21
The cashier keeps a cash book documenting all cash transactions	%	17.8%	44.4%	35.6%	2.2%	2.22
Cash advances are only cancelled when adequate	%	25.5%	31.9%	40.4%	2.1%	2.19

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
receipts and change are submitted						
Bank checks are signed by at least two people, neither of whom is directly responsible for preparing financial reports	%	21.3%	29.8%	46.8%	2.1%	2.29
Bank payments are reviewed and authorized by someone who checks that proposed disbursement is in accordance with the approved budget	%	27.7%	27.7%	40.4%	4.3%	2.21
Supporting documentation of all financial transactions are systematically filed and retained as required by law.	%	14.9%	38.3%	44.7%	2.0%	2.34
Cash balances are reconciled monthly.	%	19.6%	47.8%	30.4%	2.2%	2.15
Person(s) maintaining financial records (are) knowledgeable and skilled in the area.	%	10.6 %	48.9%	38.3%	1 (2.1%	2.31
Availability of a computerized bookkeeping system.	%	17.0%	40.4%	40.4%	2.1%	2.27
External Audits are conducted by a reputable firm ever year	%	(17.4%	34.8%	41.3%	6.5%	2.36

6.4.6.3. Financial Reporting

Financial reporting was another assessment area as shown in Table 6.22. Eight different indicators were used to assess the financial reporting capacity of the Somali Ethics and Anti-Corruption Commission. Findings show that the capacity is positioned between emerging and expanding levels (but skewed to emerging). That is to mean, the system of financial reporting is emerging requiring external support to strengthen it.

Table 6.22: Capacity of financial reporting (REACC Staff and ethics liaison officers) N=59

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
The financial report includes a statement of	%	12.8%	38.3%	42.6%	6.4%	2.42

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
expenses against budget.						
Capacity to produce internal monthly financial reports	%	8.5%	48.9%	40.4%	2.1%	2.36
Quarterly financial reports are submitted for the review and approval of the finance office.	%	12.8%	40.4%	40.4%	6.4%	2.40
The financial report includes a balance sheet and bank reconciliation	%	13.0%	26.1%	56.5%	4.3%	2.52
Expenses are reported by activity.	%	11.4%	38.6%	47.7%	2.3%	2.40
Capacity to present a full financial statement in its annual report for public consumption in a timely fashion.	%	20.0%	34.0%	40.0%	6.0%	2.32
Financial reports are concise, easy to understand, and produced in a timely manner.	%	26.0.0%	32.0%	38.0%	4.0%	2.20

6.4.6.4. Procurement, Supplies and Inventory Management

As revealed in Table 6.23, five different indicators were used to assess the procurement, supplies and inventory management capacity of the commission. The results of data analysis show that the capacity is positioned close to emerging. That is to mean, the overall procurement system requires external support to strengthen it.

Table 6.23: Capacity to undertake Procurement, Supplies and Inventory Management (REACC Staff and ethics liaison officers) N=59

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of a procurement management manual	%	16.0%	42.0%	38.0%	4.0%	2.30
Competitive procurement practices are followed for all purchases as per public procurement law.	%	18.0%	48.0%	30.0%	4.0%	2.20

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Procurement procedure is evaluated by procurement committee	%	12.0%	44.0%	38.0%	6.0%	2.38
All fixed assets are coded and incorporated in a fixed asset inventory control	%	12.0%	48.0%	34.0%	6.0%	2.34
Consumption of office and other supplies is managed by an inventory control system	%	16.3%	46.9%	30.6%	6.1%	2.26

6.4.7. Knowledge and information management

In the current dynamic environment, any ethics and anti-corruption commission should have the capacity for knowledge management in all its units in general and more specifically by drawing upon findings from the investigation division to determine strategic interventions by the prevention division and vice-versa. It is argued that when the technical divisions of the commission mutually reinforce each other, the REACC will be at its strongest. In order to assess the capacity of knowledge and information management of Somali REACC, eight indicators were used (see Table 6.24 below). The results of data analysis reveal that the capacity is almost *nascent* or emerging and needs very immediate attention.

Table 6.24: Knowledge, Information and Technology Management (REACC Staff and ethics liaison officers) N=59

Variables	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability well-designed, user-friendly, comprehensive systems to capture, document, and disseminate knowledge internally in all relevant areas	%	30.0%	48.0%	18.0%	4.0%	1.96
The existence of systems to collect, analyse, use and disseminate data and information to relevant external stakeholders	%	18.0%	62.0%	16.0%	4.0%	2.06
All staff is aware of systems, knowledgeable in their use, and make frequent use of them	%	30.6%	40.8%	24.5%	4.1%	2.02
The organization has internet	%	38.0%	38.0%	20.0%	4.0%	1.90

Variables	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
access and all technical and admin staff has individual computer and e-mail access						
The organization has reliable telephone and fax facilities accessible by all staff	%	38.0%	34.0%	18.0%	10.0%	2.00
The organization has fully networked computing hardware with comprehensive range of up-to-date software applications	%	38.0%	38.0%	12.0%	12.0%	1.98
The organization has comprehensive and interactive Web site, regularly maintained and kept up to date on latest area and organization developments (Better to EXCLUDE this question)	%	40.0%	38.0%	8.0%	14.0%	1.96
The organization has comprehensive electronic database and management reporting systems exist for tracking clients, staff, volunteers, program outcomes and financial information; widely used and essential in increasing information sharing and efficiency	%	38.0%	36.0%	16.0%	10.0%	1.98

The data gathered through a series of interviews and focus group discussions confirmed the absence of well-organized knowledge information and management system. To that end, it is recommended that internal and external communication is crucial to create a culture of knowledge and information sharing within the organization and with partners.

6.4.8. Communication capacity

Communication is one of the crucial set of organizational capacities, which relates to coordination and cooperation with the stakeholders. Stakeholder support can be achieved with effective communication and is indispensable for managing the multiple functions and expectations successfully. The external communication aims to make key stakeholders aware of the range of activities that are undertaken by the Somali REACC. The internal communication aims to involve the broader commission community (e.g. leadership, technical staff, and administrative staff) on the

activities and achievements of the organization. As perceived by the Somali REACC staff, the communication capacity became emerging (see Table 6.25 below). This is to say that there is an initiative to build the reporting capacity but much external support is needed to strengthen it.

Table 5.25: Reporting Capacity (REACC Staff and ethics liaison officers) N=59

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Capacity to regularly communication on activities and results of evaluations to relevant stakeholders	%	14.3%	49.0%	30.6%	6.1%	2.28
Communication is clear and easy to understand.	%	20.5%	36.4%	34.1%	9.1%	2.31
Ability of publishing and disseminating reports/ communication on lessons learned using paper and electronic media including webpage	%	32.7%	46.9%	16.3%	4.1%	1.91
Capacity to demonstrate outcomes with numbers, data, and stories about how the organization made a difference	%	28.6%	38.8%	26.5%	6.1%	2.10

From several salient stakeholders who have participated in a series of interviews and focus group discussions, it was possible to learn that the commission has regular transmissions through ESTV and FM Radio in the region aimed at raising community awareness on consequences of corruption through the use of drama and music. Nevertheless, the commission has not organized its own publication in the form of magazine or bulletin for external communication, but it has a column on the regional magazine to communicate to the public. For internal communication, since offices are mostly shared ones, staffs can have informal discussions on any issues related to the commission. Posting notices is the other way of communicating staff.

6.4.9. Monitoring and Evaluation Capacity

Monitoring and evaluation of the organization's internal work is another key capacity needed by ethics and anti-corruption commissions. The monitoring and evaluation system should track performance against three types of indicators; viz., output indicators, outcome indicators, and efficiency and productivity indicators. According to the data organized in Table 6.26 below, six indicators were used to assess the monitoring and evaluation capacity of the Somali REACC. REACC's staff rated the existing organizational assets of monitoring and evaluation capacity as emerging, where there is an initiative to build the capacity but much external support is needed to strengthen it. As clearly documented in the last two items in the same table, both monitoring and evaluation results hardly influence performances.

Table 5.26: Monitoring and Evaluation Capacity (REACC Staff and ethics liaison officers) N=59

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
The organization has M&E system in place with sets of qualitative and quantitative indicators and processes for program performance monitoring and modification	%	22.4%	44.9%	24.5%	8.2	2.18
Level of monitoring organization's performance against the set standards & benchmarks	%	10.2%	59.2%	22.4%	8.2%	2.28
Results are assessed against plan	%	12.2%	56.1%	24.4%	7.3%	2.26
The organization has a data collection plan that includes: tools and strategies for collecting data, the people responsible for data collection, collection frequency, and data storage procedures.	%	18.4%	61.2%	16.3%	4.1%	2.06
Monitoring results influence implementation	%	22.2%	53.3%	20.0%	4.4%	2.06
Evaluation results help make the case for continued and additional support	%	19.1%	55.3%	19.1%	6.4%	2.12

6.4.10. Cross Cutting Issues

Among the issues that a capacity assessment should pay attention to include in its missions whether the organization has a strategy on key cross-cutting issues. REACC staff and ethics officers from public organizations indicated that attention paid to cross-cutting issues by the Somali REACC is at the nascent level (see Table 6.27). This suggests that the capacity is almost non-existent and needs very immediate attention. For instance, the absence of organizational capacity for the mainstreamed HIV/AIDS issues is one example.

Table 5.27: Cross Cutting Issues on some aspects (REACC Staff and ethics liaison officers) N=59

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of gender mainstreaming manual	%	24.4%	46.7%	20.0%	8.9%	2.13
Staffs' awareness of	%	24.4%	53.3%	20.0%	2.2%	2.00

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
gender issues						
The organization has mainstreamed HIV/AIDS issues	%	40.0%	33.3%	15.6%	11.1%	1.97
The organization has work place HIV program in-place	%	40.0%	26.7%	22.2%	11.1%	2.04
Staffs' awareness of environmental issues	%	28.9%	37.8%	22.2%	11.1%	2.15

6.5. The Individual Level Capacity Assessment

Human resource (both technical and support staff) is the most precious resource without whom any organisations cannot function properly. As any human-intensive organization, the Somali REACC is required to have reasonable individuals (in terms of volume, professional mix, and quality) for effectively discharging its duties and responsibilities. This individual level capacity, which refers to the skills, experience and knowledge that are vested in people and reflected as staff profile is extremely important due to the high level of expertise that the commission requires. The individual level capacity has been assessed against the volume, knowledge and the skills needed, necessary and appropriate for fulfilling particular roles (core and support) of the commission in its mandate.

6.5.1. The Commission's Staff Volume and Composition

The Somali REACC had 26technical and 26support staff during the data collection (see Table 6.28 below) in order to deal with the ethics and anti-corruption related issues of the second largest regional state of Ethiopia. In this capacity assessment assignment, the staffs were categorized into three separate groups; viz., technical staff in charges of the core mission of the organization, managerial staff, and support staff.

Table 6.28: Key staff by education level and specialization

Core/support process	# of Staff required	Currently Available at the REACC	Education Level and Area of specialization
Office of the Commissioner	9	3	MBA, Degree(Accounting) &Grade, 12, 10, 10
Office of the Deputy Commissioner	1		
Corruption prevention Core Process	75	4	Accounting & Finance
Ethics Education and Training Core Process	33	8	Masters, Degree, Diploma(Agro-Net, Communication)
Corruption investigation and prosecution Core Process	51	11	LLM, LLB, Diploma Law
Public Relations and ICT	5	4	Degree(Communication), Grade

Core/support process	# of Staff required	Currently Available at the REACC	Education Level and Area of specialization
Support Process			12
Human Resource Support Process	3	3	Degree(Management, HR, NRM)
Plan and budget Support Process	23	6	Degree(Accounting & Finance), Management, Diploma ICT, Grade12
Internal Audit and follow up support process	1	1	Degree Accounting
Guard	4	4	Grade12, 10, 8,& 4
Janitors	4	4	Grade 4 th
Other departments, please specify below:			
Archive	4	1	12
Drivers	5	2	Grade 10 th
Greener	2	1	Grade 4
Total	220	52	

The results of data analysis show that the availability of sufficient staff in the above mentioned three categories of staff falls between nascent and emerging(but close to emerging) as documented in Table 6.29 below. This is to say that there is an initiative to attract and retain staff to build the REACC capacity but much external support is needed to strengthen it further. Much capacity limitations were reported on staff working on technical areas like providing ethical education (mean=1.91), conducting investigation (mean=1.93), and planned to carry out asset registration and disclosure (mean=1.93).

Table5.29: Staff Level Capacity (REACC Staff and ethics liaison officers) N=59

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
Availability of sufficient staff who are able to fully and independently provide ethical education	%	36.7%	42.9%	12.2%	8.2%	1.91
Availability of sufficient investigation staff who are able to fully and independently conduct investigation on any corruption suspects	%	26.5%	57.1%	10.2%	6.1%	1.95
Availability of sufficient prevention staff that is able to fully and independently undertaken prevention activities.	%	26.5%	53.1%	14.3%	6.1%	2.00
Availability of sufficient investigation staff who are able to fully and	%	28.6%	55.1%	10.2%	6.1%	1.93

Variable	Data	Nascent (1)	Emerging (2)	Expanding (3)	Mature (4)	Mean
independently conduct investigation on any corruption offences						
Availability of sufficient prosecution staff who are able to fully and independently conduct prosecution of corruption offenses	%	22.9%	54.2%	18.8%	4.2%	2.04
Availability of sufficient staff who are able to fully and independently undertake and organize asset registration & disclosure activities	%	31.3%	50.0%	12.5%	6.3%	1.93
Availability of sufficient staff who are able to fully and independently coordinate and move the public at large against corruption	%	29.2%	47.9%	16.7%	6.3%	2.00
Availability of sufficient managerial staff who are able to run the day to day activities of the organization	%	22.9%	54.2%	18.8%	4.2%	2.04
Availability of sufficient support staff who are able to provide all support for technical staff	%	21.3%	61.7%	12.8%	4.3%	2.00

One of the issues repeatedly raised during a series of interviews and various focus group discussions with diverse salient stakeholders was shortage of human resource at the REACC. During the interview with the Head of the ESRS Council Office, the staff level capacity limitation of the REACC was very obvious. The head was quoted as saying:

I don't think the REACC capacity is up to expected level compared to what they are legally mandated to accomplish in our region. The office needs to be reorganized and strengthened further. Arranging capacity building platforms for the REACC staff members should be priority.

Similarly, the Public Relation head of the ESRS BOFEC reported serious shortage of experts at the commission. This was echoed by Finance and Performance Audit Director of Audit Bureau of ESRS as saying:

Political commitment to fight corruption is not a challenge in our region, but political commitment alone is not a guarantee for the fight against corruption; the REACC has to be strengthened in various aspects like human resource and budget. Capacity and capability of the human resource is a limitation.

With regard to shortage of support staff of the commission, it seems sufficient to present the case of finance support process. According to the process owner, the department is in charge of undertaking finance, logistics, planning and evaluation. However, it had only 7 members during the data

collection of whom 4 are assigned to finance (cashier, accountant 1, accountant officer and case team), 1 procurement expert, and 1 planning expert. Those staffs were, by any measure, not enough to undertake activities of the sub process.

6.5.2. Technical Staff Capacity Assessment

In addition to shortage of technical staff discussed above, lack of skills and the experiences were repeatedly raised by both internal and external stakeholders of the commission as one of the most serious challenges at the Somali REACC. Although this is partly explained by lack of quality of higher education in the country, the commission was not able to improve the skills and knowledge of its staff through induction trainings, refreshment trainings, and on job training as immediately as possible. As indicated in Table 6.30, the skills of prevention and ethic education staff on the identified thirteen areas were found to be low across the board.

Table 6.30: Skill of prevention and ethics education staff on some areas (REACC Staff and ethics liaison officers) N=59

Variable	Data	Not at all (0)	Low (1)	Medium (2)	Mean
Training people	%	-	40.0%	60.0%	1.6
Educating people	%	-	60.0%	40.0%	1.4
Public speaking	%	-	60.0%	40.0%	1.4
Developing modules	%	20.0%	40.0%	40.0%	1.2
Writing public materials	%	25.0%	50.0%	25.0%	1.0
Writing training materials	%	20.0%	60.0%	20.0%	1.0
Mentoring and coaching	%	20.0%	80.0%	-	0.8
Developing codes of conduct	%	20.0%	60.0%	20.0%	1.0
Drafting laws	%	-	100.0%	-	1.0
Undertaking research	%	20.0%	60.0%	20.0%	1.0
Designing communication strategies	%	-	60.0%	40.0%	1.4
Writing reports	%	-	40.0%	60.0%	1.6
Reviewing asset declarations	%	60.0%	40.0%		0.4

REACC staff were also asked to rate the experience of prevention and ethic education staff using eleven indicators detailed in Table 6.31 below. Findings revealed that the experiences of staff on the said aspects were generally low. It is safe to conclude that while there is some capacity of developing regional ethic and anti-corruption strategies and action plans, the experience on gift policies and asset declarations is almost non-existent and needs very immediate attention.

Table 6.31: Experience of prevention and ethics education staff on some areas (REACC Staff and ethics liaison officers) N=59

Variable	Data	Not at all (0)	Low (1)	Medium (2)	Mean
Capacity to develop regional ethic and anti-corruption strategies	%	-	-	100.0%	2.0
Capacity to develop anti-corruption action	%	-	-	100.0%	2.0

Variable	Data	Not at all (0)	Low (1)	Medium (2)	Mean
plans					
Monitoring the implementation of anti-corruption policies	%	-	75.0%	25.0%	1.25
Capacity to evaluate the effectiveness of anti-corruption policies	%	-	50.0%	50.0%	1.5
Reviewing legislation, regulations and procedures	%	-	75.0%	25.0%	1.25
Proposing new or revised legislation, regulations and procedures	%	-	50.0%	50.0%	1.5
Disseminating knowledge on corruption and anti-corruption	%	-	85.7%	14.3%	1.1429
Communication	%	28.6%	28.6%	42.9%	1.1429
Knowledge sharing	%	14.3%	71.4%	14.3%	1.0
Gift policies	%	28.6%	71.4%	-	.7143
Asset declarations	%	42.9%	57.1%	-	.5714

As can be in Table 6.32 below, REACC staff were asked to rate their skills on eleven concepts related to corruption and investigation. The results of data analysis indicated that their skills were very low. Concepts like money laundering, investigating electronic devices, intelligence gathering, search and seize, and asset restraint were hardly understood and carried out by the staff.

Table 6.32: Skills/knowledge of investigation and prosecution staff on some concepts (REACC Staff and ethics liaison officers) N=59

Variable	Data	Not at all (0)	Low (1)	Medium (2)	Mean
Determining criminal law points to prove	%	-	66.7%	33.3%	1.3333
Preparing file cases for the prosecutor	%	-	66.7%	33.3 %	1.3333
Interviewing	%	-	100.0%	-	1.0000
Note-taking	%	-	100.0%	-	1.0000
File management	%	-	66.7%	33.3%	1.3333
Document requests to other institutions	%	-	100.0%	-	1.0000
Intelligence gathering	%	33.3%	66.7%	-	.6667
Reading financial statements	%	-	100.0%	-	1.0000
Asset restraint	%	33.3%	66.7%	-	.6667
Dealing with money laundering cases	%	66.7%	33.3%	-	.3333
Search and seize	%	50.0%	50.0%	-	.5000
Access and search electronic devices	%	66.7%	33.3%	-	.3333

Variable	Data	Not at all (0)	Low (1)	Medium (2)	Mean
Surveillance	%		100.0%	-	1.0000
Using informants	%	-	100.0%	-	1.0000
Participating in joint operations with the police	%	-	66.7%	33.3%	1.3333
Protecting evidence integrity	%	-	66.7%	33.3%	1.3333
Investigation report writing	%	-	66.7%	33.3%	1.3333

Table 6.33 below presents fifteen different concepts in order to determine whether the investigation and prosecution staffs are familiar with them or not. Most of the staff members were not familiar with most concepts and needs very immediate attention.

Table 6.33: Familiarity of investigation and prosecution staff on some concepts (REACC Staff and ethics liaison officers) N=59

Variable	Data	Not at all (0)	Low (1)	Medium (2)	Mean
Public sector corruption	%	33.3 %	66.7%	-	.6667
Private sector corruption	%	66.7%	33.3%	-	.3333
Conspiracy	%	100.0%	-	-	.0000
Aiding and abetting offences	%	66.7%	-	33.3%	.6667
Cases involving foreign public officials	%	66.7%	33.3%	-	.3333
Embezzlement/Misappropriation	%	66.7%	33.3%	-	.3333
Improper use of public property	%	-	100.0%	-	1.0000
Misconduct in public office	%	33.3%	66.7%	-	.6667
Trading in influence	%	50.0%	50.0%	-	.5000
Nepotism	%	33.3%	66.7%	-	.6667
Falsification of documents	%	66.7%	-	33.3%	.6667
Anti-money laundering	%	66.7%	33.3%	-	.3333
Restraint and confiscation	%	33.3%	33.3%	33.3%	1.0000
Asset recovery	%	33.3%	33.3%	33.3%	1.0000
Requests for mutual legal assistance	%	-	100.0%	-	1.0000

From the interview with the Somali Region Justice Bureau, prosecutors working for the Bureau believe that the REACC staffs have limited capacity in terms of knowledge, skills and experiences to gather evidences, prepare essential documents and carry out prosecuting activities. Moreover, the respondents from FEACC indicated that the Somali REACC was not able to form an intelligence and surveillance team.

6.6. Non-human resources

The presence of adequate nonhuman resources is one of the critical factors of the operations of ethics and anti-corruption commissions in any countries. Specifically, those nonhuman resources like

monetary, physical, and information (ICT) and social legitimacy are essential for any ethics and anti-corruption commissions to discharge its dues and responsibilities. The results of data analysis show that the Somali REACC has shortage of nonhuman resources that substantially hamper its effectiveness against fighting corruption. Data collected through observation revealed that the capacity limitations include:

- Inadequate office space for all the staff members of REACC: the available small office was rented one, and has shared offices. It was not well-furnished and attractive offices compared to other government offices. Nor are well-furnished and equipped meeting rooms for internal stakeholders and other external stakeholders who can mandated to perform specific functions, which may be closely related to its mandate and upon which the effectiveness of the commission may depend. There are no any recreational services (like cafeteria) for the staff who pursue a difficult job sometimes with risks to personal security. Nor are separate secret or waiting rooms for the whistle-blowers. Nor are offices along with archives for confidential documents restricted to entry of authorized personnel.
- Shortage of office equipment like laptops, computers and printers including internet services for the entire staff of the commission. These basic facilities are understood as luxury items for some staff working on key positions. For instance, the ESREACC has no internet service, except at its Finance department and the Commissioner office. There is also a need to strengthen the commission by availing heavy-duty printer/copier machines and laptops.
- Shortage of vehicles and motor vehicles for covering vast part of the region: only 3 vehicles (one is not working, one is for the Commissioner, and 1 for Corruption Prevention Directorate), and four motor bicycles are available. Visiting woredas and Kebeles (including hard to reach areas) of the second largest regional state of Ethiopia was practically impossible. Sadly, it is very risky business or bear's vulnerability to take public transport services due to the nature of the job sometimes with risks to personal security. Thus, in addition to budget scarcity, the above mentioned shortage of vehicles is at the heart of the discussion for not covering the entire kebeles within the region.
- Inadequate investigation equipment: shortage of digital camera, and sound recorders. Discussants from the Corruption investigation and prosecution directorate indicated that their department was not equipped with a state of art technology to discharge their duty. As there were no adequate voice recorders, they have been using their personal mobile phones to organize some necessary sound testimonies that often end up with poor quality of records.
- There was no adequate library and/or resource centre including sufficient stories. Although the Somali REACC has sufficient security services and accessible premise for people with special needs, the organization did not exploit its locational opportunity by posting its mission, vision, and core values in the compound as well as in the rooms/offices.
- Shortage of budget: Shortage of financial resources is the mother of the above mentioned challenges. There are critical budget limitation from governmental treasury and external sources. For instance, the REACC has stopped gathering information from whistle-blowers using a free line phone/toll free line due to budget constraint. Limited support from external sources exacerbated the problem. For example, very recently REACC requested World Bank for 3 Million ETB to train individuals who are involved in fighting corruption at woreda level,

but it was granted only with 170,000 ETB. Wherever there are financial resources, limited capacity in procurement specification writing is another capacity limitation.

6.7. Critical Capacity gaps

This study has identified gaps that hamper the effort of the ESRSEACC in fighting corruption. The following capacity critical gaps at the three entry points were identified:

6.7.1. Enabling environment

- The effort of organizing ethics infrastructure by the REACC is at infant stage, and collaboration with its stakeholders was noted to be very weak except with local Medias available in the regional state. The REACC has not signed, so far, MOU with any public organization in the regional state.
- One of the major bottlenecks faced in the past is grave shortage of budget.

6.7.2. The organizational capacity gaps

- Critical gap was also observed at the Commission in terms of non-human resources like shortage of vehicles and motor-bicycles.
- Lack of well-defined organizational structure at lower levels like zone, woreda and city administration is another critical gap that has an impact on the Commission's success.
- Shortages of office space and corruption investigation facilities like Internet service, laptop, digital camera, sound recorder, etc. were also raised as other major challenges of the REACC to perform what is expected of it at optimal level. Discussants from the Corruption investigation and prosecution directorate indicated that their department is not equipped with state of art technologies to discharge their duty, they have only one digital camera. They need voice recorder, currently they are using their personal mobile phones to organize some necessary sound testimonies.

6.7.3. The individual level capacity gaps

- Shortage of human resources in terms of volume and professional mix to operate in an extensive region.

6.8. Major priority Areas for Improving REACC Capacity

In the previous sections, an attempt was made to carry out the capacity assessment of Somali Regional Ethics and Anti-Corruption Commission through three distinct but inter-connected levels or entry points for capacity development; viz., the enabling environment, organizational level, and the individual level. The aim of this capacity assessment is to identify capacity gaps and address priority needs that would emerge from the capacity assessment. The participants of the research were asked to prioritize the major priority areas for improving the Somali REACC capacity assessment. The results of data analysis revealed that the following capacity priority areas have been identified in Table 6.34 below. The capacity priority areas focus on the individual level capacity (specifically capacity building trainings for prevention, ethics education and prosecution staff) and the organizational capacity level (related to human resource and financial manuals and capacity building trainings) as indicated in Items 1 to 5 in Table 6.34.

Table 6.34: Capacity Priority Areas

Variable	Mean	Rank order
Capacity building training for prevention staff	2.2500	1
Capacity building training for ethic education staff	3.0270	2
Capacity building training for prosecution staff	3.9231	3
Develop Human Resource Manual and provide Training	3.9583	4
Develop Financial Management Manual and provide Training	4.0556	5
Strengthening staff development and knowledge management capacity	4.4286	6
Strengthen report writing skills	4.4667	7
Develop Procurement Procedure Manual and provide Training	4.5000	8
Training on Lobbying and Advocacy	4.5000	9
Training on IE/BCC for ethics education	4.5000	10
Training on leadership and good governance	4.5333	11
Training on Resource mobilization and Grant Solicitation	4.5455	12
Training on community mobilization and social inclusion to fight corruption	4.5833	13
Training on the registration of the assets	5.0833	14
Develop M&E Plan and Provide training	5.1071	15
Develop Investigation and prevention hand-outs and provide training	5.2000	16
Training on how to draft law, regulation or directives	5.2273	17
Training on teamwork and facilitation skills	5.3333	18
Facilitate Networking and partnership	5.3636	19
Training on report writing and documentation	5.4167	20
Developing management manual	5.5789	21
Develop Strategic Plan Management Document and Provide training	5.6250	22
Training on Gender Mainstreaming and budgeting	5.7778	23

6.9. Major Findings, Conclusions and Recommendations

Corruption occurs in all parts of the world including Ethiopia. There is no question about the negative impacts of corruption. Economically, it distorts economic systems by significantly deterring the development of markets, increasing uncertainty, discouraging investment, increasing costs, and reducing competitiveness. Corruption generally weakens the institutional foundations on which economic growth depends. Socially, corruption implies discrimination, injustice and disrespect for human dignity that cause social disintegration. Politically, corruption undermines the rule of law, endangers the stability of democratic institutions, discriminates in the delivery of government services and thus violates the rights of the people, and the poor in particular. The prevalence of corruption reflects a democracy, human rights and governance deficit that negatively impacts on poverty and human security of every nation. Combating corruption is one of the critical agenda of the Ethiopian government for realizing the vision of the country becoming a middle-income country by 2025. Accordingly, all the nine regional states have established their own Ethics and Anti-Corruption Commissions. The Ethiopian Somali region state has also legally established its own Regional Ethics and Anti-Corruption Commission (REACC) in 2011/12. Since its establishments, the REACC has

registered significant results in fighting corruption (FEACC, 2015/2016). It has achieved remarkable results in educating, preventing, investigating and prosecuting corruption.

However, a comprehensive attack on corruption remains a challenge in the Somali Regional State as it is also the case for other emerging regional states. The Ethiopian Government in collaboration with World Bank has initiated a capacity assessment for the Somali Regional State Ethics and Anti-Corruption Commission in order to undertake research-based capacity development interventions. The assessment process is expected to explicitly indicate key capacity gaps in the commission for undertaking targeted capacity development programmes. To that end, primary data was collected from the Commission's internal and external stakeholders using multiple data collection instruments; viz., standard questionnaire, Key Informant Interview (KII), Focus Group Discussion (FGD) and direct observation. Data were analysed using quantitative and qualitative analytical tools. Quantitative data were analysed using descriptive and inferential statistics with the help of SPSS while qualitative data were analysed using content and interpretive analyses. In the end, the analytical results of the two have been merged together in order to produce a triangulated comprehensive evaluation report. Having critically analysed the results of data analysis, the following major findings were documented:

6.9.1. Major Findings

- The political will/commitment to fight corruption was rated as medium and high by the majority (a third) of the participants. This political will has been demonstrated by the legal establishment of the commission, allocating budget, structuring, and staffing it.
- Almost all respondents (94%) from the Somali REACC staff and the regional council members rated the adequacy of the legal framework under which REACC operates to fight corruption. In this regard, the majority (41.2% and 58.8%) of the respondents rated the commission's autonomy as medium and high, respectively. Although budget allocation for the commission has been increasing from year to year in the last five years, the allocated budget was reported as inadequate to carry out the activities of the commission in wide scope.
- The results of data analysis show that the commission was hardly established good institutional framework and coordination mechanisms in order to tackle corruption. In this regard, the commission has not signed any MOU with its salient stakeholders as part of forming strategic alliances and there are no formal structure with which it exchanges ideas and working in close collaboration except meeting with FEACC.
- Based on its mandate, the Somali REACC has developed a vision and a mission, codified through succinct statements for setting its institutional identity, for motivating staff and creating a sense of purpose. The commission has an active five year strategic plan (2008-2012), which was prepared in collaboration with salient stakeholders. It is claimed that the Somali regional state has adequate capacity for planning and reviewing their strategic plans.
- The results of data analysis show that the commission in collaboration with its stakeholders has been trying to build the executive leadership capacity but much external support from diverse stakeholders is needed to further strengthen the existing capacity assets through tailored-made training and exposure visits. All respondents revealed that the absence of Ethics and Anti-corruption offices at the Zones and Woredas within this vast Somali region (93 woredas and 6 city administrations), however, causes a serious of capacity gaps to realize organizational mission and fight corruption.

- The commission's capacity in terms of creating clear policy and procedural manual for giving ethics education, forming strategic partnerships with media, and in-house capacity for producing brochures and flyers falls between nascent and emerging. Similarly, the REACC's capacity for corruption prevention, investigation and prosecution of corruption was found to be close to emerging and much external support is needed to strengthen it. However, the level of capacity and readiness to register or cause the registration of the assets and financial interests of public officials and other public employees was found to be nascent (almost non-existent and needs very immediate attention before engaging into the actual task).
- With regard to human resource management capacity, the commission's hiring process in terms of openness, competitiveness and efficiency, performance management and incentive system were rated as emerging. The capacity to provide induction training and continuously mentoring new and junior staff is, however, almost non-existent (nascent) and needs very immediate attention.
- The results of data analysis show that the capacity for planning and budgeting, finance utilization and management, and financial reporting was positioned between emerging and expanding levels (but skewed towards emerging). Similarly, the results of data analysis show that the capacity for procurement, supplies and inventory management was close to emerging. That is to mean, the overall financial and procurement system requires external support to strengthen it.
- The results of data analysis reveal that the capacity of knowledge and information management is almost *nascent* or very infant and needs very immediate attention. The data gathered through a series of interviews and focus group discussions confirmed the absence of well-organized knowledge information and management system.
- As perceived by the participants of the capacity assessment research, external and internal communication within and outside the commission, and monitoring and evaluation capacity rated the existing organizational assets as emerging, where there is an initiative to build the capacity in the said areas but much external support is needed to strengthen it.
- This individual level capacity, which refers to the skills, experience and knowledge that are vested in people and reflected as staff profile falls between nascent and emerging (but close to emerging). This study clearly showed that the individual level capacity of the technical staff in terms of their knowledge, skills and the experiences as reported by salient stakeholders of the commission was very low.
- This study clearly documented that the commission suffers from inadequate nonhuman resources like monetary, physical, and information (ICT) and social legitimacy, which are essential for any ethics and anti-corruption commissions to discharge its dues and responsibilities. These include: Inadequate office space for all the staff members of REACC, shortage of office equipment like laptops, computers and printers including internet services for the entire staff of the commission. This basic equipment is understood as luxury items for some staff working on key positions. Shortage of vehicles and motor vehicles for covering vast part of the region, inadequate investigation equipment like digital camera, and sound recorders. More importantly, shortage of financial resources is the mother of the above mentioned challenges.
- Major priority areas suggested for improving REACC capacity include the individual level capacity development (specifically capacity building trainings for prevention, ethic education

and prosecution staff) and the organizational capacity level (related to human resource and financial manuals and capacity building trainings).

6.9.2. Conclusions

This capacity assessment analysed the current capacities of the Somali Regional Ethics and Anti-Corruption Commission against desired future capacities. As has been in section 6.1 above, the assessment generated an understanding of capacity assets and needs of the commission which in turn leads to the formulation of capacity development strategies and action plan. The capacity gaps are observed at all capacity development levels/entry points. This is attributed internally to both individual and organizational capacity levels in terms of inadequate human (technical staff knowledge, skills and experiences), nonhuman resources (financial resources, own building, office furniture and equipment, vehicles, ICT infrastructures, etc.) and weak financial management system, HRM, M&E, and knowledge management system; and externally to institutional framework and coordination mechanisms. One of the grave capacity gaps related to structure is absence of the Commission's affiliated branch offices at the Zones and Woredas. There is no also unit in charge of asset registration and disclosure. Moreover, inadequate capacity of mobilizing diverse salient stakeholders (namely state institutions, civil society, private sector and others) towards fighting corruption is increasingly becoming serious capacity gaps.

6.9.3. Recommendations

This capacity assessment clearly indicated that the gaps between capacity assets and needs at the Somali Regional State Ethics and Anti-Corruption Commission have been explained by a multitude of interrelated factors in both the internal and external environments. This implies that there is a need for improvement in both the internal and external environments of the commission to bring positive changes in current ethics and anti-corruption practices. Based on the major findings, the following recommendations have been forwarded:

- The Somali regional state is advised to allocate sufficient budget to the commission in order to carry out the activities.
- As disseminating ethics education and fighting corruption is not the sole responsibility of a single commission, there is a need for mobilizing as many key stakeholders as possible. As a consequence, the main functions include the common feature of requiring considerable coordination among different stakeholders like government departments, independent oversight agencies, the legislative, as well as non-state actors-civil society, NGOs and the private sector. In this regard, the commission has to sign MOUs with its salient stakeholders as part of forming strategic alliances.
- Structurally, the Somali REACC is advised to establish a dedicated structure like coordination office that makes the much needed link between internal activities and the outside world (particularly stakeholders) by highlighting opportunities for collaboration. Additionally, it is suggested that the Commission may establish very efficient and slim offices at the Woreda level and Zones as the case may be. There is an urgent need to establish an asset registration and disclosure directorate. Equally, an intelligence and surveillance team should be formed at the Commission.

- With regard to organizational level capacity development, the existing systems, work procedures & internal rules shall be continuously improved and refined in the light of mission accomplishment, efficiency, cost containment, service quality and access, and effectiveness.
- Disseminating ethics education and fighting corruption depends on knowledge embedded in people (mainly technical staff as well as other non-human inputs such as technologies, there is an urgent need for developing individual capacities. Major priority areas suggested for improving REACC capacity include the individual level capacity development (specifically capacity building trainings for prevention, ethic education and prosecution staff) and some exposure visits in-country and abroad. In very special cases and specific purposes, secondment from FEACC or any sister REACC has proven to be effective in many cases, provided that the same conditions and safeguards apply to seconded personnel as they do to regular staff. There should also be a leadership and management capacity building training for the executive leadership. For sustaining such training, FEACC is advised to establish its own training centre in collaboration with Ethiopian universities.
- Urgent measures should be taken for improving the commission's non-human resources that include fairly comfortable office space for all the staff members, office equipment like laptops, computers and printers including internet services for the entire staff of the commission. There is a need for having more vehicles and motorcycles (be used in pool) for covering vast part of the region. Very urgent action should be taken to avail investigation equipment like digital camera, and sound recorders.

CHAPTER SEVEN: COMPARATIVE ANALYSIS OF ORGANIZATIONAL CAPACITY LEVELS

7.1. Introduction

In Chapters 4-6, we have analysed data on capacity assessment at three Regional Ethics and Anti-Corruption Commissions (REACCs) in three developing regional states; viz., Afar, Gambella, and Somali. The results showed that each REACC has a complex organisational story in terms of its capacity, which has been influenced by the contextual peculiarities of a commission and unique features of its organisational elements. This chapter presents a comparative analysis of the similarities and differences among the three ethics and anti-corruption commissions based on the research model depicted Fig 3.1 and the operationalisation of the key variables in Tables 3.1, 3.2, and 3.3 in Chapter 3. This chapter focuses on four main issues. First, we provide a synthesis and analysis of the similarities and differences in the enabling environments in terms of institutional framework, power structure and influence of the three commissions. Second, we compare and contrast unique features of the organisational level capacity assessment by emphasizing on system, procedures, and internal rules of the three commissions. Third, we present individual staff level capacity by focusing on staff's experiences, knowledge and technical skills. Finally, we draw conclusions based on the findings and forward recommendations that outline possible strategies for addressing the critical gaps of the Commissions under study.

From the onset, the existing capacity assets ratings of the commissions along with the meaning attached to each one of them in the two types of questionnaires (see Annex 1 and 2) are indicated as follows:

- **Nascent (1)**– the capacity is almost non-existent and needs very immediate attention,
- **Emerging (2)**– there is an initiative to build the capacity but much external support is needed to strengthen it,
- **Expanding (3)** –the organization has demonstrated the capacity to fill its gaps but it requires some level of external support, and
- **Matured (4)** – the capacity is fully developed and, hence, does not require any external support.

Moreover, on the basis of the urgency of the need, the priority of capacity development needs (CDS) have been rated as **high (3)**, **medium (2)** or **low (1)**.

7.2. The Enabling environments of the Afar, Gambella, and Somali REACCs: similarities and differences

It is well known that any commission cannot win the fight against corruption alone and the effectiveness of the commission is also dependent on its enabling environment. As has been operationalized in Table 3.1 in Chapter 3, the enabling environment is understood as the social, economic, and political context and the regional/national policies, institutional arrangements, the legislative framework and the accountability mechanisms, within which the commission operates. This capacity assessment has analysed the extent to which the enabling environment of each commission is appropriate and sufficient (or conducive) for the functions that the commission is

mandated to perform. The ultimate goal of this section is to investigate the extent to which the environments of the case study commissions influence their performances.

7.2.1. Political Will to Fight Corruption

As discussed in Chapter 3 (see Table 3.1), one of the variables of the enabling environment is the political commitment to fight corruption. The political situation, particularly the political will of the federal and regional governments for fighting corruption is an important parameter to determine the effectiveness of all ethics and anti-corruption commissions in Ethiopia. The analysis of the three commissions in Chapters 4-6 showed that political will to fight corruption positively influenced their performance capacity. Giving legal mandates and functions, developing workable structure and allocating adequate capital and administrative budget are taken as some of the key manifestations of political commitment across the three regional states. Additional efforts are required to launch asset disclosure and registration of officials in the regional states, strengthening institutional capacity of the Commissions in terms of logistics and adequacy as well as qualification of the human resources of the Commissions as we shall see in Section 6.3 below.

Having known that cultural understanding is also important; traditional kinship, clan, networks, although informal, may hold sway in some societies and traditional practices such as gift giving may not be considered as corruption, an attempt was made to gather the perception of the participants on the relationship between culture and corruption. The results of data analysis revealed that the current cultural contexts of the three commissions generally invite them to play a role in creating a society in which corruption is un-tolerated. Corruption is a sign or an evil activity in Muslim/Christian Society and has no any moral ground or justification across the three regional states. Specifically, Afar's cultural information exchange system (known as 'Dagu') and indigenous social institution ('called Mekaba') are used as platforms to condemn corruption in public and to get adequate information whenever it happens (see Chapter 3 for more information). Many respondents from the three regional states, however, raised their concerns linked to unwavering commitment among members of a given clan. Some corrupt officials investigated by the Commissions may not be prosecuted in court due to influence of their clan leaders to quite cases through negotiation.

7.2.2. Legal Framework

This capacity assessment study argues that it is important for an anti-corruption commission to be clear on its mandate. Assessing the legal framework of the Commission is another focus of the survey. This capacity assessment study revealed that several regulatory tools are used to influence the actions and behaviour of the REACCs. The key regulation tools are: Regulation No 60/2010 for Afar REACC, proclamation number 59/2007 for Gambella REACC and proclamation number 113/2012 for Somali REACC. Following the Hong Kong model, the three commissions are legally mandated to undertake ethics & anticorruption education, corruption prevention, investigation & Prosecution, and asset registration and disclosure. As rated by almost all members of the three regional councils, the existing legal framework is adequate for carrying out the mandates given to the organization by law (Item Ain Fig.7.1 below). However, absence of regulations, directives, and manuals for the implementation of the above mentioned proclamations was found to be some of the gaps related to the legal frameworks.

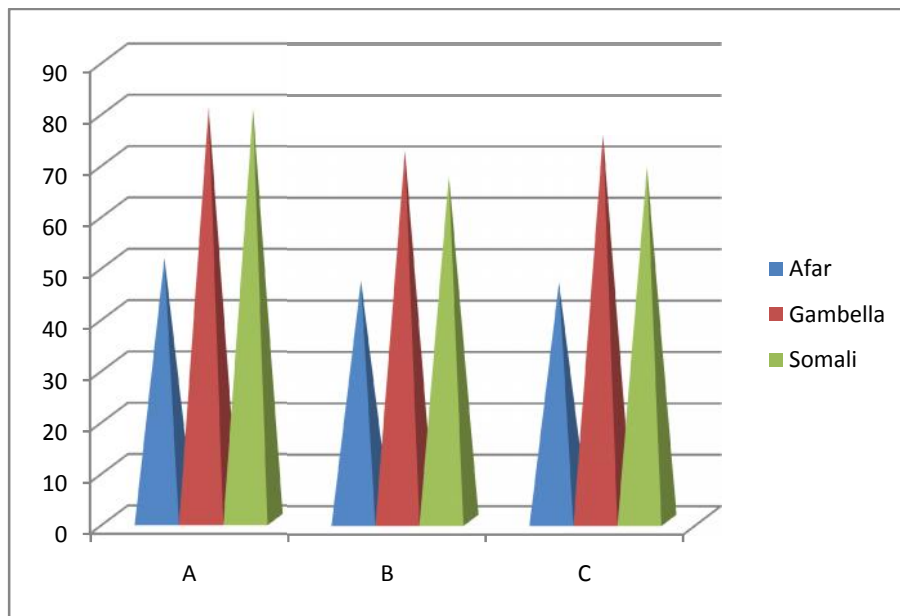


Figure 7.1: Legal framework as perceived by Regional Council

A= Adequacy of legal framework to fight corruption

B= Overlapping of mandates between REACC and other organizations such as regional justice office or police commission, causing confusion

C= Level of legal provisions facilitating the detection and investigation of corruption

7.2.3. The Commissions' Autonomy

Although organizational autonomy is part and parcel of the legal framework of any organization, it is separately discussed as follows. It is argued that any government (be it national or regional) shall grant the Ethics and Anti-corruption Commission the necessary independence to carry out its functions effectively and free from any undue influence. The three commissions are autonomous organizations established by their respective Regional Governments and are accountable to the Regional Presidents. In this capacity assessment research, we considered four dimensions of autonomy (viz., functional independence, finance, staffing, access to information, and internal governance) to explore the link between performance and the degree of organisational autonomy, based on the perceptions of the interviewees and documentary evidence. The empirical findings are presented in Fig.7.2 below. Afar REACC has limited autonomy in the four dimensions compared to Gambella and Somali REACCs. The amount of budget allocated to the three commissions were rated as *low* (see Item Bin Fig.7.2) across the board that have the most direct impact on institutional capacity.

From documentary evidences, for example, it was possible to learn that the annual budget of the Afar REACC for the last 6 years remains the same: 280,000 Birr per year. It simply promotes a notion of funding the commission at a constant level regardless the amount of requested budget.

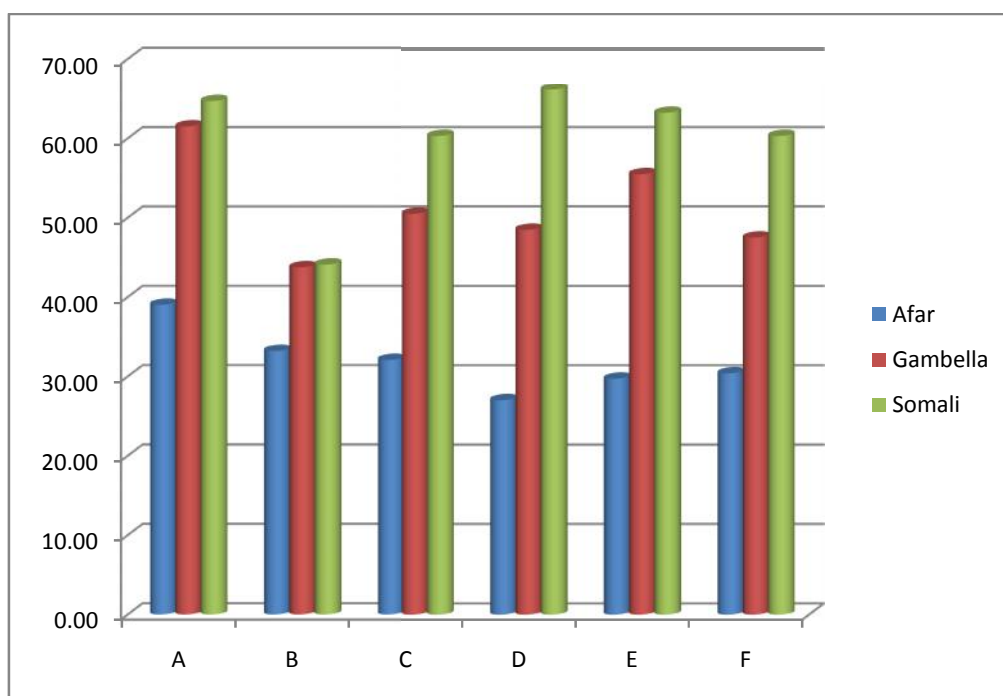


Figure7.2: Organizational autonomy by Regional Council

A= Organizational autonomy (empowerment) for the REACC,

B= Adequacy of budget allocation to REACC

C= Freedom of using finance as the organization sees fit

D= Freedom of organization (internal reorganization or establishing new units)

E= Freedom of the right staffing (hiring and motivating appropriately)

F= Access to information including government data

7.2.4. Institutional arrangements and coordination mechanisms

Fighting corruption requires more than one single Regional Ethics and Anti-Corruption Commission. The duties and responsibilities for REACC on ethics education, preventive measures, investigation, prosecution and asset registration and disclosure clearly demonstrate that tackling corruption requires the support and engagement of many institutions or stakeholders. The assessment has tried to figure out the institutional arrangements and coordination mechanisms existing between the Commissions and their stakeholders. The laws clearly stipulate the necessity of proper coordination and institutional coordination mechanisms in fighting corruption and promoting anti-corruption efforts. The commissions are legally empowered to investigate cases of corruption in different public bureaus; lead corruption investigation processes, ethics education and training, and establish Anti-Corruption Officers in each Bureau.

As clearly indicated in Item 1 of Table 7.1 below, the existence system to coordinate the activities of major stakeholders in the fight against corruption across the three REACCs was close to emerging. This is to say that there is an initiative to build strong system of coordination, but much external support is needed to strengthen it. Although not very significant capacity variations in creating the coordination system, Afar REACC outperformed the Gambella and Somali commissions. The establishment of system of coordination between each of the seven salient stakeholders listed in Table 7.1 and each of the commission was also close to emerging.

Table7.1: System and procedures for coordinating Ethics Infrastructure (REACC Staff and ethics liaison officers)

Variables	Mean (on a 4-pt scale)		
	Afar	Gambella	Somali
Availability of strong system/ joint forum/coalition to coordinate the activities of major stakeholders in the fight against corruption	2.0893	1.7755	2.08
Established system of collaboration with FEACC or other regional ethics and anti-corruption commissions in the fight against corruption	2.3571	1.7708	2.16
Established system of collaboration with Ethics liaison offices in regional offices in the fight against corruption	1.8909	1.8367	2.14
Established system of collaboration with public offices (e.g.; police, prosecutorial bodies, courts, ombudsman and human rights agencies, auditor generals, parliaments, etc.) in charge of investigating and prosecuting crimes	2.2143	1.7143	1.97
Established system of collaboration with ethics and civics education clubs in schools	2.2679	1.7083	1.89
Established system of collaboration with civil society organizations in the region in the fight against corruption	1.9643	1.6122	2.00
Established system of collaboration with professional associations in the fight against corruption	1.9455	1.5714	2.04
Established system of collaboration with media and religious organizations in the fight against corruption	1.9464	1.5000	2.06

From documentary evidences (e.g. FEACC, 2015/16 report) and data obtained through a series of interviews and focus group discussions with diverse participants from the three regional states, it was possible to learn that the three REACCs have established ethics coordination offices in all public organizations, ethics and anti-corruption clubs in all educational institutions, and anti-corruption coalitions with different actors like women and youth leagues. In this regard, there is now biannual consultative meeting organized by FEACC in addition to various capacity building trainings and other technical assistances offered by FEACC. Furthermore, there are region-specific good practices. As part of forming strategic alliances, for example, the Afar REACC has established a chartered Anti-corruption Council with the Clan Leaders. Each clan leader of the Region is now fully recognized as an ambassador to fight corruption. In Gambella, there have been very strong coordination mechanisms with regional judiciary bodies (police, justice and Attorney General) especially in investigation and prosecution of corruption offences. In Somali, some of the key infrastructures include: sector specific infrastructures (i.e., development sector, justice sector, and finance sector), ethics coordination offices in all public organizations, ethics and anti-corruption councils at each Zone, ethics and anti-corruption clubs in all educational institutions, and anti-corruption coalition with different actors like religious leaders. The above mentioned ethics infrastructures need to be further strengthened in order to operate effectively and efficiently.

Further analysis was undertaken on the institutional arrangement and coordination mechanisms to understand the actual stakeholder engagement system and structure for fighting corruption. The results of data analysis showed that it was rated as emerging across the three REACCs in all the fourteen indicators listed down in Table 7.2 below. From the said table, it is clear that the Afar REACC outperformed the other commissions. One of the challenges in this regard is absence clearly or infantry defined stakeholders' engagement strategy across the three REACCs.

Table 7.2: Institutional Arrangements and Coordination Mechanisms (REACC staff and ethics liaison officers)

Variable	Mean (on a 4-pt scale)		
	Afar	Gambella	Somali
Availability of clearly defined stakeholders' engagement strategy	2.0182	1.7347	1.94
Availability of a well-defined stakeholder base	2.1071	1.7000	2.08
Communication between the regional government and leadership reflects mutual respect, appreciation for roles and responsibilities, shared commitment, and valuing of collective wisdom	2.1636	1.9800	2.24
The regional president office engages in efficient discussions and reaches decisions in a timely manner.	2.0357	1.8400	2.16
Experience in involving police or justice system and receive their prompt responses to investigate or prosecute corruption offenses	2.0357	2.0400	2.08
Capacity to conduct periodic review meeting that involves the salient stakeholders	2.0536	1.8800	1.87
Level of organizing joint monitoring and evaluation activities with key stakeholders including beneficiaries	1.9821	1.8400	2.04
Credibility in the eyes of the public to date	2.0000	1.7400	2.04
Level of experience of involving religious organizations/clan leaders in anti-corruption activities	2.1250	1.6735	2.10
Capacity to work collaboratively with all of the key government agencies including police and justice	2.1964	2.1020	1.95
Level of credibility in the eyes of its partner government agencies	2.2679	1.7959	2.02
The Organization has full access to information including government data	2.0714	1.9796	1.97

With varying degrees of success in terms of stakeholder engagement, the three regional ethic and anti-corruption commissions tried to form different relationships management infrastructures. The Afar Ethics and Anti-corruption Commission had signed MOU with Legal and Administrative Standing Committee of the Regional Council, Justice Bureau, Police Commission, Education Bureau and Finance Bureau for strengthening its efforts to fight corruption. The Gambella REACC often receives high level of collaboration and prompts responses whenever it requires support from law enforcing bodies like police or justice system in order to investigate or prosecute corruption offenses. Justice

Bureaus of Afar and Gambella support their respective commissions by allocating additional lawyers for prosecution of corruption cases; Afar's regional government also provides vehicle support and office facilities. As a sign of strong collaboration, the Somali commission has monthly regular briefing session with police, justice, and court bodies to share some information among each other.

All public organizations (from region to kebele) are advised to form own ethics liaison offices, which are closely collaborating with the regional Ethics and Anti-Corruption Commissions. Unlike Afar and Gambella, Ethics liaison unit in each public organization in Somali Region was staffed with five persons. There are also fairly strong partnerships with their respective Education Bureaus to promote ethics education in schools and higher education institutions across the three regions. The partnership between the Afar REACC and Semera University was found to be strong in studying work procedures and systems in public organizations.

7.2.5. Accountability

Having acknowledged that any sort of authority and independence goes side by side with a proportional level of accountability, this capacity assessment research has tried to figure out the reporting relationships between the three Regional Ethics and Anti-Corruption Commissions and their oversight bodies, such as their regional President offices, regional councils, civil society, academia, professional associations, as well as key national authorities including FEACC. To begin with, each commission's establishment proclamation clearly articulated the way the Commission undertakes its activity in a transparent and accountable manner. The Commissions are directly answerable to the regional Presidents. From their strategic plans and annual plans, it was possible to learn that how each commission undertakes its day to day and operational activities as well as medium term strategic focuses in a transparent and accountable manner.

Further analysis was undertaken on reports of the commission as indicated in Table 6.5. The results of data analysis show that three governmental bodies; viz., the Regional President, FEACC, and the regional council bureau were identified as receivers of the REACCs' performance reports. Every three month, each REACC reports to their respective president offices. Twice a year, they report to the FEACC and once in a year to their regional parliaments. The results of data analysis revealed that the quality of the reports as rated by the regional council members who have participated in this study was the lowest for the Afar REACC compared to the Gambella and Somali REACCs (see Fig.7.3).

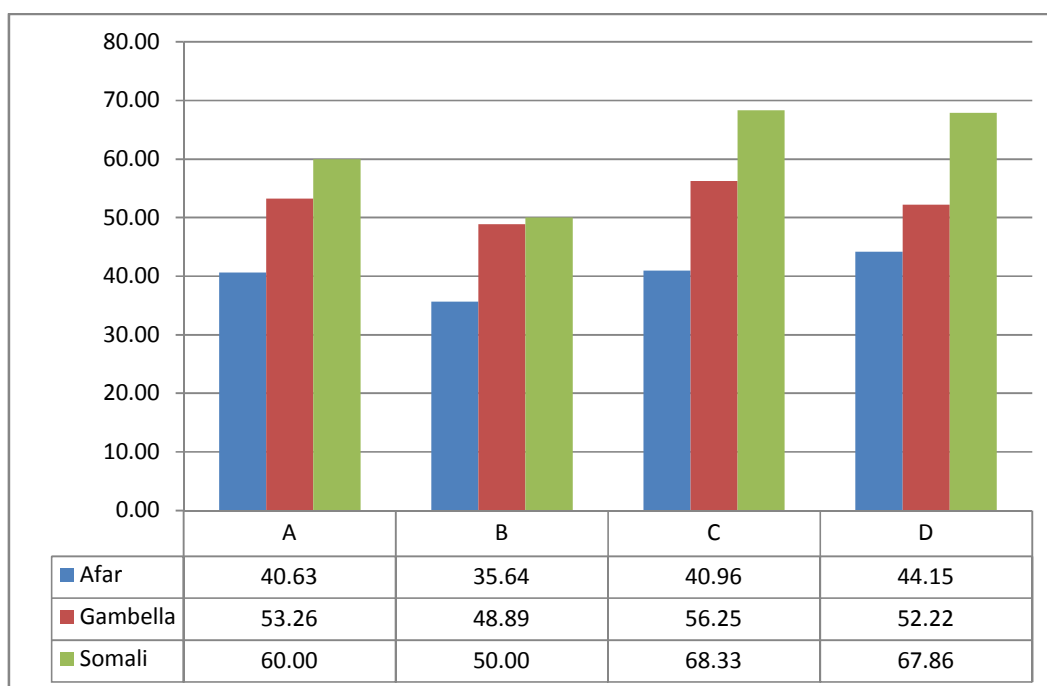


Figure 7.3: REACCs' reporting relationship with regional councils

A= Completeness of REACC's reports to regional council

B= Depth of analysis

C= Language usage/readability

D= Timeliness of reports

During various interviews with the FEACC officials, it was, however, possible to know that the three commissions have demonstrated the capacity to regularly report their performance to FEACC, but each report still requires some level of external support to improve depth of analysis and language usage for Somali.

7.3. The organizational level Capacity Assessment: similarities and differences

The organizational level capacity assessment is concerned with the policies, procedures and business processes that are essential for effective performance of the Afar, Gambella, and Somali State Ethics and Anti-Corruption Commissions. This capacity assessment includes all the internal infrastructures of the commission that are necessary as part of the organizational level capacity assessment. More specifically, a number of internal institutional arrangements such as organizational vision and mission, leadership, strategic planning (SP), organizational structure, human resource management (HRM), finance and procurement management, knowledge management, communication, and monitoring and evaluation are assessed to determine the gaps between capacity assets and needs as discussed in the following subsections.

7.3.1. Vision and mission

Based on their mandates, all the three commissions have developed their **visions and missions**, codified through succinct statements for setting their institutional identities, for motivating staff and creating a sense of purpose (See Chapters 4, 5 and 6 for region specific visions, missions, and values).

As has been seen in Fig.7.4below, the commissions have demonstrated the capacity (falls between emerging and expanding) to defined its vision and mission that guides all of its work, define program goals that are compatible with its mission, and to communicate the vision and missions to its salient stakeholders.

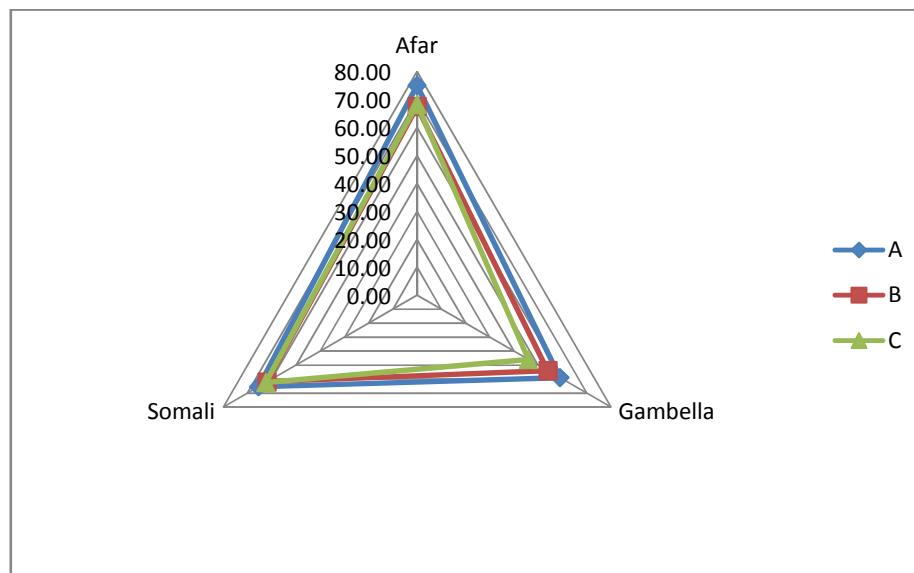


Figure 7.4: Mission, Goals, and Core Values (REACC staff and ethics liaison officers)

A= The availability of a clearly defined vision and mission that guides all of its work

B= Capacity to identify a few clearly defined program goals that are compatible with its mission

C= The leadership, staff and beneficiaries of the Organization have a clear understanding of the Organization's vision, mission, and goals

The interviews conducted with the Federal Ethics and Anti-Corruption Commission officials and the majority (more than 85%) of the three regional council members confirmed that confirmed the availability of vision and mission statements. One of the frequently raised concerns was that the vision and mission statements were not shared among its salient stakeholders-not publicly available (except the Gambella REACC), not internalized as part of the organizational culture by the internal actors, and not well-communicate to its external stakeholders.

7.3.2. Leadership

Effective leadership is essential to implement any organization's mandate and vision by promoting successful, win-win relationships with others, both within and outside the organization, and delivering positive and reinforcing messages to motivate people. Leadership plays a key role in achieving the visions and missions of any organization; by executing their legal mandates, responsibilities and functions given by the law. In this research, leadership cannot be restricted to a single post or even to a team or subset of colleagues at the strategic apex, but rather dispersed around the commission including at upper, middle, and operational level management. As depicted in the organograms of the three regional states Ethics and Anti-Corruption Commissions, each commission is led by a Commissioner appointed by the President of the Regional State. The senior

leadership team of each Commission incorporates 3 to 4 Core Process owners that are much in charges of the core duties and responsibilities of the commission.

Table 7.3below presents eleven indicators that were used to gauge the level of the executive leadership capacity of the three REACCs for carrying out its duties and responsibilities. The results of data analysis at all indicators generally show that it was emerging across the three commissions. This is to say that there is an initiative to build the executive leadership capacity but much external support from diverse stakeholders is needed to further strengthen it through tailored-made training and exposure visits. Comparatively, while the Somali REAC demonstrated the best scores, the Gambella REACC is the lowest.

Table 7.3: Executive Leadership Capacity (REACC staff and ethics liaison officers)

Variable	Mean(on a 4-pt scale)		
	Afar	Gambella	Somali
Capable of carrying out key roles such as policy formulation, fund raising, public relations & lobbying	1.9464	1.8200	2.3 800
Capacity of providing strong direction, support, and accountability to leadership and engages as a strategic resource	2.0536	1.8000	2.44
Staffed with highly qualified and competent senior management members	1.9057	1.9400	2.38
The senior leadership has diverse skills and professional expertise that match the organization's needs.	1.9821	2.0600	2.42
The senior leadership has a clear vision of the organization's mission.	2.3929	2.2800	2.52
Senior leadership/management have a clear understanding of their roles and responsibilities as providers of overall direction	2.1250	2.1600	2.46
Senior management's relationship to staff is participatory, transparent and management decisions are delegated	2.1786	1.9400	2.32
Leadership is accessible and fosters participation of constituents	2.2679	1.8600	2.38
The senior leadership gives guidance (when needed) to help others make decisions.	2.0545	2.0612	2.52
The Leadership sets annual performance goals for each heads of subunits and reviews his/her performance	1.9286	1.9200	2.43
The senior leadership evaluates its performance regularly and implement strategies for improving its performance.	2.0545	2.0400	2.32

Data obtained from the documentary evidences, the interviews and the focus group discussions showed that the senior leaders of the three commissions urgently need additional leadership capacities to implement their commissions' mandates and visions by promoting successful, win-win relationships with others, both within and outside the organization, and delivering positive and reinforcing messages to motivate people. Equally, there needs to be capacity required of the leadership the commissions to integrate the differentiated units within their respective organizations through various mechanisms (e.g. policies, resource allocation mechanisms, reward systems) in order to trigger adequate responses from internal actors.

7.3.3. Strategy planning

The existence of clear linkages between organisational vision and long term strategy and department level and individual level work plans is fundamental for any organizations. The effectiveness of a given REACC depends on whether the institution undertakes regular strategic planning. Data collected from diverse sources using different tools show that the three REACCs have their own five-year strategic plans. The main pillars of the strategic plans include: combating corruption in their respective regions, corruption prevention, ethics and anti-corruption education, investigation, and prosecution. Preventive is a priority area and it is considered as cost-effective, sustainable and participatory approach to fight against corruption.

The results of data analysis revealed that there are clear variations in the capacity assets of the preparation, intergration, and the reviews strategic plans across the three commissions as documented in Table 7.4. Accordingly, the Gambella REACC was rated as close to emerging; the Somali REACC was rated as slightly above emerging; and the Afar REACC was rated as slightly above expanding.

Table 7.4: Strategic Planning (REACC staff and ethics liaison officers)

Variable	Mean (on a 4-pt scale)		
	Afar	Gambella	Somali
Availability of a strategic plan that guides its work over the medium and long-term period	3.1800	1.9184	2.68
SP is prepared to further the mission and address clearly defined needs	3.1250	1.7600	2.27
Stakeholders and staff are involved in the strategic planning process	2.9388	1.9800	2.22
Planning staff understands each program's specific goals and objectives	3.2000	1.9592	2.48
Organization develops operational/annual plans that guide action	3.1800	1.8800	2.42
Annual plans of action are reviewed, updated and reflect the strategic plan	3.1458	1.6327	2.47
Resources are planned accordingly and allocated properly	3.1429	1.7400	2.32
All staff understand how each program relates to the organization's mission.	3.1800	1.9184	2.28

Data obtained through the interviews, focus group discussions and observation confirmed the above mentioned findings. The commissions have prepared annual operational plans with detail budget to their internal units/ Offices. The strategic plans were, however, not well-circulated and shared by the external stakeholders in order to ensure each salient stakeholder subscribe to the realisation of the missions of the commissions.

7.3.4. Organizational structure

All the three Commissions have adapted the Hong Kong's three-pronged approach to fighting corruption, which incorporates investigation, prosecution and prevention /ethics education. During the data collection, it was possible to ascertain that each REACC has its own organogram. The organizational structure of the three commissions reflects their functions and mandate stipulated by

the establishment proclamations. The commission is uniformly led by a Commissioner, who is supported by a deputy commissioner. All core and support processes³ in each organization are directly answerable to the Commissioner (see Chapters 3.4 and 5). Many respondents believe that such a structure makes the commissioner focus on routine issues than offer strategic leadership to the commission. The existing capacity assets in terms of clearly defining lines of authority and responsibilities, facilitating agile decision-making, discussion, & problem-solving capacity, and in coordinating among different units involved in service delivery was close to emerging as indicated in Fig.7.5below. It is slightly lower in the case of the Gambella REACC. Much external support is needed for refining and finetunning the sturcture in all cases (more so for the Gambella REACC) in order to facilitate smooth coordination among different units involved in service delivery.

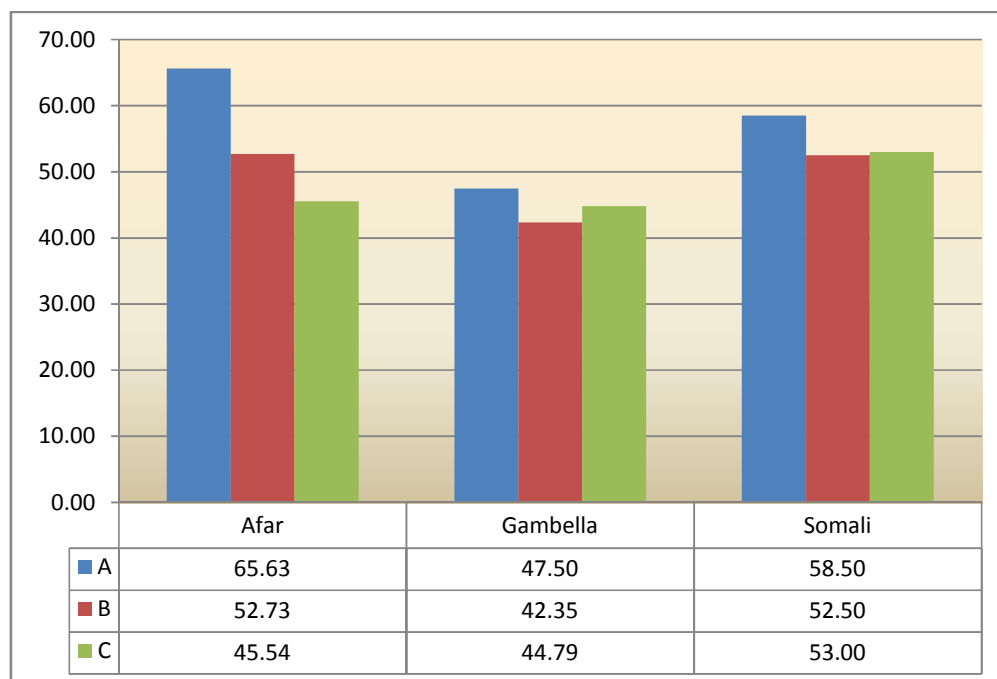


Figure 7.5: Organizational Structure (REACC Staff and ethics liaison officers)

A= The existence of an organizational structure with clearly defined lines of authority and responsibilities

B= Lines of authority facilitate agile decision-making, discussion, & problem-solving

C= The organizational structure facilitates smooth coordination among different units involved in service delivery

All respondents who participated in a series of interviews and focus group discussions revealed that the absence of Ethics and Anti-corruption offices at the lower administration hierarchies (viz., Zones and Woredas within the regions) causes a serious of capacity gaps to realize organizational missions. One of the serious challenges was that many vacant posts exist across the three commissions including the positions of the Deputy Commissioners. For instance, none of the commissions have established an intelligence and surveillance team. Given the existing limited budget and few

³Afar REACC is organized in three Core Processes and three support processes. Gambella REACC is organized into three core processes, eight supporting processes and one service (logistics). Somali REACC is organized into three core processes and four support processes.

personnel (see section 7.4 below), it is practically impossible to fully deal with ethics and anti-corruption related issues by primarily working at the regional capitals. Further analysis was undertaken against the three core processes; viz., Ethics Education and Training, Corruption Investigation and Prosecution, and Asset Registration and Disclosure. The results of data analysis on the capacity of the said core process are summarized on the subsections that follow.

7.3.4.1. Ethic Education

Although the purpose of Ethic Education is the same, it was organized differently at each commission. In Afar, it is organized under the Ethics Education and Training core process, which further consists of Working Methods Study and Research, and Education and Training its two Case Teams. In Gambella, Ethic Education is organized under the Prevention, Research and Training core process. In Somali, it is part of Ethic Education and training core process, which comprised of public relations, media, ethics, and education teams. The above mentioned Core Processes' main objective is the creation of an ethical society which is unfavourably positioned towards corruption by carrying out ethics and anticorruption education. Figure 7.6 below presents the level of the capacity assets of each commission in carrying out their mandate of expanding ethics education given by law. The results of data analysis revealed that it was close to emerging, where there is some capacity asset and is also an initiative to build the capacity by collaborating with FEACC but much external support is needed to strengthen it. The capacity asset is comparatively stronger at the Afar REACC.

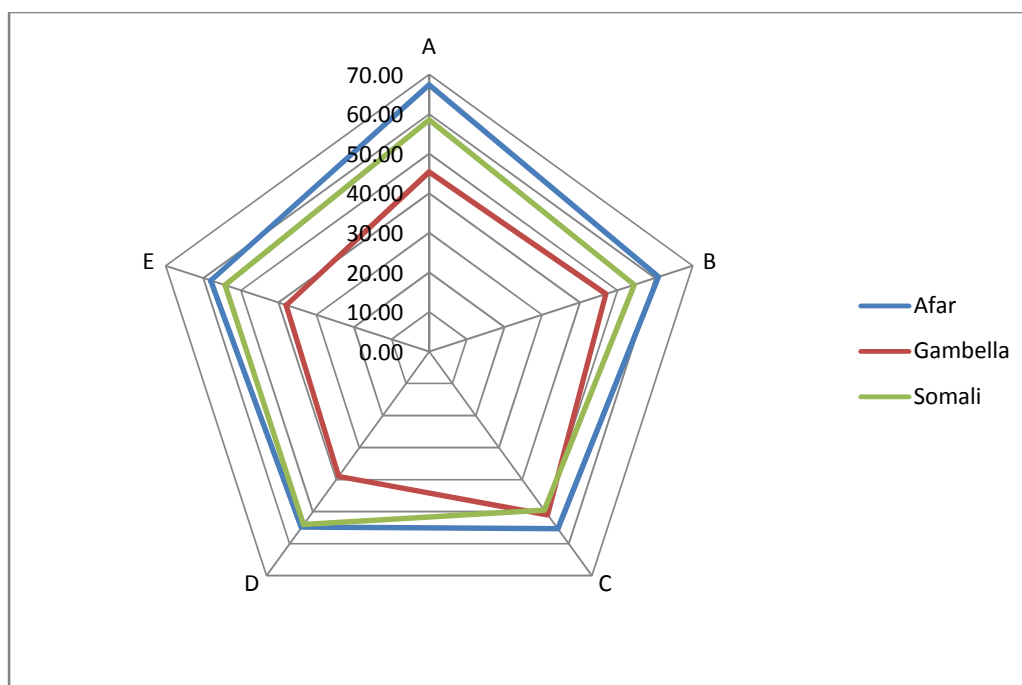


Figure 7.6: Capacity to Carry out Ethics Education (REACC staff and ethics liaison officers)

A= Availability of clear policy and procedural manual for giving ethics education

B= Availability of system of promoting ethics and anti-corruption education in Ethiopian society

C= Capacity to undertake face-to-face trainings, organize panel discussions, use TOTs, and publicity and marketing

D= Availability of established strategic alliances with television and radio and other written media to reach citizens including illiterate people

E= Availability of in-house capacity for producing brochures and flyers

Except the Gambella Ethics and Anti-Corruption Commission, the other two commissions have been intensively using electronic and print Medias in order to spread their message. In this regard, the Somali REACC has formed strategic alliances with ES Television and Jijiga FM to broadcast ethics education free of payment. Other main strategies employed by the commissions to reach as many citizens as possible were a face-to-face training, TOT, Panel discussions and organizing of events during government and public celebration days.

7.3.4.2. Corruption Prevention

Corruption prevention is one of the most important missions all the three commission that seeks to prevent corruption by studying the practices and work procedures of public offices and enterprises. It is organized differently. In Afar, it is organized under the Ethics Education and Training core process. In Gambella, corruption prevention is organized under the Prevention, Research and Training core process. In Somali, it is one of the core processes. As indicated in Table 7.5 below, although the capacity asset for corruption prevention is close to emerging at the Afar and Somali REACCs, there is a huge capacity limitation at the Gambella REACC.

Table 7.5: Capacity to Corruption prevention (REACC staff and ethics liaison officers)

Variables	Mean(on a 4-pt scale)		
	Afar	Gambella	Somali
Availability of clear policy and procedural manual for corruption prevention	2.3091	2.0200	2.32
Capacity to conduct in-house research	2.2391	1.4091	2.00
Capacity to study corruption practices and work procedures of public offices and public enterprises	2.2727	1.6531	2.22
Capacity to mentor or coach on the implementation of recommended suggestions following research findings	1.9286	1.6000	2.14
Capacity to support Ethic and Anti-corruption Liaison offices	1.8000	1.5510	2.25
Availability of sufficient capacity of mobilizing stakeholders such as media, schools, and religious institutions on preventing and combating corruption	1.7679	1.6122	2.16
There is now formal memorandum of understanding with salient stakeholders on how to cooperate for preventing corruption	1.8929	1.6600	2.12

The corruption prevention capacity at the Afar REACC is by far better than others as the commission was closely working with Semera University for any work methods study and research that need specialization according to the concluded memorandum of understanding. This strategic alliance with the university enables the commission to create additional capabilities that pragmatically increased their range of viable responses to diverse types of stakeholders' work procedures research. In the case of Somali, the commission appears to be very deterrent to community due to its intensive usage of media. However, the Gambella REACC has not undertaken any work procedure studies so far as part of its corruption prevention efforts due to capacity limitations.

7.3.4.3. Corruption Investigation

Corruption investigation is one of the core processes of the commissions that is uniformly organized under their Corruption Investigation and Prosecution Core Process. It investigates any alleged or suspected corruption offences specified in the Criminal Code or in other laws, where they are committed in public offices or public enterprises, fall within the power of each Commission. While many corruption investigations are financial crime scene inquiries, and the case often built on documentary evidence, some cases will require key witnesses (including whistle-blowers) such as those who saw payments being made or experts who can explain to judges, assessors or juries both the nature of the financial activities and what they may mean in terms of what they say about corrupt relationships or the acquisition of illicit assets or victims, who can witness how they were deprived of funds or assets by the suspects. The commission s' staff were asked to determine their capacity for investigating of corruption offenses using the following seven indicators listed in Table 7.6below. The overall corruption investigation capacity of the three commissions was rated as close emerging, where there is some basic capacity but much external support is needed to strengthen it urgently. Here also Afar REACC has relatively better capacity followed by Gambella REACC.

Table 7.6: Capacity to Investigate of Corruption Offenses (REACC staff and ethics liaison officers)

Variables	Mean (on a 4-pt scale)		
	Afar	Gambella	Somali
Availability of clear policy and procedural manual during investigation	2.2857	2.0800	2.22
Existence of clear channels and mechanism (such as e-mail, telephone (hotline), fax, regular mail, or in-person statements) to obtain complaints about alleged corruption from whistle blowers	1.8571	2.0600	2.08
Availability of a whistle-blower and witness protection law or regulation or guideline or policy	2.0893	1.8400	2.20
Availability of a clear guideline for sorting out the case to be handled by itself or addressed by another government agency	2.0714	1.8200	2.25
Availability of a system of collaboration with other organization for investigation of corruption offenses	2.1607	1.9200	2.21
Availability of directives concerning the manners of reporting of corruption offences investigation carried out by other investigating bodies	1.9821	2.0200	2.15
Availability of an established system of classifying corruption into modest corruption offenses, serious corruption offenses, and very serious corruption offenses using criteria	2.0000	1.8400	2.40

Very recently, the number of corruption cases coming to each commission has been reducing from time to time. This is because the Commission is not actively working in different Zones and Woredas.

7.3.4.4. Corruption prosecution

Corruption prosecution has an obvious retributive value in that those involved in corruption are seen as not immune from the rule of law and criminal justice processes. Any ethics and anti-corruption agencies are required to have the needed capacity to prosecute corruption offenses, processing

charges on files worthy of prosecuting among whose investigation have been completed; and going through the processes until the court rules on the files. Moreover, the responsibility of facilitating necessary legal protection for whistle blowers & witnesses goes to this core process. Assessment of prosecution of corruption offenses capacity at the three commission rated exactly emerging by their respective staff(see Table 7.7below). This is to say that there is a promising initiative to establish system but much external support is needed to further strengthen it.

Table 7.7: Capacity to Prosecution of Corruption Offenses (REACC staff and ethics liaison officers)

Variable	Mean(on a 4-pt scale)		
	Afar	Gambella	Somali
Availability of clear policy and procedural manual during prosecution of corruption offenses	2.1250	1.9400	2.31
Existence of systems to collect, analyse, and use data and information during prosecution of corruption offenses	1.8491	1.9592	2.25
Capacity for the prosecution of any alleged or suspected corruption offences specified in the criminal code or in other laws where they are committed by any actors including senior political leaders	2.1667	2.1000	2.12

7.3.4.5. Asset Registration and Disclosure

While property/asset registration and disclosure is part of the organograms of the Afar and Gambella REACCs, it was not recognized by the Somali REACC. Nonetheless, the actual asset registration and disclosure was carried out by the three commissions to date due to lack of political commitment and budget. As reported by the REACCs staff (see Table 7.8below), the level of capacity and readiness to register or cause the registration of the assets and financial interests of public officials and other public employees was found be between nascent and emerging (but close to emerging). This suggests that the existing capacity shall be strengthened immediate through demonstrable political commitment and budget support for the implementation the asset registration and disclosure core activity.

Table 7.8: Capacity to Asset registration and disclosure (REACC staff and ethics liaison officers)

Variable	Mean(on a 4-pt scale)		
	Afar	Gambella	Somali
Presence of clear policy and procedural manual during prosecution of corruption offenses	1.7963	1.8163	2.34
Level of capacity and readiness to register or cause the registration of the assets and financial interests of public officials and other public employees compellable to do so as specified by law in cooperation with relevant bodies.	1.8462	1.5833	1.87

It was also possible to learn from documentary evidences that that the Afar and Gambella commissions have already addressed all preconditions like developing forms, certificates, and the identification of people who are legally required to register their assets were carried out (FEACC, 2017 report).

7.3.5. Human resource management (HRM) capacity

Any Ethics and Anti-Corruption Commissions need to have their own, dedicated staff for performing their duties and responsibilities. This requires such commissions to have a well-established human resource management system in order to conduct open and fair recruitment, provide a competitive compensation package, implement continuous training and capacity building, and establish processes that ensure staff integrity, performance appraisal and adherence to strict discipline codes, as well as an internal complaint system. Capacity assessment on the three commissions' HRM system has been conducted by examining the status of HRM manual, HRD, internal work culture, gender and diversity, supervision and performance management, salaries and benefits management system and managing grievance and conflict as indicated in the subsections that follow.

7.3.5.1. Recruitment, and Job descriptions

As it is well known, an organization is expected to have the right numbers of the right people, in the right place at the right time hold the key to the success of any ethics and anti-corruption commissions. This is much linked with having the right mix of support staff and technical staff who are useful to enhance efficient operations of the commissions. The important precondition in this regard is the establishment of a capacitated recruitment system. As clearly documented in Table 7.9 below, the commission's hiring process in terms of openness, competitiveness and efficiency was rated as between emerging and expanding (but much close to emerging), where there is some demonstrable recruitment capacity but much external support is needed to further strengthen and refine it (see Item 1 in Table 7.9). Each staff member has a written job description that defines his/her responsibilities, tasks, and reporting relationships. The organization also promotes inclusiveness in hiring people with disability, PLHIV, and women. This is to say that although there is some capacity asset in recruiting and providing job description for their respective personnel, much external support is needed to strengthen it.

Table 7.9: Capacity to Recruitment and Job Descriptions (REACC staff and ethics liaison officers)

Variable	Mean(on a 4-pt scale)		
	Afar	Gambella	Somali
Hiring process is open, competitive and efficient	2.3750	2.3750	2.22
Each staff member has a written job description that clearly defines his/her responsibilities, tasks, and reporting relationships.	2.1636	2.1636	2.28
The staff exercise their functions in accordance with their job descriptions	2.2500	2.2500	2.24
Responsibility is delegated to promote an effective division of labour, job satisfaction, and leadership opportunities.	2.0357	2.1000	2.18
The organization encourages/committed to recruit people with disability, PLHIV, etc.	2.0364	1.7800	1.88
Men and women are evenly represented on the staff, within the Executive Team	2.2500	1.7755	2.16

7.3.5.2. Performance management and incentives

There is a need for establishing performance management system that sets measurable performance targets for staff and ensures regular assessment and feedback on performance. An incentive system that define competitive salary, attractive career development options partly performance-based, recognitions and rewards, etc. should be embedded in order to trigger adequate responses from internal actors. All the commissions' staff who participated in the capacity assessment were required to determine the level of capacity asset of their organization's performance management and incentive system. The results of data analysis indicated that while the Afar REACC capacity of performance management and incentives falls between emerging and expanding (specifically close to emerging) in all the eight indicators used for the analysis, it was between nascent and emerging for the Gambella and Somali REACCs. This is to say that there is demonstrable capacity at the Afar REACC, but it requires some level of external support to build the capacity further. However, much urgent support is needed to enhance the capacity of Gambella and Somali REACCs.

Table 7.10: Performance management and incentives (REACC staff and ethics liaison officers)

Variable	Mean(on a 4-pt scale)		
	Afar	Gambella	Somali
Staff meetings are held on a regular basis	2.1273	1.8000	2.06
Staffs participate in executive decisions and are encouraged to take initiative	2.0179	1.8163	2.14
Team work is promoted	2.4643	1.7400	2.08
Each staff member meets with his or her supervisor at least once a month for orientation and feedback on his/her work.	2.0000	1.8200	2.02
Staffs receive a formal performance evaluation from their supervisor at least once a year.	2.3273	1.8800	2.00
Promotions and raises are based upon the results of the performance evaluations	1.9286	1.9600	2.02
The Organization has a clearly defined salary scale which determines how much staff is paid	2.3036	1.6735	2.28
Staff salaries or other benefits package are competitive	2.1273	1.6400	2.00

7.3.6. Induction, Training and mentoring

It is argued that any specialized organization like ethics and anti-corruption agency requires its staff to be trained at different stages, while working for the commissions. General induction training for all new staff joining the organization will be useful, as well as more specific training tailored to technical functions as they go working. There should also be a system for regular knowledge sharing through mentoring and coaching junior staff to ensure that knowledge is genuinely absorbed in the organization. According to REACC staff, the capacity to provide induction training and continuously mentoring and coaching for the junior staff is slightly above emerging for Afar REACC and slightly below emerging for Gambella and Somali REACCs as shown in Fig.7.7 below. Much external support is needed to strengthen the existing capacity assets across the commissions. One of the serious challenges in this regard is that the staff training is not budgeted and funded.

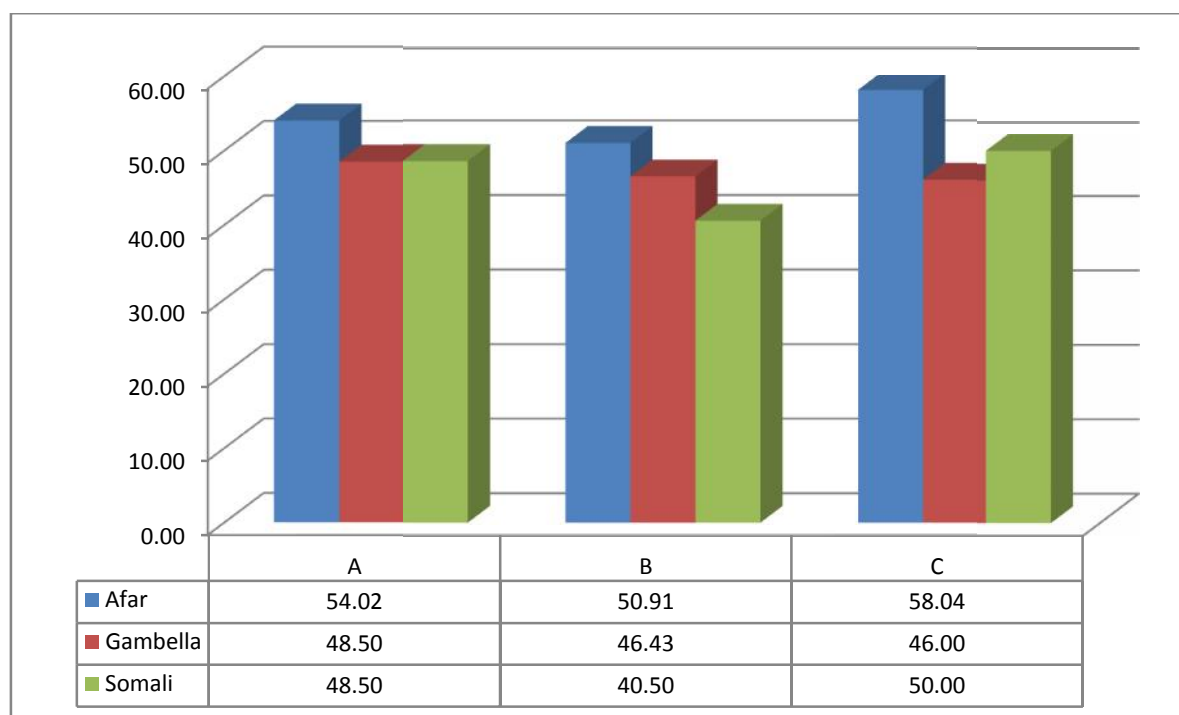


Figure 7.7: Capacity to provide induction Training and Mentoring (REACC staff and ethics liaison officers)

A= The Organization incorporates need-based staff training as a part of its annual plan

B= The staff training plan is funded

C= Staff training is considered a priority for the organization

7.3.7. Finance and Procurement Management Capacity

Any ethical and anti-corruption commission needs to establish a reputation of being clean itself at the expense of losing credibility in order for assuming a “watchdog” role over public financial management in other organizations. The availability of strong finance and procurement management capacity enables it to name, blame and shame other organization for mismanagement and corruption. It is of utmost importance that the three Commissions should observe the highest standards in terms of their own financial and procurement actions. In this regard, adequate rules and procedures for procurement and financial transactions need to be in place, critically observed and monitored. In order to gauge the strengths of capacity assets related to finance and procurement system of the commissions, the three REACC staff were asked to determine the above mentioned capacity assets by considering the existence of planning and budgeting system, finance utilization and management, financial reporting, and procurement management. Findings against the above mentioned four broad areas are presented in the subsections below.

7.3.7.1. Planning and budgeting

As revealed in Fig.7.8 below, six different indicators were used to assess the planning and budgeting capacity of the three commissions. The results of data analysis show that the planning and budgeting capacity assets of the three commissions are positioned between emerging and for the Afar and Somail REACC (but somewhat skewed towards emerging) and between nascent and emerging for the

Gambella REACC (more close to emerging). That is to mean, the system of planning and budgeting capacity of the commissions is generally emerging, requiring external support to strengthen them. Nevertheless, very low capacity asset was declared at the Gambella REACC related to approving budget in a participatory fashion.

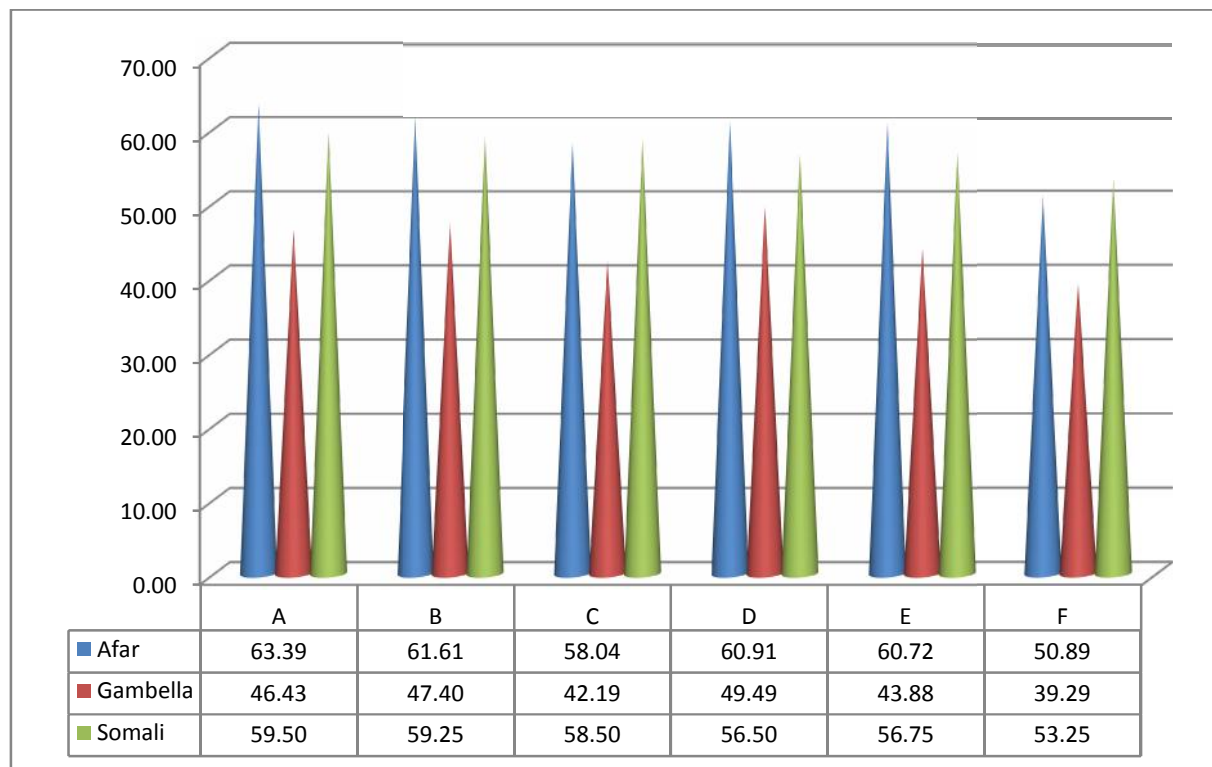


Figure 7.8: Capacity of Planning and Budgeting (REACC staff and ethics liaison officers)

A= Availability of financial policy and procedural manual

B= Financial management policy meet the government laws and directives

C= Availability of an annual budget approved in a participatory fashion

D= Expenses are made in accordance with the annual budget

E= Expenses against budget are analysed at least quarterly

F= Budgets for units are prepared and adjusted annually to comply with the organization's overall budget

7.3.7.2. Finance utilization and management

Eleven different indicators were used to assess the budget utilization and management capacity of the commissions as indicated in Table 7.11 below. The results of data analysis show that the capacity is positioned between emerging and expanding levels (but close emerging). That is to mean that the available capacity assets in finance utilization and management at the three commissions require external support to strengthen them.

Table 7.11: Capacity for finance utilization and management (REACC staff and ethics liaison officers)

Variable	Mean(on a 4-pt scale)		
	Afar	Gambella	Somali

Variable	Mean(on a 4-pt scale)		
	Afar	Gambella	Somali
All transactions are coded in accordance with the Chart of Accounts	2.4464	1.9184	2.28
Processes for handling finances and money ("internal controls") are written and followed.	2.0545	1.8776	2.21
The cashier keeps a cash book documenting all cash transactions	2.6429	2.1429	2.22
Cash advances are only cancelled when adequate receipts and change are submitted	2.2407	2.0816	2.19
Bank checks are signed by at least two people, neither of whom is directly responsible for preparing financial reports	2.2500	2.3265	2.29
Bank payments are reviewed and authorized by someone who checks that proposed disbursement is in accordance with the approved budget	2.3571	2.0816	2.21
Supporting documentation of all financial transactions are systematically filed and retained as required by law.	2.4364	2.1429	2.34
Cash balances are reconciled monthly.	2.1455	2.2708	2.15
Person(s) maintaining financial records (are) knowledgeable and skilled in the area.	2.1786	2.2500	2.31
Availability of a computerized bookkeeping system.	2.1964	1.8367	2.27
External Audits are conducted by a reputable firm ever year	2.1786	1.9167	2.36

7.3.7.3. Financial Reporting

Financial reporting was another assessment area as shown in Table 7.12. Eight different indicators were used to assess the existence financial reporting capacity of the commissions. Findings show that the capacity was close to emerging. That is to mean, the system of financial reporting capacity across the three commissions is emerging and it requires external support to strengthen them.

Table 7.12: Capacity of financial reporting (REACC staff and ethics officers)

Variable	Mean(on a 4-pt scale)		
	Afar	Gamella	Somali
The financial report includes a statement of expenses against budget.	2.0893	2.1020	2.42
Capacity to produce internal monthly financial reports	2.0536	2.1020	2.36
Quarterly financial reports are submitted for the review and approval of the finance office.	2.2500	2.1020	2.40
The financial report includes a balance sheet and bank reconciliation	2.2321	2.0204	2.52
The financial report includes a statement of expenses against budget.	2.0893	2.1020	2.40
Expenses are reported by activity.	2.1250	1.9388	2.32
Capacity to present a full financial statement in its annual report for public consumption in a timely fashion.	2.3393	1.9200	2.20

Variable	Mean(on a 4-pt scale)		
	Afar	Gamella	Somali
Financial reports are concise, easy to understand, and produced in a timely manner.	2.3214	1.8776	2.42

7.3.7.4. Procurement, Supplies and Inventory Management

As revealed in Fig.7.9, five different indicators were used to assess the procurement, supplies and inventory management capacity of the commissions under capacity assessments. The results of data analysis show that the capacity of the procurement, supplies and inventory management system is positioned between expanding and mature (close to expanding) for the Afar REACC and emerging for the Somali REACC, and between nascent and emerging (but close to emerging) for the Gambella REACC. While the overall procurement system for the Afar REACC showed a demonstrated capacity to fill its gaps, there is an urgent need to strengthen the Gambella and the Somali REACCs.

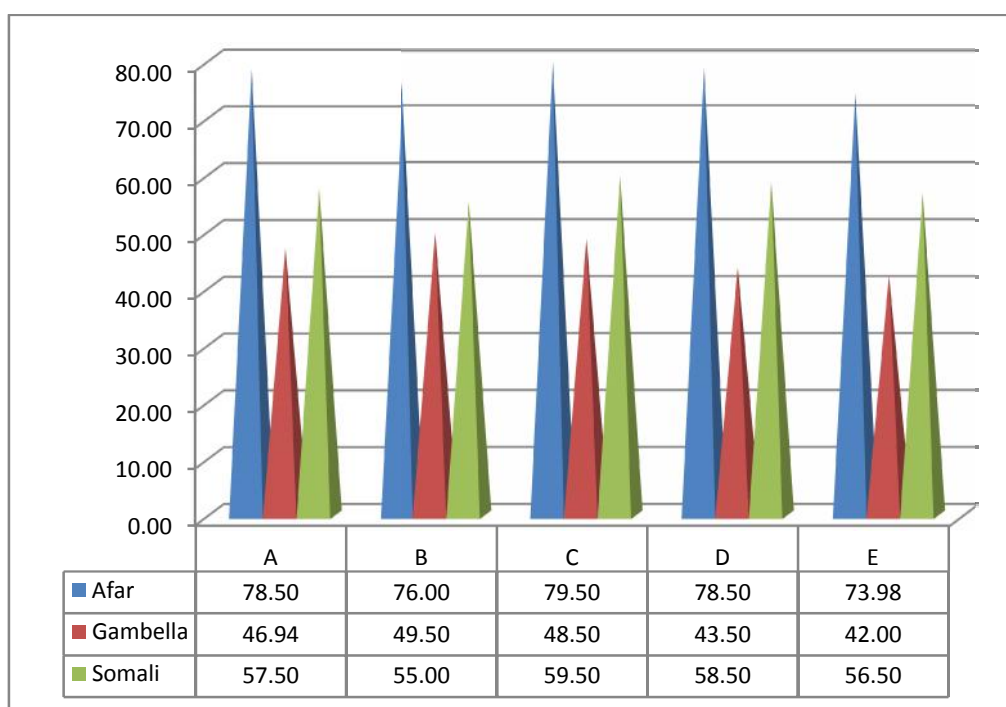


Figure 7.9: Capacity to undertake Procurement, Supplies and Inventory Management (REACC staff and ethics liaison officers)

A= Availability of a procurement management manual

B= Competitive procurement practices are followed for all purchases as per public procurement law

C= Procurement procedures is evaluated by procurement committee

D= All fixed assets are coded and incorporated in a fixed asset inventory control

E= Consumption of office and other supplies is managed by an inventory control system.

7.3.8. Knowledge and information management

In the current dynamic environment, any ethics and anti-corruption commission should have the capacity for knowledge and information management in its all units in general and units in change of its core duties and responsibilities in particular. The availability of adequate capacity assets in the

areas of knowledge and information management enables the commissions to create, share, use and manage its knowledge and information in order to achieve organisational objectives by making the best use of knowledge. In this capacity assessment, it is argued that when the technical divisions of the commission mutually reinforce one another, the REACC will be at its strongest. Eight indicators were used to assess the knowledge and information management capacity of the three commissions as indicated in Table 7.13 below. The results of data analysis reveal that the knowledge and information management capacity of the three commissions falls exactly between *nascent* and *emerging*. This suggests that there is infant capacity for sharing knowledge and information among individual and organizational actors, which can further be exacerbated in the situation of high staff turnover.

Table 7.13: Knowledge, Information and Technology Management (REACC staff and ethics liaison officers)

Variable	Mean(on a 4-pt scale)		
	Afar	Gambella	Somali
Availability well-designed, user-friendly, comprehensive systems to capture, document, and disseminate knowledge internally in all relevant areas	1.6786	1.6600	1.96
The existence of systems to collect, analyse, use and disseminate data and information to relevant external stakeholders	1.6250	1.8980	2.06
All staff is aware of systems, knowledgeable in their use, and make frequent use of them	1.7143	1.6400	2.02
The organization has internet access and all technical and admin staff has individual computer and e-mail access	1.7091	1.4000	1.90
The organization has reliable telephone and fax facilities accessible by all staff	1.9286	1.6000	2.00
The organization has fully networked computing hardware with comprehensive range of up-to-date software applications	1.6364	1.4400	1.98
The organization has comprehensive and interactive Web site, regularly maintained and kept up to date on latest area and organization developments	1.6607	1.4200	1.96
The organization has comprehensive electronic database and management reporting systems exist for tracking clients, staff, volunteers, program outcomes and financial information; widely used and essential in increasing information sharing and efficiency	1.7500	1.3600	1.98

The data gathered through a series of interviews and focus group discussions confirmed the absence of well-organized knowledge information and management system. Capacity assets on the said areas are highly limited across the three commissions because of lack of proper knowledge management network, IT infrastructure and absence of proper communication strategy. All the three commissions do not have functional website, and email address. The number of land line telephone lines is very few. In addition to this, the filing system of the office is not automated or easily available in soft and hard copy. The commission is also weak in sharing best practices for external stakeholders.

7.3.9. Communication capacity

Communication is one of the crucial set of organizational capacities, which relates to coordination and cooperation with both internal and external stakeholders. Stakeholder support can be achieved with effective communication so that it is indispensable for managing the multiple functions and expectations successfully. The external communication aims to make key stakeholders aware of the range of activities that are undertaken by the commissions. The internal communication aims to involve the broader commission community (e.g. leadership, technical staff, and administrative staff) on the activities and achievements of the organizations. In this capacity assessment, we consider their reporting capacity to gauge their communication capacity. As perceived by the staff of the three commissions, the reporting capacity became close emerging (see Table 7.14 below). This is to say that there is an initiative to build the reporting capacity but much external support is needed to strengthen it.

Table 7.14: Reporting Capacity (REACC staff and ethics officers)

Variable	Mean (on a 4-pt scale)		
	Afar	Gambella	Somali
Capacity to regularly reports on activities and results of evaluations to relevant stakeholders	2.1429	1.9200	2.28
Communication is clear and easy to understand.	2.1321	1.7955	2.31
Ability of publishing and disseminating reports on lessons learned using paper and electronic media including webpage	1.8750	1.6400	1.91
Capacity to demonstrate outcomes with numbers, data, and stories about how the organization made a difference	1.9286	1.8409	2.10

From several salient stakeholders who have participated in a series of interviews and focus group discussions, it came to know that the commissions have very weak capacity of external communication with its salient stakeholders (see section 7.2.4 above) such as youth league, women and girls league, professional associations, religious institution and Chamber of commerce. The challenge is much related to the absence of communication strategy.

7.3.10. Monitoring and Evaluation Capacity

Monitoring and evaluation of the organization's internal work is another key capacity needed by ethics and anti-corruption commissions. The monitoring and evaluation system should track performance against three types of indicators; viz., output indicators, outcome indicators, and efficiency and productivity indicators. According to the data organized in Table 7.15 below, six indicators were used to assess the monitoring and evaluation capacity of the commissions. Their staff rated that the existing organizational assets of monitoring and evaluation capacity was close to emerging, where there is some initiative to build the M&E capacity but much external support is needed to strengthen them.

Table 7.15: Monitoring and Evaluation Capacity (REACC staff and ethics liaison officers)

Variable	Mean(on a 4-pt scale)		
	Afar	Gambella	Somali
The organization has M&E system in place with sets of qualitative and quantitative indicators and processes for program performance monitoring and modification	1.8393	1.7400	2.18
Level of monitoring organization's performance against the set standards & benchmarks	1.6964	1.8000	2.28
Results are assessed against plan	1.6667	1.6250	2.26
The organization has a data collection plan that includes: tools and strategies for collecting data, the people responsible for data collection, collection frequency, and data storage procedures.	1.7818	1.6200	2.06
Monitoring results influence implementation	1.7451	1.6444	2.06
Evaluation results help make the case for continued and additional support	1.7857	1.8980	2.12

The above mentioned findings were confirmed by the interviewees who participated in the capacity assessment. No policy or manual, no staff, no training, no software, no standard formats and no data collection policy that reflects and justifies the existence of good monitoring and evaluation capacity across the commissions. The only monitoring system is a monthly monitoring meeting held by staff.

7.3.11. Cross Cutting Issues

Among the issues that a capacity assessment should pay attention whether the organization has a strategy on key cross-cutting issues. REACC staff indicated that attention paid cross-cutting issues by the three commissions was close to emerging (see Table 7.16). This suggests that the capacity is some capacity that has to be strengthened. The Commissions have no formally issued policies related with gender, HIV Aids, and environment, which are widely considered as cross cutting issues. No visible mainstreaming activity is observed.

Table 7.16: Cross Cutting Issues on some aspects (REACC staff and ethics liaison officers)

Variable	Mean(on a 4-pt scale)		
	Afar	Gambella	Somali
Availability of gender mainstreaming manual	1.6731	1.9388	2.13
Staffs' awareness of gender issues	2.1154	2.0000	2.00
The organization has mainstreamed HIV/AIDS issues	1.9423	1.8367	1.97
The organization has work place HIV program in-place	1.8077	1.7347	2.04
Staffs' awareness of environmental issues	1.8654	1.7755	2.15

7.4. The Individual level Capacity Assessment: similarities and differences

Human resource (both technical and support staff) is the most precious resource without whom any organisations cannot function properly. As any human-intensive organizations, the REACCs are required to have reasonable individuals (in terms of volume, professional mix, and quality) for effectively discharging their duties and responsibilities given by the establishment laws. This

individual level capacity, which refers to the skills, experience and knowledge that are vested in people and reflected as staff profile is extremely important due to the high level of expertise that the commissions require to disseminate ethics education and to fight corruption. The individual level capacity has been assessed against the volume, knowledge and the skills needed, necessary and appropriate for fulfilling particular roles (core and support) of the commission in its mandate.

7.4.1. The Commission's Staff Volume and Composition

Table 7.13 below indicated that the three commissions were generally understaffed during the data collection. The Somali REACC met only 24% of its human resource demand. It was 39% for the Afar REACC. The Gembella REACC was relatively better staffed, meeting 70% of its human resource demand. Thus the commissions (particularly Somali and Afar) are generally operating under significant shortage of human resources. The key staffs by some core/support processes are summarized in Table 7.17 below.

Table 7.17: Key staff by education level and specialization

REACC	Core/support process	# of Staff required	Available at the REACC	Education Level and Area of specialization
Afar	The Investigation and Prosecution	31	4	LLB
	The Prevention , research and training	12	1	LLB, BA in Social Science
	The Ethics Infrastructure	-	-	LLB, BA in Social Science
	The Assets Disclosure and Registration	4	2	LLB, BA in Social Science
	Finance and Procurement	9	9	BA in Accounting
	Human Resources Management Coordination	7	7	BA in management, public administration or human resources management
	Planning and Budgeting Directorate	4	1	BA in economics, accounting, management
	Communication and Public Relation Directorate	4	1	BA in journalism, literature, communication or related
	Office of the Commissionaire	4	3	In different fields
	Total	72	28	
Gambella	Office of the Commissioner	4	3	LLM, Diploma Secretary
	Office of the Vice Commissioner	4	2	LLM
	Gender Unit	2	2	Diploma in Gender
	The Prevention , research and training	13	7	MA in political Science, BA in English and Ethics Education, and Diploma in Management
	The Assets Disclosure and	8	2	BA in Business and Management

REACC	Core/support process	# of Staff required	Available at the REACC	Education Level and Area of specialization
	Registration			
	The Investigation and Prosecution	23	22	LLM, LLB, and diploma in different fields
	Information Development and Plan Preparedness	3	2	Degree in Management
	Finance and Procurement Administration	6	4	Degree in Management, Diploma in accounting and purchasing
	Public Relation	5	4	Diploma in management
	Internal Audit	2	1	Accounting
	Human Resources Management Coordination	19	14	Degree in Marketing management and Diploma in Secretariat Science
	HIV Mainstreaming	1	-	-
	Total	90	63	
Somali	Office of the Commissioner	9	3	MBA, Degree(Accounting) &Grade, 12, 10, 10
	Office of the Deputy Commissioner	1		
	Corruption prevention Core Process	75	4	Accounting & Finance
	Ethics Education and Training Core Process	33	8	Masters, Degree, Diploma(Agro-Net, Communication)
	Corruption investigation and prosecution Core Process	51	11	LLM, LLB, Diploma Law
	Public Relations and ICT Support Process	5	4	Degree(Communication), Grade 12
	Human Resource Support Process	3	3	Degree(Management, HR, NRM)
	Plan and budget Support Process	23	6	Degree(Accounting &Finance), Management, Diploma ICT, Grade12
	Internal Audit and follow up support process	1	1	Degree Accounting
	Guard	4	4	Grade12, 10, 8,& 4
	Janitors	4	4	Grade 4 th
	Other departments, please specify below:			
	Archive	4	1	12
	Drivers	5	2	Grade 10 th
	Greener	2	1	Grade 4
	Total	220	52	

In this capacity assessment, the staffs were categorized into three separate groups; viz., technical staff in charges of the core mission of the organization, managerial staff, and support staff. The results of data analysis show that the availability of sufficient staff in the above mentioned three categories of staff across the three commissions falls between nascent and emerging(but very close to emerging) as documented in Table 7.18below. This is to say that there is an infant initiative to attract and retain staff to build their human capitals but much external support is needed to strengthen them further. Much capacity limitations were reported on staff working on technical areas like coordinating and moving the public at large against corruption, undertaking corruption prevention activities, conducting investigation, and undertaking and organizing asset registration & disclosure activities (see Chapters 3, 4, and 5 for detail information).

Table 7.18: Staff Level Capacity (REACC staff and ethics liaison officers)

Variable	Mean(on a 4-pt scale)		
	Afar	Gambella	Somali
Availability of sufficient staff who are able to fully and independently provide ethical education	2.1071	1.8571	1.91
Availability of sufficient investigation staff who are able to fully and independently conduct investigation on any corruption suspects	1.9286	1.8776	1.95
Availability of sufficient prevention staff who are able to fully and independently undertaken prevention activities.	1.8393	1.7143	2.00
Availability of sufficient investigation staff who are able to fully and independently conduct investigation on any corruption offices	1.9107	1.7551	1.93
Availability of sufficient prosecution staff who are able to fully and independently conduct prosecution of corruption offenses	1.7500	1.7959	2.04
Availability of sufficient staff who are able to fully and independently undertake and organize asset registration & disclosure activities	1.7407	1.8163	1.93
Availability of sufficient staff who are able to fully and independently coordinate and move the public at large against corruption	1.6909	1.6531	2.00
Availability of sufficient managerial staff who are able to run the day to day activities of the organization	1.8036	1.8163	2.04
Availability of sufficient support staff who are able to provide all support for technical staff	2.0179	1.7755	2.00

7.4.2. Technical Staff Capacity Assessment

In addition to shortage of technical staff discussed above, lack of skills and the experiences were repeatedly raised by both internal and external stakeholders of the commission as one of the most serious challenges across the three commissions. Although this is partly explained by lack of quality of higher education in the country, the commissions were also unable to improve the skills and knowledge of their staff through induction trainings, refreshment trainings, and on job training as immediately as possible according to data obtained from a series of interviews and focus group discussions with diverse stakeholders. As pointed out in Table 7.19, the skills of prevention and ethic

education staff on the identified thirteen areas across the three commissions fall between low and medium across the board. The later (medium level rating) was given to the capacity to train people in Afar REACC, and capacity to educate people and report writing for Gambella REACC.

Table 7.19: Skill of prevention and ethic education staff on some areas (REACC staff and ethics liaison officers)

Variables	Mean(on a 4-pt scale)		
	Afar	Gambella	Somali
Training people	2.0000	1.7368	1.6000
Educating people	1.8780	2.0526	1.4000
Public speaking	1.8250	1.5789	1.4000
Developing modules	1.5250	1.6842	1.2000
Writing public materials	1.4634	1.7895	1.0000
Writing training materials	1.4878	1.8421	1.0000
Mentoring and coaching	1.3000	1.6316	.8000
Developing codes of conduct	1.1795	1.5789	1.0000
Drafting laws	1.0732	1.6316	1.0000
Undertaking research	1.1500	1.4737	1.0000
Designing communication strategies	1.2051	1.6842	1.4000
Writing reports	1.6750	2.1053	1.6000
Reviewing asset declarations	.9231	1.4000	.4000

The three REACC staff were also asked to rate the experience of prevention and ethic education staff using eleven indicators detailed in Table 7.20 below. Findings revealed that the staff experiences required from the ethics education staff was generally low across the three commissions. The availability of relatively better capacity assets in the said area was reported by the staff of Gambella REACC.

Table 7.20: Experience of prevention and ethic education staff on some areas (REACC staff and ethics liaison officers)

Variable	Mean(on a 4-pt scale)		
	Afar	Gambella	Somali
Capacity to develop regional ethic and anti-corruption strategies	1.5952	1.8889	2.0000
Capacity to develop anti-corruption action plans	1.5476	1.8333	2.0000
Monitoring the implementation of anti-corruption policies	1.3902	1.7778	1.2500
Capacity to evaluate the effectiveness of anti-corruption policies	1.2619	1.8889	1.5000
Reviewing legislation, regulations and procedures	1.2381	1.6111	1.2500
Proposing new or revised legislation, regulations and procedures	1.0976	1.8333	1.5000
Disseminating knowledge on corruption and anti-corruption	1.7143	1.8889	1.1429
Communication	1.7857	1.8333	1.1429
Knowledge sharing	1.6429	1.8333	1.0000

Variable	Mean(on a 4-pt scale)		
	Afar	Gambella	Somali
Gift policies	1.3902	1.4444	.7143
Asset declarations	1.0244	1.5556	.5714

As can be in Table 7.21below, the REACCs staff were asked to rate their skills on eighteen concepts related to corruption and investigation. The results of data analysis indicated that their skills were between low for the Afar and Somali REACC and medium for the Gambella REACC. Concepts like money laundering, investigating electronic devices, intelligence gathering and surveillance were less understood and carried out by the staff of the three commissions.

Table 7.21: Skills/knowledge of investigation and prosecution staff on some concepts (REACC staff and ethics liaison officers)

Variable	Mean(on a 4-pt scale)		
	Afar	Gambella	Somali
Determining criminal law points to prove	1.7391	2.6000	1.3333
Preparing file cases for the prosecutor	1.9565	2.6000	1.3333
Interviewing	1.6522	2.5000	1.0000
Note-taking	1.7826	2.5000	1.0000
File management	1.8696	2.4000	1.3333
Document requests to other institutions	1.7391	2.3000	1.0000
Intelligence gathering	1.3913	2.4000	.6667
Reading financial statements	1.4783	2.0000	1.0000
Asset restraint	1.5217	2.1000	.6667
Dealing with money laundering cases	1.3913	1.9000	.3333
Search and seize	1.4783	2.0000	.5000
Access and search electronic devices	1.6522	2.1000	.3333
Surveillance	1.2174	1.7000	1.0000
Using informants	1.6957	2.2000	1.0000
Participating in joint operations with the police	1.6957	2.3000	1.3333
Protecting evidence integrity	1.6522	2.4000	1.3333
Investigation report writing	1.6957	2.6000	1.3333
Skill of investigation and prosecution staff on some concepts (Cumulative mean)	1.6240	2.6000	1.3333

Table 7.22below presents fifteen different concepts in order to determine whether the investigation and prosecution staff of the three commissions is familiar with them or not. The results of data analysis show that the staff of Somali REACC are hardly familiar with the concepts,. The Afar REACC staffs were fairly familiar (low) with most concepts. The Gambella REACC staff said that they are familiar with the concepts of investigation and prosecution listed in Table 6.31 to medium extent.

Table 7.22: Familiarity of investigation and prosecution staff on some concepts (REACC staff and ethics liaison officers)

Variable	Mean (on a 4-pt scale)		
	Afar	Gambella	Somali
Public sector corruption	1.4783	2.6000	.6667
Private sector corruption	1.1739	1.8889	.3333
Conspiracy	1.2174	1.9000	.0000
Aiding and abetting offences	1.3913	1.9000	.6667
Cases involving foreign public officials	1.3913	1.3000	.3333
Embezzlement/Misappropriation	1.5652	2.2222	.3333
Improper use of public property	1.6957	2.4000	1.0000
Misconduct in public office	1.5652	2.3000	.6667
Trading in influence	1.2174	2.3000	.5000
Nepotism	1.5217	2.4000	.6667
Falsification of documents	1.5217	2.2000	.6667
Anti-money laundering	1.4545	1.8000	.3333
Restraint and confiscation	1.4783	2.1000	1.0000
Asset recovery	1.1739	2.1000	1.0000
Requests for mutual legal assistance	1.5217	1.9000	1.0000

7.5. Non-human resources

The presence of adequate nonhuman resources is one of the critical factors of the operations of ethics and anti-corruption commissions in any countries. Specifically, those nonhuman resources like monetary, physical, and information (ICT) and social legitimacy are essential for any ethics and anti-corruption commissions to discharge its dues and responsibilities. The results of data analysis show that all the commissions have shortage of nonhuman resources that substantially hamper their effectiveness against fighting corruption. Data collected through observation revealed that the capacity limitations include:

- Inadequate office space for all the staff members: each commission was housed in a rented office. The office was overpopulated and crowded. It was not well-furnished and attractive offices compared to other government offices. Nor are well-furnished and equipped meeting rooms for internal stakeholders and other external stakeholders who can mandated to perform specific functions which may be closely related to its mandate and upon which the effectiveness of the commission may depend. There are no any recreational services (like cafeteria) for the staff who pursue a difficult job sometimes with risks to personal security. Nor are separate secret or waiting rooms for the whistle-blowers. Nor are offices along with archives for confidential documents restricted to entry of authorized personnel.
- Shortage of office equipment like laptops, computers and printers including internet services for the entire staff of the commission. These basic office materials are understood as luxury items for some staff working on key positions. For instance, all commissions have no internet services, except the Somali REACC's Finance department and the Commissioner office. There is also a need to strengthen the commissions by availing heavy-duty printer/copier machines and laptops.

- Shortage of vehicles and motor vehicles for covering vast part of the regions: Visiting woredas and Kebles (including hard-to-reach areas) was practically impossible. Sadly, it is very risky business or bear's vulnerability to take public transport services due to the nature of the job sometimes with risks to personal security. Thus, the above mentioned shortage of vehicles is at the heart of the discussion for not covering the entire kebeles within the regions.
- Inadequate investigation equipment: shortage of digital cameras, and sound recorders. Discussants from the Corruption investigation and prosecution directorate indicated that their departments were not equipped with a state of art technology to discharge their duty. As there were no adequate voice recorders, they have been forced to use personal mobile phones to organize some necessary sound testimonies that often end up with poor quality of records.
- There were no adequate libraries and/or resource centres including sufficient stories. Although the Afar REACC has sufficient security services and accessible premise for even with special needs, the organization did not exploit its locational opportunity by posting its mission, vision, and core values in the compound as well as in the rooms/offices.
- Shortage of budget: Shortage of financial resources is the mother of the above mentioned challenges. There are severe budget limitation from governmental treasuries and external sources. For instance, the Somali REACC has stopped gathering information from whistle-blowers using a free line phone/toll free line due to budget constraint. Limited support from external sources exacerbated the problem. Wherever there are financial resources, limited capacity in procurement specification writing is another capacity limitation.

7.6. Major priority Areas for Improving REACC Capacity

In the previous sections, an attempt was made to carry out the capacity assessment of Afar Regional Ethics and Anti-Corruption Commission through three distinct but inter-connected levels or entry points for capacity development; viz., the enabling environment, organizational level, and the individual level. The aim of this capacity assessment is to identify capacity gaps and address priority needs that would emerge from the capacity assessment. The participants of the research were asked to prioritize the major priority areas for improving the Afar REACC capacity assessment. The results of data analysis revealed that the following capacity priority areas identified in Table 7.23 below. The capacity priority areas focus on the individual level capacity (specifically capacity building trainings for prevention, ethic education and prosecution staff) and the organizational capacity level (related to human resource and financial manuals and capacity building trainings) as indicated in Items 1 to 5 in Table 7.23.

Table 7.23: Capacity Priority Areas

Variable	Rank order		
	Afar	Gambella	Somali
Capacity building training for ethic education staff	1	2	2
Capacity building training for prosecution staff	2	3	3
Capacity building training for prevention staff	3	1	1
Develop Human Resource Manual and provide Training	4	5	4
Training on IE/BCC for ethics education	5	22	10

Variable	Rank order		
	Afar	Gambella	Somali
Developing management manual	6	12	21
Facilitate Networking and partnership	7	19	19
Develop Investigation and prevention hand-outs and provide training	8	7	16
Training on leadership and good governance	9	13	11
Develop Procurement Procedure Manual and provide Training	10	6	8
Training on the registration of the assets	11	11	14
Strengthening staff development and knowledge management capacity	12	23	6
Strengthen report writing skills	13	14	7
Training on community mobilization and social inclusion to fight corruption	14	17	13
Training on Gender Mainstreaming and budgeting	15	15	23
Training on report writing and documentation	16	20	20
Training on how to draft law, regulation or directives	17	9	17
Develop Financial Management Manual and provide Training	18	4	5
Develop Strategic Plan Management Document and Provide training	19	10	22
Training on teamwork and facilitation skills	20	18	18
Training on Lobbying and Advocacy	21	16	9
Develop M&E Plan and Provide training	22	8	15
Training on Resource mobilization and Grant Solicitation	23	21	12

CHAPTER EIGHT: SUMMARY OF THE MAJOR FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

Corruption occurs in all parts of the world including Ethiopia. There is no question about the negative impacts of corruption. Economically, it distorts economic systems by significantly deterring the development of markets, increasing uncertainty, discouraging investment, increasing costs, and reducing competitiveness. Corruption generally weakens the institutional foundations on which economic growth depends. Socially, corruption implies discrimination, injustice and disrespect for human dignity that cause social disintegration. Politically, corruption undermines the rule of law, endangers the stability of democratic institutions, discriminates in the delivery of government services and thus violates the rights of the people, and the poor in particular. The prevalence of corruption reflects a democracy, human rights and governance deficit that negatively impacts on poverty and human security of every nation. Combating corruption is one of the critical agenda of the Ethiopian government for realizing the vision of the country becoming a middle-income country by 2023. Accordingly, all the nine regional states have established their own Ethics and Anti-Corruption Commissions. The Afar, Gambella, and Somali Regional states have also legally established their own Regional Ethics and Anti-Corruption Commissions. Since their establishments, the REACCs have scored significant results in fighting corruption (FEACC, 2015/2016). They have achieved remarkable results in educating, preventing, investigating and prosecuting corruption.

However, a comprehensive attack on corruption remains a challenge in the mentioned Regional States as the emerging regional states of the country. The Ethiopian government in collaboration with World Bank has initiated this capacity assessment for the Afar, Gambella, and Somali Regional state Ethics and Anti-Corruption Commissions in order to undertake research-based capacity development interventions. The assessment process is expected to explicitly indicate key capacity gaps in the commissions for undertaking targeted capacity development programmes. To that end, primary data was collected from the commissions' internal and external stakeholders using multiple data collection instruments; viz., standard questionnaire, Key Informant Interview (KII), Focus Group Discussion (FGD) and direct observation. Data were analysed using quantitative and qualitative analytical tools. Quantitative data were analysed using descriptive and inferential statistics with the help of CSPRO and SPSS while qualitative data were analysed using content and interpretive analyses. In the end, the analytical results of the two have been merged together in order to produce a triangulated comprehensive evaluation report. Having critically analysed the results of data analysis, the following major findings were documented:

8.1 Summary of the Major Findings

- The political will/commitment to fight corruption across the three regional states was rated as medium and high by the majority of the participants who involved in this capacity assessment. This political will has been demonstrated by the legal establishment of the commission, allocating budget, structuring, and staffing it.
- Almost all respondents from the three commissions and their respective regional council members rated the adequacy of the legal frameworks under which REACCs operate to fight corruption. In this regard, the majority of the respondents rated the commissions' autonomy

- as low. The allocated budget was reported as extremely inadequate to carry out the activities of the commissions and promotes the notion of funding at a constant level in the Afar REACC.
- The results of data analysis show that the commissions were fairly established good institutional framework and coordination mechanisms in order to tackle corruption. More importantly, the commission has signed key MOU with its salient stakeholders (like clan leaders, educational facilities, police commission and justice office) as part of forming strategic alliances and there are key formal structure such as clan leader council with which it exchanges ideas and working in close collaboration.
 - Based on their mandates, the three REACCs have developed their visions and mission statements, codified through succinct statements for setting its institutional identity, for motivating staff and creating a sense of purpose. All commissions have their own active five year strategic plans. It is claimed that they have adequate capacity for planning and reviewing their strategic plans.
 - The results of data analysis show that the commission in collaboration with its stakeholders have been trying to build the executive leadership capacity but much external support from diverse stakeholders is needed to further strengthen the existing capacity assets through tailored-made training and exposure visits. Urgent capacity development of the leaders of the commissions is of paramount importance to deal with other capacity limitations.
 - The commissions' capacity in terms of creating clear policy and procedural manual for giving ethics education, forming strategic partnerships with media, and in-house capacity for producing brochures and flyers falls between nascent and emerging. Similarly, the REACCs' capacity for corruption prevention, investigation and prosecution of corruption was found to be close to emerging and much external support is needed to strengthen it. However, the level of capacity and readiness to register or cause the registration of the assets and financial interests of public officials and other public employees was found to be nascent (almost non-existent and needs very immediate attention before engaging into the actual task).
 - With regard to human resource management capacity, the commissions' hiring process in terms of openness, competitiveness and efficiency, performance management and incentive system were rated as emerging. The capacity to provide induction training and continuously mentoring new and junior staff is, however, almost non-existent (nascent) and needs very immediate attention.
 - The results of data analysis show that the capacity for planning and budgeting, finance utilization and management, and financial reporting of the commissions was positioned between emerging and expanding levels (but skewed towards emerging). Similarly, the results of data analysis show that the capacity for procurement, supplies and inventory management was close to emerging. That is to mean, the overall financial and procurement system requires external support to strengthen it.
 - The results of data analysis reveal that the capacity of knowledge and information management is almost *nascent* or very infant and needs very immediate attention. The data gathered through a series of interviews and focus group discussions confirmed the absence of well-organized knowledge information and management system.
 - As perceived by the participants of the capacity assessment research, external and internal communication within and outside the commission, and monitoring and evaluation capacity rated the existing organizational assets as emerging, where there is an initiative to build the capacity in the said areas but much external support is needed to strengthen it.

- This individual level capacity, which refers to the skills, experience and knowledge that are vested in people and reflected as staff profile falls between nascent and emerging(but close to emerging). This study clearly showed that the individual level capacity of the technical staff in terms of their knowledge, skills and the experiences as reported by salient stakeholders of the commission was very low.
- This study clearly documented that the commissions suffer from inadequate nonhuman resources like monetary, physical, and information (ICT) and social legitimacy, which are essential for any ethics and anti-corruption commissions to discharge its dues and responsibilities. These include: Inadequate office space for all the staff members of REACCs, shortage of office equipment like laptops, computers and printers including internet services for the entire staff of the commission. This basic equipment is understood as luxury items for some staff working on key positions. Shortage of vehicles and motor vehicles for covering vast part of the region, inadequate investigation equipment like digital camera, and sound recorders. More importantly, shortage of financial resources is the mother of the above mentioned challenges.
- Major priority areas suggested for improving REACC capacity include the individual level capacity development (specifically capacity building trainings for prevention, ethic education and prosecution staff) and the organizational capacity level (related to human resource and financial manuals and capacity building trainings).

8.2 Conclusions

This capacity assessment analysed the current capacities of the Afar, Gambella, and Somali REACCs against desired future capacities. As has been in section 7.1 above, the assessment generated an understanding of capacity assets and needs of the commissions which in turn leads to the formulation of capacity development strategies and action plan. The capacity gaps are found at all capacity development levels/entry points. This is attributed internally to both individual and organizational capacity levels in terms of inadequate human (technical staff knowledge, skills and experiences), nonhuman resources (financial resources, own building, office furniture and equipment, vehicles, ICT infrastructures, etc.) and weak financial management, HRM, M&E system, and knowledge management system; and externally to institutional framework and coordination mechanisms. The most capacity limiting factor across the three commissions was found to be inadequate budget. One of the grave capacity gaps related to structure is absence of the commissions' affiliated branch offices at the Zones and Woredas. There is no also unit in charge of asset registration and disclosure. Moreover, inadequate capacity of mobilizing diverse salient stakeholders (namely state institutions, civil society, private sector and others) towards fighting corruption is increasingly becoming serious capacity gaps.

8.3. Recommendations

This capacity assessment clearly indicated that the gaps between capacity assets and needs at the three Regional State Ethics and Anti-Corruption Commissions have been explained by a multitude of interrelated factors in both the internal and external environments. This implies that there is a need for improvement in both the internal and external environments of the commissions to bring positive

changes in current ethics and anti-corruption practices. Based on the major findings, the following recommendations have been forwarded:

- The three regional states are advised to allocate sufficient budget to their commissions in order to carry out the activities.
- As disseminating ethics education and fighting corruption is not the sole responsibility of a single commission, there is a need for mobilizing as many key stakeholders as possible. As a consequence, the main functions include the common feature of requiring considerable coordination among different stakeholders like government departments, independent oversight agencies, the legislative, as well as non-state actors-civil society, NGOs and the private sector. In this regard, the commissions have to sign stakeholder specific MOUs with their salient stakeholders as part of forming strategic alliances.
- Structurally, the REACCs are advised to establish a dedicated structure like coordination office that makes the much needed link between internal activities and the outside world (particularly stakeholders) by highlighting opportunities for collaboration. Additionally, it is suggested that the Commissions may establish very efficient and slim offices at the Woreda level and Zones within their regions as the case may be. There is an urgent need for an intelligence and surveillance team.
- With regard to organizational level capacity development, the existing systems, work procedures & internal rules shall be continuously improved and refined in the light of mission accomplishment, efficiency, cost containment, service quality and access, and effectiveness.
- Disseminating ethics education and fighting corruption depends on knowledge embedded in people (mainly technical staff as well as other non-human inputs such as technologies, there is an urgent need for developing individual capacities. Major priority areas suggested for improving REACC capacity include the individual level capacity development (specifically capacity building trainings for prevention, ethic education and prosecution staff) and some exposure visits in-country and abroad. In very special cases and specific purposes, secondment from FEACC or any sister REACC has proven to be effective in many cases, provided that the same conditions and safeguards apply to seconded personnel as they do to regular staff. There should also be a leadership and management capacity building training for the executive leadership. For sustaining such training, FEACC is advised to establish its own training centre in collaboration with Ethiopian universities.
- Urgent measures should be taken for improving the commissions' non-human resources that include fairly comfortable office space for all the staff members, office equipment like laptops, computers and printers including internet services for the entire staff of the commission. There is a need for having more vehicles and motorcycles (be used in pool) for covering vast part of the region. Very urgent action should be taken to avail investigation equipment like digital camera, and sound recorders.

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