

Ethiopia Democratic Institutions (DIP) Program Mid-term Evaluation

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List of Abbreviations

AFI	Areas for Improvement
AWP	Annual Work Plan
CAF	Common Assessment Framework
CB	Capacity Building
BOFED	Bureau of Finance and Economic Development
BPR	Business Process Reengineering
CC	Coordination Committee
CCI	Council of Constitutional Inquiry
CON	Council of Nationalities
CSOs	Civil Society Organizations
CU	Coordination Unit
DIP	Democratic Institutions Program
DAG	Development Assistance Group
EC	European Commission
EHCR	Ethiopian Human Rights Commission
EIO	Ethiopian Institution of the Ombudsman
EU	European Union
FDRE	Federal Democratic Republic of Ethiopia
FEACC	Federal Ethics and Anti-Corruption Commission
GOE	Government of Ethiopia
GTP	Growth and Transformation Plan
GTWG	Governance Technical Working Group
HACT	Harmonized Cash Transfer
HOF	House of Federation
HOPR	House of Peoples Representatives
HRD	Human Resource Development
ICT	Information and Communication Technology
IP	Implementing Partner
M & E	Monitoring and Evaluation
KM	Knowledge Management
MOCB	Ministry of Capacity Building
MOCS	Ministry of Civil Service
MTE	Midterm Evaluation
MOFED	Ministry of Finance and Economic Development
MOU	Memorandum of Understanding
NEBE	National Electoral Board of Ethiopia
NEX	National (Program) Execution
NUNV	National United Nations Volunteer
OAG/OFAG/ORAG/	Office of the Auditors General/Federal Office of Auditor General / Office of the Regional Auditor General
PAC	Public Accounts Committee—a Standing Committee of the HOPR
PASDEP	Plan for Accelerated and Sustained Development to End Poverty
PO	Program Officer
PMU	Program Monitoring Unit
PWD	People with Disabilities
REACC	Regional Ethics and Anticorruption commission
RBM	Results Based Management

SNNPRS	Council of Southern Nations, Nationalities and People
SSA	Short-term Service Agreement
SSC	Short-term Service Contract
TA	Technical Assistance
TE	Transparency Ethiopia
TC	Technical Committee
TOT	Training of Trainers
UNDAF	United Nations Development Assistance Framework
UN	United Nations
UNDP	United Nations Development Program
UNV	United Nations Volunteer
WB	World Bank

Executive Summary

Introduction

The Democratic Institutions Program (DIP) is an institutional capacity building intervention with the objective of:

- Enhancing the capacity of democratic institutions to be effective, sufficient and responsive in promoting and protecting the rights of citizens
- Promoting human rights and good governance;
- Empowering citizens to be active and effective participants in the democratic process as well as respect for the rights of others.

To achieve these objectives, the DIP has identified the following key institutions as implementing partners: The National Electoral Board of Ethiopia (NEBE), Ethiopian Human Rights Commission (EHRC), Ethiopian Institute of the Ombudsman (EIO), The Federal Ethics and Anti-Corruption Commission (FEACC), House of People’s Representatives (HoPR) and Regional State Councils (RCs) and City Councils, the House of Federation (HoF) and SNNPR Council of Nationalities and the Office of Federal Auditors General and Regional Auditors General (OAGs).

The **intended outcome of the DIP** is a “well-structured and well-functioning institutions that embody open, transparent and democratic governance which respects the rights of all its citizens as enshrined in the Constitution” (Adapted from the PASDEP, P. 176).

Overall Program Results (over past 26 months)

The MTE team found that while considerable progress has been made on enhancing capacity (public administration reform¹) of the targeted Institutional Partners (IPs) which contribute to achieving the intended outcome of “well-structured and well-functioning institutions that embody open, transparent and democratic governance which respects the rights of all its citizens...”, less progress was made on the DIP’s other objectives of empowering citizens to be active and effective participants in the democratic process or in promoting human rights.

More specifically, the progress made and challenges faced towards achieving the three objectives of DIP include:

1) Enhancing the capacity of democratic institutions to be effective, sufficient and responsive in promoting and protecting the rights of citizens: Solid improvements were made in human and institutional capacity development of democratic institutions at the federal, regional, and sub-regional levels. The IPs and their regional counterparts have generally utilized DIP funds efficiently and effectively to build the technical capacity of their members and staff (in an array of substantive areas as well as in planning, monitoring, and budgeting systems) and to procure much needed equipment and supplies to enable them to better carry out their duties.

2) Promoting Human Rights and Good Governance: Through its support to build the capacity of the IPs to better fulfill their constitutional mandates, the DIP supported the promotion of human

rights and good governance; however, the program design (see explanation below) did not adequately address how to support non-governmental entities involved in the promotion of human right and good governance.²

3) Empowering citizens to be active and effective participants in the democratic process as well as respect for the rights of others: DIP support to IPs did achieve a greater degree of citizen participation in the democratic process and education on respecting rights of others – however, the participation was generally top down and rarely bottom up. Civil society groups received funding and training from IPs to carry out awareness campaigns on a diverse array of issues related to anticorruption, maladministration, and human rights, but given the focus of the DIP on institutional strengthening of governmental institutions, less emphasis and funding was provided to CSOs to allow them to decide on which issues to advocate.

A detailed list of the key achievement/results made by each IP is found in annex 11.

Lessons Learned and Recommendations

Critical lessons learned during the first two years of program implementation and recommendations for the way forward are summarized below:

Program Design: The evaluation considered the adequacy of the program design as a framework for improving institutional performance and democratic governance. The DIP's performance has shown that while some aspects of the original design framework were appropriate for achieving the program's objectives, other aspects were deficient.

Purpose of DIP: The MTE team learned that there was a disagreement among stakeholders about the design purpose of the DIP. Some believed that the DIP was designed as both a capacity building program and as a platform for dialogue on democratic development and good governance with the GoE, while others viewed the purpose of the program design as purely a technical capacity building program of democratic institutions. This issue, *inter alia*, seemed to contribute to the lack of cohesion among stakeholders around the overarching purpose of the DIP. The MTE team did not find any written documentation or other evidence to suggest that the DIP program was developed as a platform for donors to dialogue with the GOE on democratic political space, but rather as an attempt to harmonize technical assistance to an institutional capacity strengthening program. However, given that all subcomponents are now approved, there is potential space for constructive dialogue with individual IPs (in the existing CC or if formed, PSC) on democratic governance.

DIP Objectives vs. Outcomes: The MTE learned that there was a level of confusion or misunderstanding among stakeholders with the terminology used to define the objectives and outcomes of the DIP. A design flaw that seems to have contributed to the confusion around the purpose of the DIP is understood by comparing the DIP's objectives against its intended outcome. In essence, the DIP's three objectives exceed its intended outcome. The intended outcome focuses on strengthening democratic institutions to be more open, transparent and to deliver services and respect rights of citizenry, while the DIP's objectives go further to imply

empowering citizens to exercise their rights through active and effective participation in the democratic process.

DIP: Supply vs. Demand Side Program: The misunderstandings over terminology used in the program design can help explain some of the disagreements among stakeholders about the role of civil society in the DIP. While the MTE team concludes that DIP is mostly a supply side program with its focus on strengthening governmental democratic institutions; there is an important element of the demand-side in the DIP's design---empowering civil society. Citizens and civil society organizations cannot be empowered by democratic institutions; they are empowered by the constitution. Hence, the DIP's design, by providing support to empower citizens and promote human rights solely through democratic institutions, is deficient. The MTE team concludes that IPs have made progress through their (top down) efforts to promote human rights and good governance, but there has been no mechanism to encourage a bottom-up approach to citizen empowerment. The MTE team acknowledges that vulnerable groups have received training and some funding to carry out the IPs' objectives, but the MTE team found scant evidence of DIP's support (via IPs or otherwise) for CSOs to exert pressure on government to honor particular human rights agendas or examples of their [CSOs] active participation in decision making on development programs.

NEX and Institutional Capacity Development: The optimal framework for strengthening human resource management and financial capacity is developed through employing available resources and building on existing capacities. NEX assumes that an institution has sufficient 'capacity' 'to build capacity.' The MTE team learned that all DIP IPs did not necessarily have sufficient levels of capacity to build capacity. The MTE team learned that IPs are at different stages in assessing their own capacity development needs. The team also learned that a systematic capacity needs assessment was not conducted at the beginning of the DIP, which would have been helpful in order to ascertain IP capacity strengthening needs. However, as a result of the recent BPR and DIP supported CAF study, most IPs have made significant progress towards understanding their own capacity strengthening needs. Given this situation, the DIP's governance and management structures gradually provided "support to NEX" through a series of interventions (augmented CU technical and operational services from: national UNVs, UNDP short and long term consultants, UN OHCHR staff, UNDP M&E officer, individual bilateral donor expertise, etc.,) that has contributed to the program making progress towards its objectives and intended outcome. The first half of program implementation demonstrates that NEX operational modalities fostered national ownership and integrated the DIP into the IPs' strategic planning processes; this is both an efficient and effective method to fulfill the IPs' capacity building objectives. However, strategies for effective IP knowledge management -- effective reporting, internal and external program communication and sufficient specialized technical support [from the CU] to IPs was lacking and needs to be addressed going forward.

Program Governance: The MTE learned that stakeholders shared an understanding that the governance arrangements of the DIP were suboptimal. The higher level Coordination Committee with key decision making capacity met infrequently, while the lower level Technical Committee was very active on program oversight, but did not have the requisite decision making authority to resolve bottlenecks in program implementation. The MOFED served as a strong government counterpart in terms of donor coordination and financial management, but lacked the

technical expertise in democratic institutions. The DIP CU provided satisfactory secretariat services for both committees, although some stakeholders made mention of delays in their requests for program related reports and feedback.

Program Management: The DIP CU's mandate with regards to program management gradually expanded as more donors and IPs joined the program. The MTE team found that given its small size and large number of operational and technical demands and many stakeholders, the CU performed satisfactorily despite key personnel changes. Nonetheless, the team learned that in general, stakeholders think that CU must augment its capacity to provide more robust technical inputs, improved supervised IP monitoring and evaluation services.

Communications and Visibility: The MTE team learned that this aspect of the program needs improvement. Communication and knowledge management are essential to efficient and effective program implementation and communication between partners. The MTE team found that the quality of IP reporting was uneven. The DIP's internal and external communication protocols were generally underdeveloped and the program's public visibility was low. A "DIP Communication Strategy" was completed in September 2010. The MTE team endorses the Communication Strategy's recommendations.

Partnerships, Sustainability and Coordination: The MTE team learned that most IPs have not begun the process of developing a DIP exit strategy or resource mobilization plan. While some IPs that completed their BPR mentioned that they thought they could offer remuneration packages to match (or come close) the remuneration received by national UNVs and thereby mitigate the risk of losing national UNVs, other IPs had not adequately thought this through and relied on capturing the UNV skills through structured mentoring of permanent staff. The DIP CU should help to facilitate the process of the DIP phase out plan.

As noted above, the MTE team recognizes MOFED's role as a strong government counterpart in terms of donor coordination and financial management, but lacked the technical expertise in democratic institutions to serve as the institutional home for the DIP. However, after much deliberation and review of an array of alternative governmental (MOCS, HOPR, Office of Deputy Prime Minister, etc) and parastatal (State Universities, Civil Service College and Ethiopian Management Institute), the MTE team concludes that given the disparate nature of the IPs and the importance of the gradual promotion of their institutional independence, there is no single appropriate technical counterpart, "champion institution" or substantive interlocutor for the DIP. Each IP should develop its own set of appropriate technical and political partners to ensure it develops the skills and linkages it requires. The DIP's governance and management bodies should offer to help facilitate this process.

More detailed findings and recommendations are found in the body of the report.

In light of the findings, observations, results and recommendations contained in this report, the MTE team recommends that the DIP be continued for the remaining two-three years to better enable it to achieve its objectives and intended outcome.

Introduction (including purpose of evaluation)

1. The Democratic Institutions Program (DIP) is a five-year, multi-donor program administered by UNDP which has the objective of supporting the Plan for Accelerated and Sustained Development to End Poverty (PASDEP), theme goal "...to develop a fully operational democratic, accountable and responsive constitutional federalism, ensuring citizens empowerment and participation³." The PASDEP is the Government of Ethiopia's (GoE) second-generation PRSP, a document which, *inter alia*, recognises the importance of democracy and good governance as necessary preconditions in the fight against poverty.
2. This GOE-owned agenda is supported by the UN Country Team as set out in the United Nations Development Assistance Framework (UNDAF) and Development Partners expressed in the Governance Strategy document of the Development Assistance Group (DAG) Governance Technical Working Group. Both prioritize strengthening of institutions frameworks of democratic governance in Ethiopia that together contribute towards the overall goal of developing a more capable, responsive, accountable and enabling state. To contribute towards this objective, a five-year multi-donor program in support of seven key democratic institutions was established.
3. The Democratic Institutions Program is an institutional capacity building intervention with the aim of:
 - Promoting human rights and good governance;
 - Enhancing the capacity of democratic Institutions to be effective, sufficient and responsive in promoting and protecting the rights of citizens
 - Empowering citizens to be active and effective participants in the democratic process as well as respect for the rights of others.
4. To achieve these objectives, the DIP has identified, but is not limited to, the following key institutions as institutional partners: The National Electoral Board of Ethiopia (NEBE), Ethiopian Human Rights Commission (EHRC), Ethiopian Institute of the Ombudsman (EIO), The Federal Ethics and Anti-Corruption Commission (FEACC), House of People's Representatives (HoPR) and Regional State Councils (RCs), the House of Federation (HoF) and SNNPR Council of Nationalities and the Office of Auditor General and Regional Auditor Generals(OFAG).
5. DIP has been implemented for 26 months (June 2008-September 2010), and all DIP stakeholders, GoE, IPs, Development Partners and UNDP have been reflecting on ways of making the program more effective. An institutional capacity assessment of DIP institutions and gender audit has been undertaken in January 2010 to identify possible gaps and propose remedial measures⁴. UNDP has also been reviewing the program strategy and the governance structure against considerations of programmatic efficiency and effectiveness, joint ownership, accountability, results orientation, sustainability and knowledge sharing, engagement and communication and has come up with a set of proposals to be discussed with DIP stakeholders.
6. Development partners have viewed the DIP support in light of the Paris Declaration on Aid

Effectiveness and the Accra Agenda for Action. Development partners have in particular emphasized on principles of ownership, harmonization and coordination, mutual accountability, managing for results and the use of local systems.

7. The DIP MTE comes at a time when the Development Assistance Group (DAG) is undergoing a review which is expected to also take in to account the roles, membership and structure of the Governance Technical Working Group.
8. The GOE's Growth and Transformation Plan, PASDEP's successor, is expected to be passed by the HOPR and to be actively promulgated. The DIP's contribution to the GTP is to better ensure that the rapid economic growth envisaged by the plan will be equitable and will contribute to the achievement of the MDGs. (Annex 10)

Background

Ethiopia: Institutions of Governance

9. The key institutions of governance that make the constitutional system operational are: the House of Peoples' Representatives, the House of Federation, the Executive (the Office of the Prime Minister, the Council of Ministers, the Ministries, the Civil Service, and other sectoral offices), and the Judiciary. The HoPR is the legislature responsible for law making, oversight, and representation. In its endeavor to discharge these responsibilities, the HoPR is assisted by a secretariat, the parliamentary staff, and standing and ad hoc committees organized from time to time. The HoF is chiefly responsible for the interpretation of the constitution and management of inter-state and inter-ethnic disputes. As a custodian of the constitution and the representative of the ethnic groups of the country, the HoF is also the institution that rules on the requests of ethnic groups for self-determination. The members are so far elected by regional councils to represent their ethnic groups. In the HoF each group is represented by one member. A group with an additional one million will have one more representative. In its interpretive work, it is chiefly assisted by the Council of Constitutional Inquiry, largely a body of legal experts who examine constitutional cases and submit recommendations thereof to the HoF. In its other activities, it is assisted by the Secretariat, the staff, and the Standing Committees (and their sub-committees). The Executive is chiefly responsible for formulating policies, strategies and plans and for implementing the same under the supervision and control of the legislature. It is backed by a permanent and politically neutral civil service. Needless to say, it also has the security infrastructure (the military, the police, etc) at its disposal for implementing laws and decisions. The Judiciary as an organ of state plays a significant role to support governance. The judiciary, being the custodian and major enforcer of the principle of rule of law, is a key player in governance. According to Constitution, the judiciary is independent (art 78).
10. The activities of these key institutions (HOPR, HoF, and Executive) are bolstered by the work of the watch dog institutions such as the Ethiopian Institution of Ombudsman, the Federal Ethics and Anti-Corruption Commission the Office of the Auditor General and the Ethiopian Human Rights Commission which, alongside the HOPR, monitor the effective

implementation of constitutional responsibilities. These institutions constitute the national trust and integrity system of Ethiopia. As such, they entrench the principles of transparency and accountability of government in Ethiopia.

11. The National Electoral Board of Ethiopia is the institution that is solely responsible for election management in Ethiopia. It has a mandate, among others, to oversee political campaigns, voter education, and party registration; to implement election codes of conduct; to regulate election observation; to recommend on electoral redistricting and polling stations; to count and declare results; and to prepare a comprehensive report of elections; etc. The NEBE is expected to discharge all these duties in an impartial and non-partisan manner. Its credibility being important for its work, it needs to have the capacity to do its business effectively, efficiently, and independently.
12. Owing to the federal structure, there are nine states organized mainly on the basis of 'language, identity, settlement pattern, and consent' (Art 46(2)) and two autonomous city administrations. Each of the nine states had their own state constitutions with own bills of rights. They all have their own legislative, executive, and judicial organs of state. Almost all (save for SNNPRS and Harari) have a unicameral legislature with all the law-making, oversight, and representative mandate. The Executive (headed by Regional Presidents known as Chief Administrators supported by sector Bureau Heads who constitute the cabinet) are responsible for formulation of policies, strategies, and plans and execution of laws and decisions taken by the legislature. A three-tiered independent judiciary is envisaged in all the state constitutions. (There are also Kebele social courts dealing with minor cases at the local level. The judiciary however does not have the ultimate power to interpret the regional constitutions. The Constitutional Interpretation Commissions do, often supported by the regional Councils of Constitutional Inquiry. (In the SNNPRS, the Council of Nationalities, CON, interprets the Constitution.)
13. Zones, Woredas, and Special Woredas constitute local governments in the regions. The Kebele is the last unit of governance. The Woredas have a deliberative, not to say legislative, council. It also has an administrative council which serves as the executive of the local government. Needless to say, it has an independent judiciary. At these various levels, there are watchdog institutions such as the Auditor General and the Regional Ethics and Anti-Corruption Commissions (REACCs). The constitutions mandate the state legislatures to establish their own human rights commissions and ombudsman institutions. So far, no region has established such institutions of its own. Owing to the inexperience in local self-rule, lack of skilled manpower especially at the local level, and because of heavy dependence on the federal government for their budget (partly because the local governments have no revenue power), there is a notable weakness in their performance. The government's effort to build capacity notwithstanding, there is a manifest need for capacity enhancement at the sub-national level of governance.
14. Democratic and electoral practice has a brief history in Ethiopia. The first multi-party election was conducted in 2000. (The May and June 1995 elections for membership in the federal and regional parliaments respectively, were both boycotted by opposition political parties.) A very competitive election with a high voter turnout was conducted in 2005 but the

post-election crisis marred the whole exercise. In May 2010, there was the fourth national election since the adoption of the FDRE constitution. In this election, the EPRDF won all the parliamentary seats but two—one independent and one opposition. The weakness and continued fragmentation of opposition political parties, and the weakness of the electoral institutions both at the federal and regional level, and inexperience with democratic practice undermined the full blossom of democracy in Ethiopia.

15. Chapter three of the FDRE constitution has a long list of fundamental rights and freedoms that are recognized in the instruments that constitute the International Bill of Rights (namely the Universal Declaration of Human Rights, the International Covenant on Civil and Political Rights, and the International Covenant on Economic, Social, and Cultural Rights). The whole range of rights (individual as well as collective, civil and political as well as economic, social, and cultural) is granted generous recognition. To help better promote these rights and monitor their protection, enforcement, and fulfillment of these rights, the EHRC and EIO have been established in 2000 and have started operation in 2005. Nevertheless, there are reports holding that Ethiopia's performance in terms of living up to its commitments in the area of human rights, nevertheless, there is still for improvements in this area.
16. One of the basic principles of the FDRE constitution is the principle of transparency and accountability of government (art 12). As per this principle, government is expected to be responsible and responsive to the public. It is also expected to be accessible (physically as well as through other media). In addition, the principle enjoins that there is a free flow of information from the government to the public. (The Freedom of Information Proclamation of 2009 is expected to bolster these principles.) Parliamentary oversight (through demanding and hearing reports, or through on-site visits and public censuring of executive officials) is the practical outworking of these principles
17. There are a number of low key conflicts in some regions of Ethiopia. Competition for resources, power, and opportunities at the local level create some clashes among neighboring ethnic groups in ethnically heterogeneous states such as the SNNPRS and Benishangul-Gumuz National Regional State. There are also inter-state conflicts over borders. (The border issue between Oromia and Somali National Regional States is only one among several examples.) The Ministry of Federal Affairs (MoFA) and the House of Federation are the institutions handling such conflicts, albeit with some problem of coordination of activities between the two. The MoFA has long been working on a comprehensive conflict strategy while the HoF is also considering the possibility of creating new institutions of intergovernmental relations (IGR). Meanwhile, the annual consultative meetings among the regional states (where the states come together to share experience, to learn lessons from each other, and to build consensus on some common issues) is informally serving as the institution of IGR.

Institutional Capacity and the Challenges

18. As elaborated above, the efforts of the Government of Ethiopia (GOE) to take measures that can help restructure the state, democratize the government, entrench human rights, improve the economy, and empower citizens were partly constrained by a severe lack of institutional

and human capacity. Apparently, it was to curb this problem of capacity that they launched a number of reform programs such as the Civil Service Reform, the Justice Reform, and the Business Process Re-engineering. Institutionally, the GOE established the Ethiopian Civil Service College to help alleviate the capacity problem especially in the regional states. Moreover, it set up the Ministry of Capacity Building (MoCB) to strategize for a better system of capacity building and to ensure the implementation of the reform programs mentioned above. (There was even a Parliamentary Standing Committee for Capacity Building.)

19. To improve the economy, the GOE came up with the PRSP (2000-2005), the PASDEP (2005-2010), and now the GTP. These measures to jumpstart the economic development were expected to be taken in cooperation with Ethiopia's development partners from the international community. The Ministry of Finance and Economic Development is the GOE's key development aid management institution which sets priorities, allocates budgets, and accounts institutions for their utilization of the finances released to them.
20. It is through this lens that one can understand the role of the DIP in strengthening democratic institutions, promoting human rights and encouraging meaningful citizen participation in democratic governance.

Program Design

21. The program was designed in part to support achievement of the objectives set out in the PASDEP and the UNDAF, to improve governance, security and human rights and to improve the quality and delivery of basic services to all sections of the community.⁵
22. Overarching outcomes provided by the DIP umbrella document (August 2007)
 - Parliament and Electoral Bodies (federal and regional) empowered to fully integrate the priorities of the population and particularly the vulnerable and marginalized groups.
 - Increased enjoyment of human rights at grassroots level through Government efforts in promotion and protection of human rights, and through civil society empowerment of vulnerable groups (in particular women and children) and their capacity to influence the development process.

Three DIP Objectives (DIP Program Document 2007)

The Democratic Institutions Program is an institutional capacity building intervention with the aim of:

- Promoting human rights and good governance;
- Enhancing the capacity of democratic Institutions to be effective, sufficient and responsive in promoting and protecting the rights of citizens
- Empowering citizens to be active and effective participants in the democratic process as well as respect for the rights of others.

Program outcome⁶ The immediate outcome of the DIP stated in the original results

framework (DIP Umbrella document 2007) is “a well-structured and well-functioning institutions that embody open, transparent and democratic governance which respects the rights of all its citizens as enshrined in the Constitution” (Adapted from the PASDEP, P. 176).

Program outputs⁷: The DIP has the following outputs:

- Prevention, investigation and prosecution of corruption supported and increased awareness of ethics and anti-corruption within Ethiopia.
 - Parliament’s Capacity for law making and revision strengthened at federal and regional levels.
 - Parliament’s consultation/representative function strengthened and technical function in designing in poverty reduction legislation enhanced at federal and regional levels.
 - Parliament’s oversight functions strengthened.
 - Institutional strengthening of electoral bodies including the National Electoral Board of Ethiopia.
 - Improved operational mechanisms of national human rights institutions (including Human Rights Commissioner and the Ombudsman office, Ombudsman for Children).
 - Human Rights Education: Increased understanding and awareness of governmental, nongovernmental bodies, the judiciary, communities, law enforcement agents, Parliament, grassroots organizations.
23. The program adopted a holistic approach that considered the role of the seven institutions of democratic government and stakeholders, including the executive, and the legislature, civil society and the regional states.
24. While we can conclude that DIP is mostly a supply side program conceived primarily to strengthen the institutional framework for democratic governance, there is an element—empowering civil society—that is demand side, and, this has not been supported by the DIP so far. To date, the IPs has done a decent job at top down efforts to promote human rights and good governance, but there has been no mechanism to encourage a bottom-up approach to citizen empowerment. Yes, vulnerable groups have been given training and some funding to carry out the IPs’ objectives, but the MTE team found scant evidence of DIP’s support for CSOs to exert pressure on government to honor particular human rights agendas or active participation in decision making on development programs. Regardless of the supply side nature of the DIP, the MTE team concludes that there is need for “creative thinking” on how to empower grassroots groups dealing with human rights and good governance. Alternatively, the three DIP objectives will need to be re-written so as to only reflect a purely top-down, supply-side governmental approach to achievement of intended outcome.

Evaluation Objectives, Scope and Methods

25. This is a mid-term evaluation. The scope of the report is thus circumscribed both in time and in breadth (of all implementation partners’ institutions it evaluates). Thus, it is limited in time to the three years since the DIP was signed (2007-2010). It thus reviews the activities undertaken, the achievements scored, and the setbacks it faced in the last two years in the

light of the outcomes and outputs set for the program. (For NEBE and OFAG, the time subjected to this review is even shorter as they became beneficiaries of the DIP much later.) The MTE review sought to assess the performance of each institution that is an implementing partner by looking into its relevance (e.g. to their strategic objectives), efficiency and effectiveness. It also looked into the sustainability of the capacity enhancement endeavors launched by the DIP in the respective IP institutions. Moreover, the evaluation assessed the level of coordination of the DIP intervention with other capacity enhancement activities of the IPs supported by other bilateral or multilateral assistance groups outside of the DIP.]

Methodologies and Sources of Data

26. The evaluation assessed the program in the light of its stated objectives (the results-based framework) by using the five-fold criteria of relevance, effectiveness, efficiency, coordination, and sustainability. In order to do that, it was important for us to first describe the context of each IP institution (the mandate, the legal status, the operational modalities, strategic objectives, organization and staff situation, etc) in order to effectively gauge the performance of the IPs, to identify the challenges faced, if any, and to determine the lessons learned from their experiences in the course of the implementation of the DIP to date. The description was then followed by the assessment of the performance thus far in the light of the above mentioned criteria.
27. The key methodology used in this process is engagement with a wide range of stakeholders in a participatory discussion on the DIP's progress, challenges and future program needs (Annex 9 – List of stakeholders and resource persons interviewed). By bringing together both qualitative and quantitative information and by triangulating the information gathered through a range of data gathering instruments (literature and document review; interviews, focus groups discussion (FGDs), questionnaires, workshops; and field visits), we sought to first determine the level of performance of the DIP Institutions and the stakeholders involved in its governance and management. By analyzing their performance in the light of the results-based framework and through a rigorous application of the criteria of relevance, effectiveness, efficiency, coordination, and sustainability, we tried to establish findings that help articulate the lessons learnt and to draw out the recommendations on the way forward.
28. The principal methods of data gathering employed in this exercise are: literature review (review of umbrella documents, UNDAF documents, PASDEP, GTP, the program documents and IP Sub-Program documents, IP AWP, DIP Reports, IP Reports, etc; and other relevant policy and legislative documents of the Ethiopian governments, etc); interviews, FGDs, and discussions with IPs, DIP CU, TC, and DIP Donors; questionnaires administered to the DIP CU at the UNDP; extensive interactions (formal and informal) with the staff of the DIP CU; site visits to the offices of the IPs; field visits to the IPs in the regions (such as the RSCs, CoN of SNNPRS, REACCs, Grievance Bureaus, Regional Offices of Auditor Generals, , etc).

Approach and Orientation

- 29. The approach is participatory. The orientation is forward looking. The exercise is complex as it involves research into the institutional and non-institutional actors working at different levels in the IPs and beyond. The goal is to examine the extent to which the DIP intervention has contributed to the overall capacity improvement efforts of the IPs to discharge their responsibilities; to examine the continued relevance of the intervention in the light of the changing environment in which the program is being implemented; and to assess the extent to which the governance and management modalities of the DIP encourage effectiveness, efficiency, sustainability, coordination, and continued relevance.
- 30. The participatory nature of the approach, it is hoped, enhances stakeholder ownership of the evaluation results, helps maintain objectivity during the consultation and analysis process, to triangulate information on the wider policy and administrative environment, the planning and implementation processes, and to eventually reach broader evaluative findings. This approach is also intended to help to draw on qualitative and quantitative information that fosters better understanding of the country context in which the DIP is situated and is being implemented.
- 31. In this report, the fact that not all the IPs are at the same level of involvement in the program is appreciated. That the NEBE and OFAG became beneficiaries of the DIP only later is duly noted.

Methodological limitations

- 32. The program scope was very broad, which represented a challenge to complete a comprehensive assessment of all of the sub program and program activities and impacts (see Annex 7: Mission Plan).
- 33. There were two events in which all donors were invited to share their thoughts and opinions with the evaluation on how the MTE should be conducted (Inception report meeting) and on the programs progress and challenges (DIP donor meeting). There was limited donor participation at both events. The MTE team did reach out to all donors individually in attempt to get their perspective; however, some donors were unavailable to meet with the MTE team during the evaluation period.
- 34. Given the limited timeframe of the MTE, the team was unable to meet with all civil society beneficiaries of the DIP. Nonetheless, the team did meet a number of CSO selected by the IPs to ascertain their level and the type of interaction.
- 35. The evaluation also experienced the normal limitations associated with short-term consultancies, including short time to research and master project documentation of a long term program that experienced two program managers and other staffing changes, and is being implemented during a period of dynamic social, economic and political setting.

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Evaluation Findings

Program Design and Strategy

Sufficiency of the DIP Program Design and Strategy

36. The DIP program was designed to deepen and promote good governance through strengthening of key democratic institutions.⁸ It was expected that the DIP, developed within the context of the PASDEP subtheme on Good Governance, would contribute to the achievement of Millennium Development Goals (MDGs) set by Ethiopia and which, to a large extent, underpin the PASDEP design.⁹
37. The program was planned for five years from the date of signature (August 2007), and it included five IPs and 11 donors. The strategy put forth for achieving results was to further build on aid harmonization programs such as the Public Sector Capacity Building Program (PSCAP), which focuses on six major sectors, and the Protection of Basic Services (PBS) program (see partnership section below).
38. The MTE team learned that the origins of the DIP arguably lie in the aftermath of the 2005 election.¹⁰ Prior to this, the donors were ambivalent about the importance of political governance and undecided about how best to engage the GoE on strengthening democratic institutions and promoting a culture of human rights and citizen empowerment. The DAG began to discuss these issues. Some of the results of these discussions were the inclusion of democracy indicators in the PASDEP, and a decision to provide technical assistance to fledgling democratic institutions and civil society organizations to further the promotion and protection of human rights and citizen empowerment was advanced.
39. The MTE team learned that DIP was a difficult program to design, because of the disparate concerns of the donors and lack of clarity on what the key GoE interlocutors were.¹¹ Nonetheless, the original program document was expedited to harness the enthusiasm of the donors.
40. Given UNDP's ongoing partnership with these institutions,¹² its experience in managing donor funds, its comparative advantage as an "impartial" partner and its mandate to be a focal point for donor coordination and harmonization, the case for UNDP to manage the multi-donor resources in support of democratic institutions was strong (Annex 3–UNDP DG programs pre DIP).
41. The DIP strategy focused on strengthening capacities at the individual and organizational levels and so designed a governance and management arrangement, National Execution (NEX), which in turn was expected to foster national ownership of the process and the direct ability of the institutions to engage stakeholders and conduct situational analysis, visioning, mandating, and formulation of policies and strategies, budget management and implementation.
- 42.

Table1: DIP Design (this table summarizes the main design assumptions, briefly elaborates on them and suggests recommendations for an improved DIP design. The section below the table further discusses and justifies the recommendations.)

Design Assumptions	Discussion points	Recommendations
<p>NEX Approach:¹³</p> <ul style="list-style-type: none"> ➤ Enabling environment: This assumption, based on post-2005 elections was that the political will, conducive planning frameworks and the capacity exist to manage multi-donor support to democratic government institutions and to realize its good governance objectives. ➤ With the adoption of NEX for all DIP sub-programs in line with United Nations ExCom agency agreements, the assumption was there was sufficient capacity in IPs to be strengthened.¹⁴ ➤ IPs has sufficient and similar levels of capacities to successfully implement DIP toward its holistic good governance outcomes. ➤ MOFED, as a DIP counterpart, is capacitated and mandated to provide support and monitor program results and operations. ➤ DIP CU support mandate is operational support to implementation and nothing more. 	<ul style="list-style-type: none"> ➤ The situational analysis presents the Ethiopian context that demonstrates political economy and points to readiness for NEX modality and donor support to democratic institutions. ➤ As a multi-donor support program, DIP has certain attributes that support NEX and the continuing of aid harmonization efforts for management, which in turn supports overall program relevance, efficiency and effectiveness in terms of integration in strategic planning processes and fosters national ownership. ➤ IPs do not have similar level of capacities and do have varying needs in terms of technical and capacity strengthening support. ➤ MOFEDs mandate is aid coordination and financial oversight, but it does not have the ability to provide ongoing or specialized technical support for new democratic institutions to carry out the mandate. ➤ The DIP program strategy stipulates that DIP CU should provide operational support to DIP IP implementation.¹⁵ There was no reference in the original design that upheld the “support to NEX” approach. Support to NEX has emerged as a response to important capacity strengthening needs based on important learning during the implementation process that has enabled the UNDP and the DIP CU to effectively deal with fundamental design issues found to negatively impact on the program performance and implementation, most significantly, the growing technical and operational support responsibilities of the DIP CU.¹⁶ 	<ul style="list-style-type: none"> ➤ “Support to NEX” should be instituted. This can be facilitated through augmenting DIP CU’s support mandate. Thus the current proposals for enhancing the capacity strengthening approach for DIP CU to coordinate and facilitate a steady flow of technical and operational inputs into the IPs can be adopted and resources, capacities and the functions of the CU can be adjusted. ➤ To resolve the issue around the need for long term substantive knowledge inputs into IPs, a DIP phase out plan that researches alternative counterpart arrangements should be explored in an exit strategy exercise.

<p>Flexibility:</p> <ul style="list-style-type: none"> ➤ DIP funding, management arrangements, results framework and monitoring and evaluation strategy would be adequately refined/ reformed in a timely manner after the DIP sub-program documents were developed. 	<ul style="list-style-type: none"> ➤ Program documents were actually developed according to different institutional planning time frames, making it difficult for monitoring and assessing technical support needs in the absence of a clear baseline and smart indicators. ➤ DIP reform process is currently still ongoing (at mid-term). A DIP Substantive DIP Program Revision Document Proposal is being discussed in the context of this MTE. 	<ul style="list-style-type: none"> ➤ As DIP reform process is underway, i.e. DIP Substantive DIP Revision Document Proposal is being discussed; Capacity Assessment CAF and Gender Audit proposals in the context of this MTE should allow that all these exercises provide input into a final program document that becomes a tool for management. A good results framework at two levels of program implementation should be instituted.
<p>Timing/Scope (2007-2012):</p> <ul style="list-style-type: none"> ➤ The implementation timeframe 2007-2012 was appropriate for strengthening institutional functional and technical capacities in seven institutions. Originally five institutions were beneficiaries of DIP and 11 donors. 	<ul style="list-style-type: none"> ➤ DIP design architects did not give sufficient consideration to the lengthily formulation and approval processes -- would be time-consuming, and the open fund-growing scope of the DIP.¹⁷ 	<ul style="list-style-type: none"> ➤ DIP Program should be extended to comply with the gap in implementation. This change should be noted in proposed DIP Substantive Review Document.
<p>Regional Institutions:</p> <ul style="list-style-type: none"> ➤ Support to federal institutions would translate into support for regional counterparts of those institutions. 	<ul style="list-style-type: none"> ➤ DIP program focus is on strengthening Federal democratic institutions and in many cases had no counterpart or only weak linkages with the counterpart institutions in the regions. 	<ul style="list-style-type: none"> ➤ Consideration should be given to DIP program allocation for regional institutions. (see specific recommendations in Table 5 below)
<p>Sustainability:</p> <ul style="list-style-type: none"> ➤ NEX supports sustainability of program outcomes. 	<ul style="list-style-type: none"> ➤ MOFED was identified as a DIP counterpart institution and is the appropriate counterpart for external aid/financial management. However, it is not necessarily the most appropriate institution for continued substantive capacity strengthening needs of the democratic institutions. 	<ul style="list-style-type: none"> ➤ The TC/CC (or if formed, the PSC) should further explore sustainability through individual IP sustainability plans. DIP CU to facilitate this planning process.
<p>Civil Society Engagement:</p> <ul style="list-style-type: none"> ➤ The assumption was that strengthening institutions of democratic governance through NEX modality enables IPs to directly provide funding and other program assistance to support and strengthen the work of CSOs. 	<ul style="list-style-type: none"> ➤ Support to CSOs is a critical aspect of democratic/good governance. The GOE recently instituted a CSO law (2009) severely limiting direct foreign funding to CSOs/NGOs that work on human rights and good governance issues, which has altered the enabling environment for this assumption. 	<ul style="list-style-type: none"> ➤ The strategy for CSO engagement in DIP needs to be reviewed and made explicit during second half implementation (see section on CSOs, IPs and Recommendations). ➤ Policy dialogue should be facilitated through the forums such as the GTWG or on bilateral (donor – IP) basis support the issues need to be brought forward. ➤ As the institutions become capacitated to more effectively discharge their mandate, they will also support more effective engagement with civil society.

	<ul style="list-style-type: none"> ➤ While democratic institutions are necessary, they are not sufficient for democratization. All must recognize that building democratic institutions is a means, not an end itself. MTE team recognizes that space for constructive and supportive policy dialogue around this is missing. ➤ The MTE team found that IPs are channeling some funding through local CSOs to further their awareness raising and building objectives, but that it is a top-down, not a bottom-up approach or “two-way” process. Moreover, the funding from IPs to CSOs is more about dissemination of information related to the IPs public awareness campaigns, not for support of specific human rights or good governance agendas of local CSOs. 	
<p>Donor Involvement in Implementation: Donors would be actively involved in DIP oversight through membership on CC and TC, providing technical inputs in a systematic way to enhance program implementation.</p>	<ul style="list-style-type: none"> ➤ The assumption that donors would be actively involved in DIP oversight through their membership on the CC and TC and able to provide technical inputs in a systematic way to the implementation was misleading. The mechanism for technical involvement for DIP implementation and sub-programs was not made clear in the original program document. ➤ There was a disagreement among donors about the about the purpose of the DIP design.¹⁸ Some donors believed that the DIP umbrella program was designed as both a capacity building program and a platform for dialogue on democratic development with the GoE, while other donors viewed the purpose of the program design as purely technical capacity building for democratic institutions. 	<ul style="list-style-type: none"> ➤ MTE team recognizes that donor input into the program needs better facilitation. The recommendation is to continue developing Task teams to facilitate partner’s inputs into technical problems within IPs and also to augment DIP CU to support technical knowledge transfer and more engagement through enhanced knowledge management functions i.e. Collecting and disseminate donor knowledge services and inputs into the IPs. ➤ No documentation or other evidence to suggest that the DIP program was developed as a platform for donors to dialogue with the GoE on democratic political space. Evidence does exist to support the thesis that the DIP was designed to harmonize disparate donor technical assistance to an institutional capacity strengthening program.¹⁹ The MTE team recommends that donors engage in bilateral negotiations with IPs concerning matters of democratic political space.

43. Important assumptions were inherent in the DIP program's design, including the following:

- a. National Execution:²⁰ This assumption was that the political will and sufficient staff capacity existed within IPs to manage a multi-donor support program. The decision to utilize the NEX implementation modality for all DIP sub-programs is in line with United Nations ExCom agency agreements.²¹ In addition, the approach assumes that MOFED is capacitated to provide technical support and monitor program results, while the DIP CU was designed to provide operational and coordination support to the IPs on behalf of UNDP. In addition, NEX in DIP context assumes that UNDP will provide external technical support as needed.
- b. Flexibility: DIP management arrangements, results framework and monitoring and evaluation strategy would be adequately refined/reformed in a timely manner after the DIP sub-program documents were developed.
- c. Timing and Scope (2007-2012): The implementation timeframe 2007-2012 was appropriate for strengthening institutional functional and technical capacities in seven institutions. Originally five institutions were beneficiaries of DIP and 11 donors.
- d. Support to Regional Counterparts: Support to federal institutions would translate into support for regional counterparts of those institutions. DIP program focus was, however, on strengthening federal democratic institutions, and in many cases had no counterpart or only weak linkages with the counterpart institutions in the regions.
- e. Donor Involvement in Implementation: Donors would be actively involved in DIP oversight through membership on CC and TC and provide technical inputs in a systematic way to enhance program implementation.
- f. Civil Society Engagement and Community Participation: The assumption was that strengthening democratic institutions through NEX modality enables IPs to directly provide funding and other program assistance to support and strengthen the work of CSOs. Support to CSOs is a critical aspect of democratic/good governance.
- g. Sustainability: NEX was viewed as the appropriate modality towards sustainability of program outcomes.

44. Design assumptions are elaborated below.

a. National Execution Modality (NEX)

45. As a multi-donor support program, DIP attributes include NEX and the continuing of aid harmonization efforts, which in turn support overall program relevance, efficiency and effectiveness in terms of integration in strategic planning processes and fosters national ownership.

46. The MTE team learned that pre-2005 donors were engaged minimally on political governance issues. Furthermore, the 2005 post-election crisis served as the stimulus for donors to seek a way to strengthen democratic institutions. The space for the DIP to emerge came with the inclusion of democracy indicators in the PASDAP, likely as a result of the post 2005 elections²².

47. The MTE team found the DIP program is on track with its capacity strengthening approach – NEX recognizing that particular changes must be made to the original design in order to address many of the false assumptions outlined above.
48. The MTE team learned that capacity levels for implementing DIP in each IP was not uniform, and in some cases, IPs had insufficient capacity for NEX. While DIP sub-programs were being developed and donors were adjusting their commitments, the capacity of the implementing partners went without assessment until January 2010.²³
49. In order to harmonize the DIP intervention with IP’s strategic plans, the program has been aligned with the GoE fiscal calendar, which means that the DIP is not treated as an external project but now forms critical part of the IPs’ plans. This is indicative that the NEX design is in part working.
50. The NEX modality has proved to greatly improve and expand the sense of national ownership of DIP. Another characteristic of the modality is its cost effectiveness. NEX substitutes national for international personnel; hence, it uses less expensive human resources. According to a UNDP evaluation on the subject, NEX contributes to capacity building, especially to the development of human resources, and in some environments to organizational capacity building.²⁴
51. National ownership, however, also comes with a cost and its price is often the delay of implementation due to the participatory nature of formulation.²⁵
52. The challenge of NEX is thus to ensure during the design stage that there are opportunities for revision, elements and/or a mechanism are included to ensure effective monitoring and oversight of technical support input and linkages that facilitate accountabilities and steady flow of knowledge inputs into the programs for maximum benefit and accountabilities.²⁶

Changes proposed to NEX

53. DIP’s design (as stipulated by the DIP program umbrella document) was intentionally systematic²⁷. It provided space for flexibility and time for all of the sub-programs to be developed and refined (see implementation story line - Annex 5). Articulation of the DIP program umbrella document in the 2008 biannual and annual reports was reinforced during TC meeting stipulating “a revision of the DIP program document one year post start of implementation was anticipated”. Normally, a capacity needs assessment, HACT assessment and gender audit are required, but these were waived until all the sub-programs and DIP donor arrangements were actually finalized.²⁸ Such actions would have clearly established the monitoring baseline and supported the ability of DIP CU to measure progress.
54. According to TC minutes of July 15, 2009, UNDP tabled a recommendation to revise the DIP umbrella program document as a result of problems arising during implementation concerning capacity within IPs to manage DIP funds (see the eight-point revision plan (below). As a result, the DIP CU on behalf of partners facilitated the development of an explicit “*two-pronged capacity strengthening approach in 2010* to provide for resources to

enhance support to NEX in response to the capacity gaps identified during first half implementation. This process was spearheaded with CAF in January 2010 (see explanation below). These were the recommendations:

- Due to delay in implementation, to extend the project duration by one year;
- To change pledges to reflect actual contributions in the document, making provision for new donors and beneficiaries;
- To reconsider earmarking funds;
- To revise the umbrella document Results Based Management (RBM) framework in accordance with the completion of all the sub-program documents and the addition of several beneficiaries and donors;
- To make allowances for IPs to be provided with common training in RBM, monitoring and evaluation (M&E) and mainstreaming of gender concerns;
- To develop an individual action sheet for filling institutional and program capacity gaps to submit to UNDP management since the DIP program had not been originally preceded by a capacity assessment;
- To check HACT compliance and take corrective measures;
- To develop an action plan for a communication strategy;
- To enhance DIP management structures and relationship with donors.

55. Proposals were also tabled for improving the DIP manager's accountability, including 1) revising the budget and operations of CU to add more capacities for supporting IPs and 2) for communications and visibility plan, capacity building and procurement expertise. The July 15, 2008 TC meeting review recommended that CU discretion was to be used to engage UNVs and UNDP hired consultants.

56. Several actions illustrate the DIP CU's attempt to implement these recommendations. For example, it facilitated external consultancy for the Capacity Needs Assessment (CAF), HACT assessment, Gender Audit and Communication planning. DIP CU facilitated a donor retreat in early 2010 and initiated follow-up meetings (Annex 5) to resolve issues arising. Notably, however, the DIP CU was requested by MOFED to undertake these recommendations without compromising the \$43 million dollars allocated for IP capacity strengthening.²⁹ These activities were funded from the DIP CU operating budget and have been incorporated into the Substantive DIP Program Revision Document Proposal, which the MTE team has reviewed and endorsed. This document incorporates a revised log frame with smarter indicators for sub program implementation. The document also takes into account many of the changes needed to support NEX articulated above.

57. According to interviews with IP Head of Agencies, DIP activities are integrated into internal strategic planning processes, and that the DIP CU provided good support for this process. This is indicative of results. For example, the HOF Secretary General was adamant that DIP funds contribute to their strategic planning and that although HOF "had an ambitious strategic plan," as a core government activity, it needed to utilize DIP funds to support HOF's own capacity development processes inherent in the strategic planning and recent BPR exercises spearheaded by MOCB . This sentiment was shared by most IPs.

58. The MTE team noted the commitment of MOCB to streamline donor assistance and support to BPR for strengthening core government institutions, feeling that this represented a unique window of opportunity for aligning DIP with a government initiative. The MOCB would, over time, underwrite the cost of hiring the technical expertise for the IPs that the BPR process identified exposed. The DIP has and should continue to build staff capacity. This was found to be complementary, speaking to the catalytic nature of the DIP program.

Capacity Assessment Framework CAF/Gender Audit–March 2010

59. The MTE team reviewed the joint Capacity Needs Assessment (CAF) and the Gender Audit conducted conjointly in January – March 2010 and learned that a number of IPs had actually integrated the AFIs arising from the exercise into the 2010 work plans.
60. The Capacity Needs Assessment (CAF) provided a methodology to articulate capacity gaps to IPs in a participatory way and to address problems with sub-program implementation in order for IP service delivery to be enhanced. The three key outputs from the assessment exercise were a long list of Areas for Improvement (AFIs) and a short list of 10-12 Vital Priority AFIs for each IP – which IPs wish to see incorporated into their DIP work plans and organizational development strategies.
61. The assessment also outlined several common programmatic and institutional capacity gaps that have emerged during the course of the implementation and are problematic for NEX and DIP design.³⁰ Programmatic gaps identified included lack of adequate understanding of the program implementation manual, procedures on reprogramming, procurement and recruitment, monitoring and evaluation, inadequate gender component of DIP programs and lack of understanding of capacity development and results based management. Institutional gaps identified include leadership and work culture, absence of systems (such as those for monitoring and communication) and the inability of some of the agencies to retain key and professional staff.
62. A Gender Audit was conducted in conjunction with the CAF exercise in order to serve as a baseline for measuring IP future gender mainstreaming performance and to inform the overall DIP Gender Strategy. The team agreed with the overall findings of the study. The findings highlighted that “while all IPs, particularly IP leadership and management, support gender mainstreaming as an organizational principles and process, there is still confusion as to what gender mainstreaming is and more importantly what it looks like in practice.”(Executive Summary- DIP Gender Audit).
63. The MTE team agreed that it is essential that IP capacity is strengthened around the gender perspective and integrated into different organizational and staff processes. The report correctly highlights that the underdeveloped system of gender mainstreaming is “often linked to the broader capacity development needs” and therefore it was fitting that the gender audit was linked to the capacity needs assessment exercise.
64. Since recommendations were provided to IPs, the MTE team found that some IP have responded by consciously including a gender response and the capacity assessment into the

new AWP work plans i.e. FEACC, while others have not tangibly addressed gender mainstreaming issues. The Gender Audit provided eight suggestions for improvements; however, the MTE team recommends that a DIP CU management response is needed to follow up on the recommendations.

65. When queried as to the usefulness of the exercise, the consensus across IPs was that the Capacity Assessment and the Gender Audit were helpful and that 2010 Annual Work Plans integrate the recommendation of both exercises.

Support to NEX

66. The DIP program strategy stipulates that DIP CU should provide operational support to DIP IP implementation.³¹ However, there are no references in the original design that indicate a “support to NEX” approach. The concept of ‘support to NEX’ has emerged based on important learning during the implementation process and through the effective actions taken by the UNDP and the DIP CU to effectively deal with the fundamental design issues that have been negatively impacting on the program’s performance and implementation. This has also influenced the growing technical and operational support responsibilities of the DIP CU.
67. The DIP CU has been on a steep learning path concerning what program support is needed while troubleshooting governance, operational and technical challenges arising during the implementation process (Annex 5 For example, as a result of the challenges emerging during implementation, the MTE team learned that the DIP CU progressively began to provide more technical inputs to implementation activities and increased operational support functions, such as strategic planning and management support, IP human resources backstopping and procurement.³²
68. Although DIP reform was actually initiated after the approval of the DIP reform document in July 2009 during the 10th TC meeting, a separate budget for the DIP reform was not agreed upon on assumption that the activities under the reform will be covered from the DIP CU annual budget.³³
69. If the strategy for IP capacity strengthening is to be realized, the proposals for enhancing the capacity strengthening approach for DIP CU to coordinate and facilitate a steady flow of both technical and operational inputs into the IPs will require a rethinking of the current capacities and the function of the CU.³⁴
70. Examples of how DIP CU demonstrated leadership and ingenuity in dealing with these implementation problems include the development of the Program Management Unit (PMU) meetings as a monitoring tool (elaborated on below), convening ad hoc meetings with partners in order to backstop implementation problems and actions taken to identify solutions for operational implementation i.e. procurement problem and scheduling issues.
71. Clearly, through an iterative process of active engagement and learning during the IP sub-program development phase, the DIP CU had effectively responded on matters concerning the DIP program design and strategy.³⁵ According to the DIP Umbrella Program Document,

p.7, DIP was a flexible funding mechanism developed under UNDP's management structure. This arrangement would enable donors to earmark funds for specific institutions or provide lump sums, third party cost sharing funding for the entire program. This allowed GOE/UNDP flexibility in allocating funds, primarily based on the implementation capacity of respective institutions and more predictable and long-term funding possibilities for the respective institutions. It also enabled donor to reassign funds to other institutions, if some institutions did not fully utilize the resource allocated to it. The MTE team thought that in principle this worked but in practice, but the flexibility was also allowed development partners to halt funding if they felt they had insufficient control of how the money was spent.

b. Flexibility

72. Regarding the assumption that the DIP umbrella program document would be refined in a timely manner after the DIP sub-program documents were developed, the MTE team found that program documents were actually developed according to different institutional planning time frames, making it difficult for monitoring and assessing technical support needs in the absence of a clear baseline and smart indicators.³⁶

c. Timing and Scope

73. Program architects involved in the DIP design phase did not take into consideration that the formulation and the approval processes would be time consuming; they failed to give enough prior consideration to the potential growing scope of the DIP.³⁷ While the DIP umbrella program document was signed in August 2007, approval of all the sub-program documents took place in April 2008. Many bureaucratic steps were to be finalized before the actual release of funds to implementing partners. With the exception of the HOF sub-program, the first transfer of funds to be used in DIP activities took place at the end of June 2008. (See history in Substantive DIP Program Revision Document Proposal, p.6- Annex 8). The MTE team recognized that the TC suggestion to adjust the program timeframe is justified.
74. There was debate among the TC members whether or not to permit more institutions into DIP; although there does not seem to be any further advances, the MTE team views the current scope of the program (7 institutions and 12 donors) is very broad, and unless the CU capacity is augmented to better manage and support IPs, the decision making function is streamlined, technical inputs into implementation process enhanced, the program is best restricted to supporting these institutions (see program management section below for analysis of DIP CU capacities).

d. Support to Regional Counterparts

75. The assumption that DIP support to federal institutions would translate into support for regional counterparts of those institutions was not a uniform assumption. However, with some IPs (HoPR, HoF, OFAGs) considerable progress was made. Nonetheless, the DIP's focus has been primarily on strengthening federal democratic institutions. In some cases, the MTE team found that IPs do not have a regional counterpart or have weak links with counterpart institutions in the regions. This might be strengthened in the second half of

program implementation (see conclusion and recommendations section) through better planning and perhaps even direct support to the regional bodies. Given that most IPs have completed their planning and budgeting processes, for this to be realized funds needs to be reallocated or additional donor funding needs to be injected into to DIP within the timeframe of this program.

e. Donor's involvement in DIP (See Annex 6)³⁸

76. The assumption was that donors would be actively involved in DIP oversight through their membership on the CC and TC and to provide technical inputs in a systematic way to the implementation, was tested.
77. The MTE team learned that there was a disagreement among stakeholders about the purpose of the DIP design³⁹. Some believed that the DIP umbrella program was designed as a capacity building program and as a platform for dialogue on democratic development with the GoE, while others viewed the purpose of the program design as purely technical capacity building. This was a point of contention based on the review of the TC and CC meetings minutes. The MTE team did not find any written documentation or other evidence to suggest that the DIP program was developed as a platform for donors to dialogue with the GOE on democratic political space, but rather as an attempt to harmonize technical assistance to an institutional capacity strengthening program.⁴⁰
78. Although the mechanism for technical involvement for DIP implementation and sub-programs was not explicit in the DIP program document. The MTE team learned that the DIP donors, through participation in the TC and CC meetings, actively take part in the DIP planning and M&E and decision making processes, such as AWP's planning sessions, AWP's start-up sessions, review of AWP's, review of bi-annual and annual reports. The DIP CU reported that the current rate of donor involvement provides sufficient opportunity to influence the policy direction of IPs -- at the planning stage and participating in the IPs' substantive program activities.⁴¹
79. Some donors mentioned that while democratic institutions are necessary they are not sufficient for democratization and thus recognize that building democratic institutions is a means, not an end itself (Donor feedback on draft MTE report). The MTE team recognizes that space for constructive and supportive policy dialogue around the related issue of civil society engagement in DIP is not explicit in the program document. As all sub-components are now finally approved, however, that priority might now shift to engaging into a constructive dialogue with the individual IPs on how they can be enabled to effectively discharge their constitutional mandates and to achieve the overarching objectives of democratic transformation. The MTE team recommends that donors engage in bilateral negotiations with IPs around these specific issues.
80. Some donors thought that UNDP should have a greater number of technically competent advisors on the DIP CU staff, while others saw this as unnecessary, given that UNDP could call on short-term expertise within the UN family or externally as needed. The MTE team

believes that these misunderstandings will be effectively resolved through the process of stakeholder review of the DIP Substantive DIP Program Revision Document Proposal.

81. The minutes of a donor meeting facilitated by the DIP CU January 2010, disclosed that all parties were trying to identify a solution and a proposal was tabled for a matching of expertise in donor countries for each IP as a solution for injecting technical support into the program. The MTE team thinks, however, that this could lead to unintended consequences. DIP donors providing too much input to program strategy may lead to less national ownership, which is the one of the main strategic benefits in terms of NEX.
82. The proposed Donor Support Task Teams is found to be an appropriate stop-gap solution for soliciting more donor involvement in implementation.⁴² To date, there have been meetings of the procurement, synergy and coordination task teams. Reports are that the task teams arising from the proposal are working. In addition, it constitutes a good solution because it will enable more donors' resources and technical support to feed into the sub-programs. The MTE team recommends that DIP CU work with all donors to map their technical resources, document comparative experiences, develop a roster of experts and in general get a better understanding of what donors may have to offer by way of technical assistance in order to integrate into the knowledge exchange and support strategy of the DIP CU for second half implementation.
83. In keeping with the findings of the DIP Communications Strategy, September 2010, the MTE team supports that the development partners emphasize the primary importance of public awareness rising by the IPs in their respective areas of operation. Their capacity building in this area should be a priority of the DIP.
84. In order to comply with the above recommendation, the MTE team support that DIP CU is capacitated with a dedicated communication staff member. There is merit in building upon the DIP communication strategy (September 2010) and especially its knowledge management component to support capacity strengthening.
85. As the DIP CU has no specific budget line for communication staff and related activities, this needs to be reviewed and adjusted. DIP stakeholders who have expressed concerns about the DIP CU's the IP's internal and external communications should be willing to provide additional funding to cover the associated costs.

f. Civil Society Engagement

86. The assumption that strengthening institutions of democratic governance through the NEX modality enables IPs to directly provide funding and other program assistance to support and strengthen the work of CSOs, was challenged by the MTE team. Support to CSOs is a critical aspect of democratic/good governance. The MTE team learned that the GOE recently instituted a CSO law (2009) severely limiting direct foreign funding to CSOs/NGOs that work on human rights and good governance issues, which has altered the enabling environment for this assumption.

87. The MTE team found that IPs are channeling some funding through local CSOs/NGOs to further their awareness raising/building objectives, but that it is a top-down, not bottom up approach or ‘two-way’ process. Moreover, the funding from IPs to CSOs is more about dissemination of information related to the IPs public awareness campaigns, not necessarily to support the specific human rights or good governance agendas of local CSOs. The MTE team recommends that the strategy for CSO engagement in DIP needs to be reviewed and made explicit during second half of program implementation (see section on CSOs, IPs and Recommendations).

g. Sustainability

88. The MTE team felt that issues around sustainability have not been factored meaningfully into the DIP design and strategy, in part due to the assumption around NEX and capacity strengthening as core GOE function. MOFED was chosen as the GOE focal point for support to the IPs; however, their capacity is limited to aid coordination and financial management. Given the inherent difficulty in finding a suitable government or non-governmental counterpart for disparate democratic institutions that require different degrees of independence, the MTE team suggests that the TC/CC (or if formed, the PSC) further explore sustainability through individual IP sustainability plans. The DIP CU should help to facilitate this planning process.

Program Governance and Management

89. Under NEX modality, overall financial management rests with MOFED and designated IPs that are accountable to UNDP, while UNDP in turn is held accountable for ensuring that responsible government institutions manage substantive and financial affairs for the program in full compliance with the UNDP policy and procedures. UNDP is also responsible for reporting the progress and results of the program to those who fund the DIP. In line with this, the formal governance and management arrangements of the DIP comprise the following structures:

- Coordinating Committee (MOFED, UNDP and five donors are on its board)
- Technical Committee (composed of MOFED, UNDP and two donors)
- DIP Coordination Unit
- Sub-program management - DIP seconded UNVs and UNDP consultants as program officers and technical experts in the IPs. At IP level, each IP appointed a national program coordinator and convenes quarterly with the leadership of the IP, its department heads, the national program coordinator and DIP CU (PMU meetings)

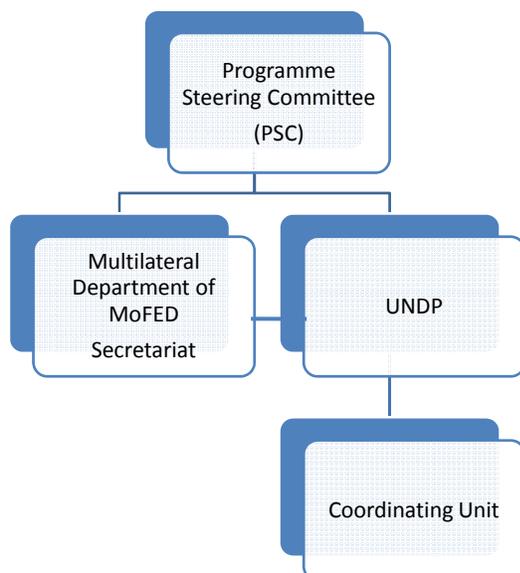
Coordination Committee (CC)

90. In accordance with the modality, a steering committee called the Coordinating Committee (CC) was established at the inception stage of the DIP. The CC operates at a strategic level, providing oversight and monitoring program progress. It is composed of a representative and Chair from MOFED, representatives from the five donor agencies contributing the major share of program funds and a representative from UNDP, as well as representatives from

each of the sub-programs' beneficiary institutions. According to the PIM and stakeholder meetings, the CC should meet at least biannually, but may meet more frequently at the request of UNDP, MOFED and/or a contributing donor.

91. The CC can take decisions on all matters related to the DIP. The MTE team learned that the decision-making responsibilities of the CC are significant and if it does not meet regularly, there is a negative impact on the overall DIP implementation⁴³. Experience shows that this governance mechanism has slowed down program efficiency during the last two years of implementation.
92. The functions of the CC include: reviewing recommendations of the TC on sub-program documents, including AWP and budgets submitted by IPs, and directing the, DIP CU to proceed with processing the documentation based on its approval; ensuring the effective results monitoring frameworks are in place; providing guidance on the management of third party cost-sharing contributions; reviewing progress and financial reports; authorizing and withholding the release of program funds to individual sub-program components, on the recommendation of the TC; discussing issues of concerns and recommending remedial actions where appropriate; engaging with the DAG on strategic issues and others (TOR CC-Program Operational Guidelines).
93. The MTE team learned that in contrast to the expectations of how it should function, the CC has met three times since implementation began July 2008 (TC/CC meeting notes and DIP annual reports) (Annex 5 - implementation story line). It did not meet in 2009. The first meeting was held in April 2008 (9 months after project document was signed), during which it successfully approved five sub-program documents and AWP and adopted the terms of reference for both the TC and the CC.
94. The MTE team concludes that the CC as a governance body does not function well. Given the important strategic-level responsibilities of the CC's control over program implementation, the MTE team endorses a consensus among the DIP stakeholders to amalgamate the work of the CC with the TC⁴⁴. There is considerable dependence of the work of the TC on the CC. There are also issues with donor representation when the CC does not meet regularly. In addition, as it was originally envisioned, the strategic engagement between DAG and CC is not apparent: there is no evidence of this in the CC or TC meeting notes.
95. A reform plan for management and governance has been proposed by the MTE that builds upon the one found in the revised DIP substantive program proposal, which provides options for more streamlined governance, oversight and management (see below) and merges the CC and the TC into a PSC. In the diagram and text box below, the MTE team outlines its recommendation for a more efficient and effective DIP management and governance arrangements to be deliberated on at the next CC meeting.

Proposed Programme Management Structure



Technical Committee (TC)

96. According to the program implementation manual PIM, the TC is the second management body of the DIP, mandated to take a consolidated view of the work of all the sub-programs. It is responsible for technical oversight at the sub-program level. The TC includes representatives of UNDP, MOFED, DIP CU, three IPs and two key donors. The TC is chaired by MOFED in accordance with NEX guidelines.
97. The functions of the TC include reviewing IP AWP and endorsing them from a technical standpoint. The TC should meet quarterly to review reports, give recommendations and monitor implementation of program activities against approved work plans. It also attempts to improve the quality of IP reporting and makes specific recommendations regarding ongoing support and use of program funds to the CC.
98. The MTE team learned that the TC held seven meetings in 2008, during which it discussed a number of programmatic issues, e.g. draft sub-program documents and AWP, procurement, CU progress reports, and recommended the following for CC approval (see Annex 5 - implementation story line)⁴⁵:
- Five sub-program documents and annual work plans
 - Terms of reference for both the TC and the CC (Annex 5– implementation story line - TC-CC meetings).
99. MOFED as Chair, Donors, CU and IPs as members, use this forum to substantively engage on IP AWP and to troubleshoot emerging problems based on DIP implementation⁴⁶. The TC is actively guiding DIP implementation. The TC does not, however, have the authority to

take decisions for approving AWPss and is dependent on CC meetings for this important step in implementation.

100. The TC as a technical body, however, was limited to two donors on a rotational basis, meaning that, in theory every donor would serve on the TC at some point in the life of the DIP. However, the MTE team learned that there has been little rotation in donors on the TC⁴⁷. This was confirmed by interview with the DIP CU Program Officer Oct 27, 2010. She stated that ‘the TC membership (for donors) is supposed to be on rotational basis. At the beginning CIDA and DFID were represented in the TC, but DFID was busy chairing the DAG and determined it would be better if another donor takes part in the TC and so the Netherlands came in. From that time on there was no change of donor representation on the TC except that individuals from the same donors are changed’.

Proposed Governance Structure of Program Steering Committee

While **inclusiveness** is important, **programmatically efficiency** which is the primary driver for revisiting the existing governance arrangements should be a key consideration. Considerations of inclusiveness would be better addressed through rotation or other mechanisms that ensure adequate participation of partners.

i.) Membership/Level of Representation (Head of Agency /Technical):

a. Composition

- MoFED -1
- Heads of the IPs -7
- UNDP-1
- DIP CU-1
- Heads (or designees) of 5 top contributors to the DIP (CIDA, DFID, SIDA, Netherlands, European Union)-5
- 15 members

b. Level of membership:

- HoA or with appropriate senior technical person delegated to make decisions on behalf of institution

c. Chair

- PSC should be chaired by MoFED

d. Secretariat: DIP CU

ii) Role of the PSC:

- Provide overall guidance and direction to the program, ensuring it remains within any specified constraints
- Provide guidance and agree on possible countermeasures/management actions to address specific risks
- Approve key documents:
 - Progress, Annual and end of program reports
 - AWP, budgets
 - Sub-program documents approval as necessary
- Entrance of New donors/beneficiaries to the DIP
- Review and appraise detailed Program Plans and AWP
- Address program issues as raised by partners
- Meet quarterly to review the Program Progress and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans
- Assess and decide on program changes through revisions
- Assure that all Program deliverables have been produced satisfactorily

iii) Rules of Procedure for the PSC:

- e. PSC should meet quarterly
- f. Quorum is 8 members—1 per agency/organizations
- g. Agenda setting—jointly determined
- h. Decision making (consensus preferred; if not possible, a simple majority)
- i. Weighted voted. (Appropriate system that allows the largest donors more 'weight' in decision making to be considered).

iv) Relationship with the DAG GTWG and interface with the DIP:

The GTWG is a forum for donor dialogue, information sharing and coordination of governance programs. The GTWG is not part of the DIP governance or management structures and does not have direct reporting requirements. Currently there is an adhoc information sharing process between DIP and GTWG. The MTE team proposes a more structured approach to information sharing through a monthly DIP update to the GTWG. The update should focus on IP progress and as a forum for innovative thinking on best practices in strengthening democratic institutions, linking with civil society and how to maximize donor input into this program; however, it should not address management issues that are more appropriately addressed by UNDP and the PSC.

iv) Accountability lines and Reporting Requirements to the PSC

Currently there is a common perception that the DIP CU is directly accountable to several stakeholders. The DIP CU is accountable to UNDP. UNDP in turn is accountable to Government and Development partners. Reporting requirements, and interface on the DIP should be structured so as to meet the need for more effective knowledge management and information sharing; also ensuring that the DIP CU is able to sufficiently function with a focus on its role of coordinating and providing support primarily to the IPs. There should be agreement on key milestones of reporting, updating and information sharing with stakeholders in order to better structure and manage communications. The MTE team sees value in designation of one interlocutor in each donor agency to interface with UNDP on the DIP.

Accountability lines proposed include:

- **Reporting**-Biannual Reports; Annual Reports; **Update to PSC**-at each PSC meeting
- **Others**-Regular information provided on DIP Progress, activities, results through various communication products and knowledge sharing platform as per DIP Communication Strategy; **Update to Donors**: Monthly (GTWG update)
- **Update to PSC**-at each PSC meeting
- **Others**-Regular information provided on DIP Progress, activities, results through various communication products and knowledge sharing platform as per DIP Communication Strategy;

Ministry of Finance and Economic Development (MOFED)

101. MOFED is responsible for ensuring that the TC and CC meet on a regular basis and are in timely receipt of necessary and sufficient information for TC and CC reports. MOFED has the mandate to coordinate donors' support and is accountable for donor support to the Government of Ethiopia. While MOFED is a strong partner for DIP in terms of donor coordination and financial management of external funds, it does not have the mandate or staff capacity to manage institutional capacity strengthening improvements of democratic institutions (elaborated on below), nonetheless, the MTE do believe it should continue as chair of the CC or newly formed PSC.

Program Management

102. This section provides a description and analysis of each management unit in terms of results and whether the arrangements remain relevant, effective and efficient. The section considers the core internal business processes, including human resources management and financial transactions, including procurement, and how these impact on implementation and results. The management units are:

1. The UNDP/DIP Coordination Unit
2. Sub-program Management (MOFED and Implementing Partners-PMUs)

Coordination Unit (CU)

103. The DIP CU is located within UNDP and, according to the PIM, should be composed of an International Program Manager, a National Program Officer, a Program Assistant and a Program Finance Officer (Program Associate). The DIP Program Manager is the head of the DIP CU. As the Coordinating and Technical Committee TC Secretary, the DIP Manager is responsible for ensuring that minutes of the meetings are kept and circulated to all stakeholders. He is further responsible for ensuring that audits take place each year and for providing regular updates on program progress.

104. In the program umbrella document there is a budget allocated for the DIP CU. However, as the budget is reportedly too small, and DIP CU has reportedly assumed a far wider responsibility than it was originally planned, the budget allocated to the CU has already been fully expended⁴⁸. This needs to be revisited in light of the findings concerning the need for enhancing DIP CU with specialized technical expertise and upgrading its function. These findings are elaborated in full below and throughout the body of this report.

105. The DIP Manager's functions include coordination, monitoring and evaluation, planning, documentation, policy formulation and knowledge management and is responsible (and accountable to the Coordinating and Technical Committee) for the following tasks: ongoing implementation of the program and the reporting required to monitor progress, including the provision of the information needed to assure the appropriate delivery of donor funds; coordinating institutional linkages with related initiatives including facilitation of knowledge

sharing between donors and IPs; management of the DIP Secretariat, strategic and day-to-day management of the CU; clearing bottlenecks, donor relations and facilitating their inputs; develop and maintain close working relations with key project beneficiaries and project expertise with a view to ensuring that activities will contribute to the overall achievement of project objectives; to provide technical input into planning to ensure effective implementation of all program activities in accordance with the program and sub-program documents with particular reference to ensuring that results are documented and reported.

106. The DIP Manager is responsible for developing and implementing a monitoring and evaluation system for the umbrella program and sub-programs implemented by the IPs. The DIP Manager is involved in the following meetings:

- PMU meetings on a quarterly basis
- Program Officers' meetings on a monthly basis
- UNDP Governance meeting on a weekly basis
- UNDP Program meeting on a monthly basis
- TC meeting on quarterly basis
- CC meeting biannually.

107. In assessing the scope, the duties and responsibilities of the DIP Program Manager, the MTE team recommends the job description needs to be reviewed. This is an important issue to be resolved as it is prerequisite for program success. (See recommendation section).

108. Under the supervision of the DIP Program Manager, the DIP Program Officer supports ongoing dialogue with donors, implementing partner, etc. The Program Officer monitors the program implementation by the IPs via a constant dialog with the NPCs, the UNVs, UNDP consultants, the DIP Program Manager and, on occasion with MOFED.

109. The Program Assistant provides administrative support to the unit, ensuring that work plans and financial reports are received from implementing partners and collated for distribution to the committees, MOFED and/or any other relevant stakeholder.

110. A significant gap was observed between the first DIP Manager's departure in August 2009 and the new DIP Manager's arrival in March 2010. However, during this period, the UNDP Governance Team Leader and Governance Advisor played gap-filling roles. Moreover, the MTE team learned that the DIP CU Program Officer did a commendable job carrying out and monitoring DIP CU functions. However, based on feedback from different DIP stakeholders, the long gap in program leadership had a negative impact, most significantly on the donor relations and the policy advocacy functions.

111. With a new DIP Program Manager in place since March 2010, the MTE team observed positive trends in terms of the DIP CU coordination and IP support management functions, donor relations, monitoring, policy and knowledge management, including: the implementation of the CAF assessments, gender audit, HACT assessment, communication strategy, RBM training, and revision of the DIP Umbrella document.

112. The MTE team determined that the location of the DIP CU is supportive of the overall program implementation due to the considerable back office integration and support to NEX by the UNDP country office, i.e. procurement, auditing, accountability and financial transactions reporting, controls and support, technical backstopping and access to the wider UNDP practice network. Annex 4 lists the names and titles of the persons recruited by DIP to provide technical assistance to the IPs and the DIP CU. In addition to financial and administrative program backstopping the CU has expertise in human rights, gender and anti-corruption.
113. The MTE team views that given the current breadth and scope of the DIP, two program officers⁴⁹ are justified for operational support. In addition, there is a need for more technical and communications support from the DIP CU. After reviewing the needs and the capacities of the IPs (progress section below) and also reflecting on the DIP sponsored capacity needs assessment (CAF) exercise January 2010, the MTE Team support, at a minimum, the following additional full-time staff for the DIP CU:
- Communication officer implement the communications / knowledge management strategy details elaborated upon in section on cross cutting issues below
 - M&E Officer. to ensure improved IP reporting and on-going participatory evaluation and to
114. OFAG supported the idea that DIP CU ought to augment its technical capacity with auditor/PAC specialists so long as it did not negatively affect their budgets. The MTE team did observe the need for an elections specialist to advise NEBE as there are none currently working at the NEBE. The MTE team recommends these two technical area IP specialists a long with a Communication Officer to implement the communications strategy, and an M&E office to provide on-going capacity building for all IP on reporting and participatory monitoring, to be brought on the DIP CU team. However, rather than be located at UNDP, auditing and elections specialists be stationed in OFAG and NEBE respectively.

Sub - Program Management Support

115. The Program Officers in the IPs are the point persons, often UNVs, who are responsible for facilitating the implementation of the program at the IP level. They manage the program within IPs. The DIP CU staff works with the nominated National Program Coordinators and UNVs to ensure that reports are in line with the UNDP format and assure quality of the data presented. The reports are submitted to MOFED, which then ensures that these reports are consolidated and submitted for further review via the DIP CU.
116. The MTE team questioned stakeholders about the UNV Program Officer's and Finance Officer's roles and specifically, about their contribution to managing funds transactions and supporting DIP within IPs. Unanimously, the IPs view as strategic inputs as they have supported operations toward program outcomes and are in general perceived as 'good for implementation overall.' DIP CU staff report the UNV officers as helpful for mobilizing the IP's facilities and processes in implementation of the program. In addition, the absence of UNVs or support within IPs has reportedly had a negative impact on implementation. IPs regularly complained of administrative and planning overload and insufficient time to

implement and report on DIP-related activities. UNVs also facilitate strategic management links with DIP CU, and provide technical backstopping and support from the wider partner network through meetings held to solicit stakeholder input, i.e. donors and MOFED input to AWP and review of reports.

117. UNVs are perceived as “a good solution to build the capacities of IPs”; according to stakeholder interviews that disclose these arrangements are generally perceived as a “win-win” solution as it enables UNDP to recruit professionals in various important fields at minimal cost. In the case of Finance Officers, for example, it enabled the DIP to closely monitor program expenditures avoiding possible mix-ups and related audit challenges (see Annex 4- Profile of DIP Recruited staff).
118. UNDP, through the DIP CU has facilitated the sourcing and procurement process of technical specialists to work in the IPs. For example, UNDP hires consultant on SSCs or SSAs to provide specific technical services (advisor to Speaker of Parliament, developing a gender policy,) for a specified (often short time period than UNVs). The consultants have received very positive feedback from IPs.
119. The MTE team recognizes that this policy—hiring national UNVs and consultants—has supported and facilitated program implementation. The MTE team does recognize the risk involved in employing so many UNVs into a technical capacity development program, but feel as long as they are considered on a case-by-case basis, and are accepted by the staff and integrated into the IPs, they are a good solution to providing much needed technical assistance. The MTE team learned that the UNDP and DIP CU have carefully monitored the UNV/SSA situation and have taken actions to mitigate risks of miscommunication and management by providing management forums-PMUs (described below for dialogue around their positions).

Project Management Units (PMU)

120. “The DIP CU host monthly Program Officers meetings to discuss program implementation as well as fast track delivery. In addition, the DIP retreats, annual work planning sessions, PMUs are appropriate venues to discuss and deliberate on the overall program implementation.” (DIP CU Program Officer, September 29, 2010)
121. The IP financial and progress reports are to be submitted within a week from the 10th of each month from at the end of the quarter. For example, September 28th was the last accounting date for the third quarter 2010 and all reports are due by the 10th of October. PMUs should start on the 11th of October and continue through the end of the week. Sometimes PMUs are delayed by a week if there is a busy schedule from either side.
122. The PMUs began in 2008 however; it was not a rationalized process. By 2009, however, in lieu of problems with implementation, PMUs were instituted in all IPs except HoPR where it began later in October 2009. The MTE team felt that this is a good illustration of how the DIP CU has been working effectively to troubleshoot and solve problems around planning and monitoring during implementation.

123. PMU meetings are held quarterly after IPs submit their financial and progress reports and, according to interviews, are found to be very useful for monitoring, planning, knowledge sharing and exchange across IPs. The meeting is called on a quarterly basis, in line with M&E reporting requirements by the PO in consultation with the IP. Many substantive operational inputs feed into the implementation process as a result of these meetings.
124. The participants of the PMUs are the department heads of the respective IPs, the program officers, finance officers, and heads of the institutions. MOFED and Donors are not invited to these meetings as they are internal whereby IPs discuss challenges, successes and strategize for the coming quarters.
125. The DIP CU Program Officers help to organize the meetings in close cooperation with the National Program Coordinators and Heads of the IPs. PMU meetings are instrumental for sharing summaries of the quarterly progress reports including the financial picture. The Finance Officers in IPs brief on the financial reports, and respond to any questions in relation that. The DIP CU stated it was pleased with the PMU meetings for monitoring purposes and as a platform for responding to bottlenecks concerning program implementation on continuous basis. Likewise, the IPs reported being content with this arrangement and requested even more frequent PMUs. Hence, the MTE team found that the PMU is a working monitoring modality for the DIP.

Cross Cutting Issues – Knowledge Management, Monitoring and Evaluation and Gender Mainstreaming.

126. The MTE team reviewed DIP program gender equality/mainstreaming issues (as a key cross cutting issue). The program conducted a gender audit as part of the CAF assessment, MTE perceptions are on adequacy and level of capacity at IP and DIP CU level to integrate gender issues, the level of engagement and positive lessons to be learnt to take it forward. MTE team suggest that partners review the gender audit findings and assess whether there has been changes after the audit; and then reflect on some of the issues they think are important.
127. The MTE team considered knowledge management as a cross cutting DIP issue. Knowledge management simply means managing through the effective application of targeted knowledge products and services. Effective knowledge management can support the DIP through more effective knowledge support and advocacy on democratic governance capacity strengthening issues. Learning communities, also called knowledge or practice networks, are an important part of knowledge management through which knowledge services and products can be shared effectively and efficiently.
128. Knowledge services and products generally include advice, expertise, experiences, and tested approaches that are provided to help the requesting persons come up with the best possible solutions to issues they face. The MTE team felt that this aspect of the program was weak and inefficient. This is also in line with the recent communication strategy exercise

concluded in Sept 2010. The MTE team recommends that knowledge management become an important aspect of the program management approach and that the new communication officer also dedicate time to this in order to develop a strategy and supports this important function. The MTE team recommend that knowledge management principles are embodied in the ‘support to NEX approach’ being proposed by UNDP.

129. Finally, the MTE team considered monitoring and evaluation as a cross cutting issue and see that this function is one of the most important functions of the DIP CU for instilling a culture of accountability of the use of the development partner and GOE funds and resources. The MTE team found that while M&E reporting is improving there is need to have a full-time M&E officer to ensure IPs are kept on track through continuous on the job capacity building.

Internal Business Processes

130. This section includes consideration of DIP’s procurement, finances and monitoring and evaluation (M&E).

Procurement

131. In discussions with several IPs, the MTE team learned there were early problems reported with procurement of equipment and services for the IPs, as well as VAT reporting issues. At present, some IPs handle their own procurement; perhaps indicative that certain capacities have been strengthened during program timeframe. The MTE team learned that IPs draft ToRs for the services they wish to procure and forward them to the DIP CU for review and processing. Now that some of the IPs has taken over procurement, there is reportedly need to better support the procurement process—policy, procedures, tools, staffing, etc., activities that the DIP CU are arranging. The MTE team acknowledges the mitigation underway by the donor task teams mentioned above, and, the MTE team learned that the GOE is in the process of establishing a Public Procurement Agency to manage all GOE procurements in the future.
132. “Procurement has been carried out with the help of UNDP and directly through the IPs. There have been delays in procurement in both, and currently a procurement task force has been established to build the capacities of IPs in the area of procurement and link them up with the newly established ministry/agency on public procurement.” (DIP CU)

Program Finances

Table 1: Implementing Partner 2008 Budget and Expenditure (USD)

IPs	Budget in 2008 (USD)	Expenditure in 2008 (USD)
Ethiopian Human Rights Commission (EHRC)	736,856	462,990.5
Ethiopian Institution of the Ombudsman (EIO)	1,634,151	927,926.4

IPs	Budget in 2008 (USD)	Expenditure in 2008 (USD)
Federal Ethics and Anti-Corruption Commission (FEACC)	823,664	878,891.5
House of Federation (HoF) and Southern Nations and Nationalities Region-Council of Nationalities (SNNPR CoN)	1,974,455	1,279,673
House of Peoples Representatives (HoPR) and Regional State Councils (RCs)	1,949,540	1,866,859
DIP Coordination Unit	322,963	323,677.3
Total	7,441,628.08	5,739,951.28

133. In 2008-2009 DIP achieved an annual delivery rate of 76% in 2009, reflecting a total expenditure of USD 6,859,675 against a total budget of USD 9,016,003, disaggregated as follows:

Table 2: Implementing Partner 2009 Budget and Expenditure (USD)

Institution	09 Budget (USD)	09 Expenditure (USD)	09 Delivery (%)
Ethiopian Human Rights Commission (EHRC)	1,750,390	1,147,123	65.54
Ethiopian Institute of the Ombudsman (EIO)	1,195,990	1,084,474	90.68
Federal Ethics and Anti Corruption Commission (FEACC)	760,251	654,927	86.15
House of Federation (HoF)	1,370,540	1,131,050	82.53
House of Peoples Representatives (HoPR)	2,374,737	2,033,191	85.62
National Electoral Board of Ethiopia (NEBE)	630,000	270,747	42.98
Offices of the Federal Auditor General (OFAG)	320,022	189,174	59.11
DIP Coordination Unit	614,073	348,990	56.83
Total	9,016,003	6,859,675	76.08

Table 3: 2008: Donor Contributions and Expenditure

Donor	Contribution in 2008 (USD)	Expenditure incurred in 2008 (USD)	Remarks
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Donor	Contribution in 2008 (USD)	Expenditure incurred in 2008 (USD)	Remarks
Austria	415,400	93,272.68	
CIDA	3,680,078.51	3,135,807.89	
Denmark	521,285.84	-	Contribution received December 9, 2008
DFID	998,003.99	517,106.25	
Irish Aid	433,762.06	42,276.88	
Italy	208,768.27	36,871.31	
Netherlands	500,000.00	227,805.18	
Norway	343,288.71	-	Contribution received September 26, 2008
OHCHR	100,000.00	28,301.36	
SIDA	1,883,830.00	1,658,509.73	
USAID	300,000.00	-	Contribution received December 31, 2008
Total	9,384,417.38	5,739,951.28	

Table 4: 2009 Donor Contribution and Expenditure overview

Donor	Contribution in 2009 (USD)	Expenditure Incurred in 2009 (USD)	Remarks
Austria	322,127	237,852	
CIDA	2,317,098	1,581,914	Contribution of USD 1,772,827.34 received in December 2009
Denmark	521,286	511,886	
DFID	480,898	395,293	
Ireland	391,485	292,101	
Italy	171,897	167,804	
Netherlands	772,195	364,803	Contribution of USD 500,000 received in December 2009
Norway	701,070	384,826	Contribution of USD 357,781.75 received in December 2009
OHCHR	71,699	60,367	
SIDA	3,755,887	2,616,197	
UNDP	300,000	152,280	
USAID	500,000	94,352	Contribution of USD 200,000 received in December 2009
Total	10,305,642	6,859,675	

134. Challenges highlighted by IPs, donors and DIP CU staff included reports of ambitious and unrealistic planning and budgeting on the part of IPs; competing engagement

of staff of some institutions due to their involvement in the BPR process; difficulties in monitoring, reporting and communication of results; lack of sufficient baseline data and research to support interventions and measure results; the adverse impact of legislation on some IPs' cooperation with civil society; and staff turnover and change in leadership of some IPs.

135. These challenges are being addressed, the MTE team learned, through the substantive revision proposals to the DIP program document, alignment of the DIP with the Ethiopian fiscal year and targeted technical support and training for implementing partners to be undertaken in 2010.

Table 5: Resource allocation since program signing August 2008

Implementing partner	Overall Allocated Budget (USD)	Total Expenditure (June 2008 to October 2010 in USD)	Balance	Comments/Recommendation
1. Ethiopian Human Rights Commission (EHRC)	6,000,000	1,802,356	4,197,644	Branch offices are expected to be opened in near future. This is will result in the absorption of some of the under spending. Nonetheless, we believe that the EHRC has insufficient human capacity to absorb the funds in the remaining implementation period. If new funding for the DIP is not made available for IPs in need of it, rendering a portion of the remaining funds eligible for reallocation to other IPs is recommended.
2. Ethiopian Institution of the Ombudsman (EIO)	6,000,000	2,568,910	3,431,090	EIO is on track with its spending. The opening of the branch offices is likely to result in utilization of their funds during the remainder of the program period.
3. Federal Ethics and Anti Corruption Commission (FEACC)	4,000,000	2,148,924	1,851,076	FEACC was included in the DIP later and support to the regional anti corruption commissions, was not fully thought through. Hence, FEACC is facing challenges in terms of supporting their regional counterparts. Given their good level of human capacity, and their ability to usefully absorb funding, FEACC should be the primary candidate to benefit from the resource reallocation with the focus on the regional commissions.
4. House of Federation (HoF)	4,000,000	3,016,01	983,985	HOF has nearly consumed its budget and CON/SNNPR has not received ample funding so far. There is some confusion in that the HOF understands that the entire \$4M belongs to HOF exclusively. This should be clarified as the programme document seems to be vague on how these funds are to be shared between HOF and CON/SNNPR. In addition, it seems that the HOF will not have extra resource to utilize in the final year unless they receive additional funding and therefore should be considered for additional new funding or reallocated funds.

5. House of Peoples Representatives (HoPR)	12,000,000	5,284,574	6,715,426	HOPR is on track with their spending. However, the majority of the remainder of the funds should be channeled to the regional and lower level councils to meet the demand for capacity building.
6. National Electoral Board of Ethiopia (NEBE)	8,000,000	47	1,517,8 6,482,153	NEBE has faced challenges absorbing its funding. Although there is sufficient need to for the funding allotted, the likelihood of NEBE being able to utilize the funds as planned is slim. Rendering a portion of the remaining funds eligible for reallocation to other IPs is recommended.
7. Offices of the Federal Auditor General (OFAG)	4,000,000	309,412	3,690,588	Given OFAG's late entrance into the DIP and the delay in approval of their AWP it is too early to tell if they can absorb the funding in the remainder of the program period, However, given that there are 11 offices under OAG, re very well organized, the MTE believes they should be given the opportunity to utilize the funds to meet their capacity development plans.

*Monitoring and Evaluation*⁵⁰⁵¹

136. According to the DIP umbrella document (2007), monitoring outputs in each sub-program is mandatory for bringing about the intended outcome and contributing to the overall impact at the end of the DIP...⁵² In line with this, the MTE team found that various implementation and monitoring tools, such as Project Implementation Manual (PIM), monthly reports and action plan, quarterly program management unit meetings, quarterly progress report and quarterly financial report, are being employed.⁵³

137. The mechanisms employed for monitoring and reporting include:

- Annual work plans and reports
- Quarterly financial and activity reports submitted to the MOFED and the IP along with regular informal briefings
- Regular ad hoc monitoring and audit of program and sub-program activities by the CU and UNDP offices
- Technical reports finalized and circulated to stakeholders during the annual steering committee meetings.

138. In addition, the DIP Program Document also stipulates that an independent external evaluation be conducted to assess the progress and impact of all sub-programs. In addition, evaluations are to be conducted twice, including mid-term of the second year, with a view to examining the progress of the sub-programs and making recommendations, and at the end of the final program year to evaluate the results achieved. These activities will be closely coordinated and adjusted to the M&E systems developed by UNDP Ethiopia monitoring and evaluation officer.

139. The MTE team considered program and institutional monitoring and evaluation systems. At the institutional level, implementing RBM and M&E systems poses many political challenges.⁵⁴ The MTE team observed that MOCB has been the political champion ensuring the institutionalization and sustainability of RBM systems---quality management system that has emerged at the same time as DIP and thus represents a unique opportunity to support a government policy to implement smarter, streamlined, more accountable systems linking to all government departments and agencies of the public service. This project is supportive of that effort; therefore, this is found to be one of the key elements of the approach, given the window of opportunity for such reforms around more efficient and effective governance.
140. At the program level, DIP CU has a functioning monitoring system in place (see section on monitoring below) in order to achieve strategic program intent and to provide fiduciary controls (financial monitoring), in accordance with NEX arrangements, and structure of oversight and monitoring by TC and CC. The MTE team noted that the current DIP governance arrangement and decision-making structure is not working well and impacts negatively on the M&E function at two levels of program implementation. This is explained in the section concerning governance.
141. The MTE team inquired about financial monitoring and learned that DIP is a program of UNDP; therefore, UNDP financial procedures are deployed for its implementation, and that it also provides back office support through the required UNDP audits.
142. IP national UNV Program and the Finance Officers take part in the quarterly PMU meetings in addition to the monthly program officers' meetings organized by the CU, thus contributing strategic input to the deliberation of the CU and implementation of the program.
143. There is no structured M&E unit at the DIP CU. The MTE team learned that the DIP Program Assistant works on M&E because her work involves IP financial reporting. Interviews with DIP CU staff disclosed that this is so because M&E is considered the responsibility of each DIP CU Program Officer and DIP recruited UNVs; 'it is an activity that pervades all programs'. As a consequence, there was perceived to be no need for creating a separate (or centralized) M&E unit.⁵⁵
144. The UNDP M&E Officer confirmed that she is providing back office support and has helped revise the DIP M&E strategy in line with the UNDP Handbook on Planning, M&E of Development Results and other UNDP tools and guidelines. The strategy was eventually endorsed by the Country Director and is now being used by the DIP CU.
145. The MTE team learned that UNDP is refining its M&E strategy; the M&E officer has trained DIP CU and IP staff on RBM. According to the M&E Officer, 'M&E has been mainstreamed' in the AWP of all IPs of UNDP beyond DIP. The M&E Officer developed monitoring tools for DIP (field visits, an itinerary for field visits, M&E calendar, master plan, etc.). This is viewed as an important aspect of the overall capacity development approach.⁵⁶
146. The MTE team learned that the DIP CU/IP reporting format is difficult to change because it is restricted by the PIM and program operational guidelines. There may be a possibility of

changing the PIM to adopt a new format with RBM; however that would be difficult and would affect a good working arrangement that solicits the UNDP M&E Officer's input--back office support to the quarterly reports.

147. The DIP IPs have struggled with reporting on program outputs. Donors complain that at the program level indicators are weak, which is the case especially considering the DIP umbrella program outcomes that focus on civil society participation. However, at the sub-program level, the introduction of the RBM system has helped to guide IPs in developing more measurable AWP. While each IP still struggles with developing solid indicators, progress is being made with M&E and from DIP CU training on the RBM. The MTE team believes the program needs smarter indicators at the two levels of DIP -umbrella and sub program level, and a dedicated M&E officer to better ensure progress in this area.

Program Performance - Implementing Partners

148. This section describes performance of the program against its stated objectives and intended outcome "well-structured and well-functioning institutions that embody open, transparent and democratic governance which respects the rights of all its citizens as enshrined in the Constitution" (PASDEP. P 176). The section provides a critical review of each IP's progress towards this outcome being cognizant of its intended contribution to the good governance agenda and aims as stated in the 2007 DIP Umbrella program.

Key Results--Against Outputs (Expected results)

149. This section reports on the seven IP's performance outputs, taking into account relevance, efficiency, effectiveness, coordination and sustainability, against their intended outcomes, strategic objectives, and concludes with comments on program management and observations and recommendations for the remaining two years of programming.

Federal Ethics and Anti-Corruptions Commission FEACC

150. **Description:** Established in May 2001 FEACC was established to fight corruption and impropriety at all levels of society. FEACC, *inter alia*, has the following mandates: 1) on corruption prevention and public awareness and outreach; 2) on investigation of complaints for alleged or suspected serious breaches of code of ethics in public offices or entities; and 3) FEACC has legal authority to register the assets and financial interests of public officials and employees; 4) prepare and monitor the implementation of codes of ethics for public offices and public enterprises; and 5) conduct research into the nature and extent of corruption in Ethiopia.
151. The DIP sub program with FEACC is a four year, \$4 million technical assistance package designed to support both the Federal and Regional State level Anticorruption Commissions. DIP activities with FEACC began in June 2008. FEACC has made good progress towards achieving its outputs and outcomes, which contribute to DIP/PASDEP outcome of well-functioning, transparent, accountable democratic institutions that respect the rights of citizens.

152. The Commissioner of FEACC is fully supportive of the DIP intervention and views the program as crucial to FEACC's capacity to carry out internal reforms in accordance with the BPR and CAF studies, and to massively engage the public in its anti-corruption and good governance campaign.

The desired outcome of the FEACC sub program is to:

- Improve the effectiveness, efficiency and accountability of the civil service
- Take the lead on institutionalized, well-structured and systematic fight against corruption
- Raise popular awareness on corruption issues

The outputs of the sub program are drawn from FEACC Strategic Objectives:

- Increase public awareness of ethics and anticorruption through educating the public about the effects of corruption and promotion of ethics in the public service
- Strengthen FEACC's human resource capacity (at federal and regional levels)
- Strengthen FEACC's working environment
- Enhance FEACC's relations and partnerships with other local and international actors involved with promotion of anticorruption agenda
- Support FEACC's planning and M&E capacity

153. **Background:** The importance of DIP funding to FEACC's operational capacity is illustrated by the following budgetary figures. In FY 10, nearly half of FEACC's budget of 36m birr was funded by DIP.⁵⁷ Essentially, before the DIP program, FEACC's budget enabled them to cover salaries and running costs, but to do minimal programming.

154. As of the drafting of the MTE, FEACC has filled 305 of 350 planned positions.

155. The FEACC Commissioner and Heads of Directorates expressed appreciation for the NEX modality. Use of this modality has contributed to the strong sense of institutional ownership of the sub program. Repeated mention was made that DIP's annual work plan emerges from FEACC's own five-year strategic plan, and that the responsibility for achievement of the both their own strategic plan and DIP annual work plans lies with them. These sentiments were echoed at the Regional and City Council level Anticorruption Commissions. FEACC transferred DIP funds to these entities to enable them to begin to realize aspects of their own strategic plans⁵⁸.

156. **Output 1: "Increase public awareness of ethics and anticorruption through educating the public about the effects of corruption and promotion of ethics in the public service"** FEACC's Ethics and Communication Directorate has utilized DIP funding to produce and distribute ethics and anticorruption materials and awareness programming throughout the country using a variety of methods: training of trainers on concepts of ethics and anti-corruption, development of educational pamphlets, papers, and other materials for schools, government offices, civic and professional organizations, inserts in newspapers, editorials, dramas, radio and television programming. FEACC has a telephone 'hotline' for the public to report corruption; and also sponsors events to promote its message and advertise

its achievements in combating corruption.

157. At the regional level DIP assistance has funded REACCs to engage in mass education on the basic tenets of the ethics and anticorruption at the Woreda and Kebele level. Evidence of changing attitudes toward corrupt practices is demonstrated by the increase in whistle blowing---during first three years of FEACC, there were only a few hundred, over sorts of petty corruption, and now over 4000 complaints during the last two years; people are also more willing to testify in court which has improved the conviction rate. In Hawassa, there were also two cases of grand corruption. One was related to a property development that did not tally with the source of the financing; the other had to do with procurement scam relate to the use of public funds use to establish a musical band for the police. The property was returned and the money refunded.
158. **Output 2: Strengthen FEACC's human resource capacity.** DIP funding has been utilized to help implement the recommended changes emanating from BPR study by contributing to enhancing human resources through support to recruitment, planning, training and capacity strengthening. For instance, 25 staff were trained at the Ethiopian Management Institute on how to utilize the balanced score card methodology introduced as part of the BPR. The CAF study contributed to the decision to develop a gender mainstreaming strategy.
159. FEACC staff at the federal level has benefited much more in terms of capacity development than have their regional and city counterparts. Federal level staff has had their skills upgraded in media and public relations, ethics and anti-corruption sensitization courses, monitoring and evaluation, impact assessment and gender mainstreaming. DIP funds have been used to provide scholarships for key staff to acquire their Master's degrees at local Universities (or via distance education programs) to both incentivize staff and ensure they have adequate skills and knowledge to effectively discharge their duties. The Prevention Directorate has trained its staff on procurement, taxation, cybercrime, banking and insurance fraud and other pertinent topics to enable it to stay abreast of the latest trends in fighting corruption.
160. The MTE visited the Grievance Departments of the Regional Executive in Hawassa⁵⁹ and the FEACC branch office in the City of Dire Dawa, and the REACC in Harar had much smaller staffs (often with two directorates) and had not benefited from the level of short and long term training and education available to FEACC. Also, their available resources to carry out daily tasks were very limited. In Harar, the REACC is located in a private residential building with expensive rental costs and no dedicated vehicle. Each time Harar REACC staff wants to pursue a complaint they need to borrow vehicles from other government agencies.
161. The MTE team learned that while FEACC investigators and prosecutors have benefited from some DIP funded trainings, study visits and procurements, the directorate of investigations and prosecution, being the largest within FEACC, has not received ample attention in terms of capacity building or procurement of the necessary equipment to more efficiently and effectively carry out its functions. While the MTE team realizes the AWP is

completed, it encourages approval of a reallocation of DIP resources to this directorate or ideally, additional funding.

162. **Output 3: Strengthen FEACC's working environment.** DIP has provided funding to refurbish a large training hall, renovate offices, procure ICT and other office equipment. It has developed a communication and knowledge management information system, and provided materials, and computers to enable in-house design of its public outreach materials. Each of these investments contributed to a modern and more efficient working environment at the federal level. The seven REACCS and one FEACC branch office in Dire Dawa have also benefited from DIP through the procurement of computers, basic office equipment and supplies, although to a much lesser extent.
163. **Output 4: Enhance FEACC's relations and partnerships with other local and international actors involved with promotion of anticorruption agenda** Through its Ethics Infrastructure Directorate, FEACC has utilized the ToT approach to build the capacity of mass associations, including regional anti-corruption/ethics clubs in higher education, religious groups and forums, youth league's women's associations, labor groups, and private sector enterprises, in the basic tenets of anticorruption and ethical behavior in order to promote popular awareness and promote a cultural shift in the public's attitude towards corruption. FEACC's Prevention Directorate has begun a joint initiative with research institutes to engage in in-depth research on the latest trends in combating corruption. DIP and PSCAP collaborated on the development of a case management system to manage complaints, knowledge transfer and track investigations and prosecutions.
164. **Output 5: Support FEACC's planning and M&E capacity** Based on our interviews with the leadership and technical staff there seems to be sufficient political will to effectively and efficiently utilize DIP funds to strengthen the capacity of FEACC to achieve its strategic objectives and desired outcomes. Through support for the Change Management Department, DIP has helped to streamline FEACC's planning and human resource management and to better mainstream gender in its programming; however, little has been done in this regard for REACCS.
165. **Program Management:** The DIP CU was reported to be both flexible and responsive to the needs of FEACC. Quarterly monitoring through PMU meetings were reported as being excellent methods to identify problems and solutions inhibiting program implementation. FEACC's main complaint about the DIP CU was related to the delay in the release of funds, which affected their capacity to implement their work plan on time. However, FEACC noted that the DIP CU Staff made an extra effort to troubleshoot these problems. Part the reason for the long delays in receiving DIP funding because funds were formerly transferred from the National Bank to FEACC's account. The PMU meeting concluded that this problem could be overcome by switching the cash transfer to the Commercial Bank of Ethiopia.⁶⁰
166. As mentioned above, the FEACC Commissioner and Heads of Directorates give high priority the DIP. The FEACC NPC is involved in all aspects of program implementation. There is UNV: Finance Officer and one SSA consultant serving as a Program Officer deployed a FEACC. The Program Officer works with the NPC to design plan and organize

and facilitate capacity building programs for staff, while the Finance Officer ensures proper management for DIP funds and provides assistance as needed with other activities related to internal controls and financial management as requested. The likelihood of the UNV and SSA consultant eventually being absorbed into FEACC's staffing structure depends mostly on outcome of the new remuneration policies of BPR study.

167. UNDP staff based in the regions assists the DIP CU to undertake internal audit of its programs in the regions. A staff member at FEACC mentioned that compared with other donors UNDP was “not overly bureaucratic” and once the AWP was agreed upon FEACC was able to implement its program, which allow for their ownership of the program and desire to do the most programming with the least amount of funds so as to maximize impact.

Observations and Recommendations:

168. Based on our interviews and research, the DIP funds has expedited and enhanced the capacity of FEACCs and, to a lesser extent, REACCs to fulfill their roles and responsibilities, especially with regards to behavior change related to petty corruption. Less evidence exists to demonstrate the DIP's contribution to combating grand corruption, but given the expected outputs, time period and funding levels, progress has been made.
169. A forum was organized by the DIP CU with FEACC, EIO and EHRC to discuss the overlaps in their mandates and how to better coordinate their activities. This is a very positive development. The MTE team recommends that the DIP CU continues to monitor and as necessary, facilitate this interagency dialogue.
170. The next two years should focus on providing greater financial and technical support to the regional state and city council ACCs to enable them to fulfill their mandates where the majority of Ethiopians live and work. Given that most corruption seems to be related to the buy/selling and transfer of land, encouraging formal linkages with research institutes to undertake more in depth study of corruption pathways is recommended.
171. A greater emphasis on bottom-up approach to inculcating a culture of public and private sector intolerance to corruption is essential for implementing sustainable cultural attitudinal changes. A willingness to work with an array of civil society actors, including those with alternative political and economic approaches, to serve as watchdogs on specific corruption issues, is also highly recommended.
172. FEACC has assembled a team to focus on resource mobilization once DIP and PSCAP funding end. This initiative and the fact that FEACC reports to the office of the Prime Minister increases the likelihood that the GoE will continue to invest in its capacity development plans.

Ethiopian Office of the Ombudsman

173. **Description:** The EIO was established by Proclamation 211/200 to lay the foundation for good governance through creation of an institution to prevent and rectify administrative abuses arbitrarily committed against citizens. The EIO has power to receive, investigate, and follow up on cases of maladministration to promote, protect and enforce citizen rights. The EIO is a parliamentary institution; as such it reports to the HOPR's Legal and Administrative Affairs Standing Committee. The EIO has no prosecutorial powers and limited authority to enforce its recommendations, and serves as an alternative dispute resolution (ADR) body to negotiate settlement of legitimate public grievances about maladministration; it can refer cases to other institutions such as FEACC, and can use its office to publically shame perpetrators of administrative malfeasance.
174. The DIP sub program supports the EIO through a four-year, \$6 million technical assistance package. DIP's sub program document and annual work plans are fully aligned with the EIO's own five-year strategic plan (2006-11). The desired outcome of the EIO sub program is "An Ethiopian Institution of the Ombudsman with enhanced capacity to receive, investigate and follow up on administrative complaints enhanced, resulting in improved promotion, claiming and enforcement of citizen's rights."
175. The overall objectives of the sub-program are:
- To promote a comprehensive and mutually supportive system to prevent and rectify maladministration
 - To cause a culture shift at all levels so that maladministration is not tolerated
 - To ensure that EIO has the capacity to, and successfully delivers program to prevent and rectify maladministration
 - To ensure EIO serves the needs of women and children, as well as other vulnerable groups
176. **Background:** In 2006, the EIO had a two-person staff—Ombudsman and an Administrative Assistant and was located in a single office in the House of Peoples' Representatives (HOPR) with a small operating budget. By the time the DIP program was of launched at the EIO in July 2008, there were approximately 50 staff members. Today, it has a Chief Ombudsman and two Deputy Ombudsman, and 94 staff. It is located on three floors of the Bunna Bank Office building, and its FY 10 total operating budget was 27 million birr.⁶¹ According to the EIO's recent completion of its BPR exercise, it plans on having a full staff complement of 220, and is requesting Government to provide it with its own building.
177. **Output 1: EIO with an enhanced core management and technical capacity to take forward its mandate:** while the GoE's funds have provided for the EIO's salaries, benefits and basic recurrent operating costs, since 2008, DIP funding has provided the majority of programmatic funding for EIO's core management and technical staff capacity building exercises. DIP funds have been expended on office furniture, furnishings, basic equipment, vehicles and ICT capabilities.⁶² This has contributed to a conducive working environment and lent to the EIO's image as a modernizing democratic institution.

178. Despite the significant rise in staff numbers and capacity, the EIO still faces relatively high rates of attrition due to its low level of remuneration as compared with other public and private institutions. The EIO completed its BPR, and pending parliamentary approval, plans to implement a human resource management system with a more attractive remuneration package aimed to both retain qualified staff and attract new technical and administrative specialists.
179. DIP funds have been used to support a series of specific skill building short term trainings such as advocacy, monitoring and evaluation, and research methods, and long term distance learning Master's programs for 14 technical staff. This training was aimed at building their capacity to discharge their duties and incentivizes them to remain at the EIO.
180. In order to fill gaps in EIO's technical capacity and to provide mentorship to regular staff, six UNVs with expertise in disability, child rights, gender, good governance, research methodologies, finance and ICT are currently serving the EIO. The UNVs have helped to mainstream gender and to address maladministration issues impacting children, women and the disabled.
181. The EIO is a completely new public institution in the nation's history. As such, much of the initial DIP funding was expended on sensitizing the leadership and senior management as to roles and responsibilities of national Office of the Ombudsman. To gain a thorough understanding of how such institutions function elsewhere, study visits were arranged to the Swedish Parliamentary Ombudsman, Irish Ombudsman office, Canada, South Africa, and with Uganda's office of Ombudsman. While these trips provided this fledgling institution with the opportunity to learn first-hand from older and more established institutions, they were costly and careful consideration should be given to underwriting future study trips in light of other pressing needs.
182. Targeted training sessions for select staff at South Africa's Office of Public Protector's Office, and a visit to the EIO from the Ombudsman of Ontario were undertaken to expose leadership and staff to an array of different methods and techniques on how to effectively assist citizens to seek redress of their grievances and prevent administrative abuses.⁶³ While it is beyond the scope of the MTE to assess the cost-effectiveness, and quality of each activity, and variety of training exercises held, the combination of these activities arguably have had a positive impact to the rapid professionalization of the EIO staff and practices.
183. A rapid assessment entitled "Maladministration Practices and Effectiveness of the EIO" was completed in 2010. It was designed to conduct a baseline survey of the present situation in Ethiopia with regards to maladministration, and to develop indicators for future use to measure the EIO's impact on fulfilling its mandate.
184. **Output 2: EIO with enhanced capacities and procedures in complaint investigation and systemic analysis:** The EIO has the authority to investigate complaints by citizens and the power to initiate its own investigations of maladministration as it deems necessary.
185. DIP has paid for consultants to work with regular staff to develop and carry out training programs and manuals on how to conduct investigations including verifying and assessing evidence.

186. The PSCAP developed the case management procedures manual. DIP hired ICT experts to work with EIO staff to develop a computerized case management database system and train staff on its use. Progress on this initiative has been stymied due to procurement problems within UNDP and therefore this key initiative has not been realized.⁶⁴
187. DIP funding has also been used to further EIO's mandate to research the root causes of recurrent maladministration cases and forward the findings to parliament; parliament then carries out pursues resolution to these cases with the responsible government body. EIO has utilized DIP funding to engage the law faculties of five state universities to undertake in depth research on issues such as citizen complaints about the city court administrations in major town and cities across Ethiopia; investigation of the root causes of maladministration; impact of maladministration on vulnerable groups; and, analysis of the number and type of complaints handled by the EIO.
- 188. Output 3: EIO raises awareness of maladministration issues and is engaged in enhanced consultation processes with citizens, civil society and other stakeholders**
189. The EIO has organized and held a number of town hall meetings in six regional states to introduce the EIO's mandate and concepts of maladministration to the general public. EIO has also sensitized elected officials, police, and judges throughout the country to explain its role and responsibilities and to gain their support and inputs on ways to prevent maladministration. These meetings were followed by a series of Training of Trainers (TOT) with government (Federal, State, City and Woreda level officials and staff), professional organizations, media, trade unions and NGOs.
190. A significant addition to this output is the role of the EIO in implementing the Freedom of Information proclamation at the national level. Government officials and members of the media and NGO community were sensitized and trained on their rights, roles and responsibilities with regards to this important law. However, EIO has considerable work to do in preparing regulatory manuals, organizing a national task force, and establishing a new directorate.
191. Extensive public outreach campaigns using radio, TV, newspaper, and dramas have been carried out in an effort to make the public more awareness of the EIO's mandate and services. This increase in awareness has contributed to the increase in the number of citizens filing complaints with EIO. Below is a chart describing the changes in citizen complaint filing:

**Table 6 : Ethiopian Institution of the Ombudsman
2005-2009
Complaints Statistics**

Per Number of Files

Year	No of Files*	Increase by percentage
2005	67	-

2006	363	542%
2007	633	174%
2008	1677	265%
2009	1732	103%
Total	4472	-

A single file can have one complainant or group complainant in a case of class action.

Number of Individuals

Year	Number of Complainants			Total
	Male	Female	General*	
2005	4498	1743	-	4563
2006	1743	1502	-	3245
2007	3377	826	-	4239
2008	5689	2842	4133	12664
2009	4342	1944	5704	11990
Total	19649	7215	9837	36701
% Share	53.5%	19.7%	26.8%	100%

- *General- complainants whose sex could not/was not identified*

Category of Cases

Types of Cases	No of Cases	%
Property	1378	39%
Labor	1052	30%
Pension	228	6%
Public Services	194	5%
Others	622	17%
Unidentified	112	3%
Total	3586	100%

- More than 45% of complaints lodged were inadmissible as falling outside the jurisdiction of the institution
- Out of the admissible cases (55%), maladministration was found on 20% of the cases.
- Most complaints come from Addis Ababa City Administration and Oromia Regional State.

192. **Output 4: EIO better capacitated to serve the needs of women and children, as well as other vulnerable groups:** The UNV Disability Officer worked with the Director of the Human Resources department and other EIO staff to highlight administrative abuses and

neglect of PWDs and mainstreamed PWD issues within the EIO, which influenced the EIO's hiring of two visually impaired lawyers as investigators in the Department of Investigations. The EIO also has reached out to two local CSOs which provides it with technical expertise and advocacy on how to promote the rights of PWDs throughout the public service.⁶⁵

193. DIP funding has contributed to the establishment of eight Children's Parliaments in seven regions and one city council---Dire Dawa. The children parliamentarians range in age from 12-16, and are gender and ethnically balanced. They are trained on CRC, how to work and debate in committees and plenary and take six months to draft agenda, then they meet to highlight problems, present problems to local administration stakeholders and EIO; EIO send follows up team to monitor to see if grievances have been addressed; the results are discussed during second ordinary children's parliament session.
194. The MTE team met with two Children's Parliaments—in Dire Dawa and Harar. While the Team found that both Children Parliaments were well organized, active, cost-efficient and useful to inculcate democratic culture in children, there were issues with their legal mandates, terms of reference and nomenclature. The Deputy Speaker of the Dire Dawa City Council said “the children want to do everything the parliament does and/or should do—mainly just because they are called ‘parliament’.” This raises the question about whether children should do these things. There is also the issue of language of communication among the child ‘parliamentarians’ as this is a city of diverse languages. “They tend to be fault finders rather than problem solvers,” she said.
195. EIO also provides some funding and material support women and youth groups to build citizen awareness of its mandate. The MTE met the Ethiopian Youth Federation (EYF). The Youth Federation is a membership organization that is part of the larger Ethiopian Youth Federation with over 8 million members ages 15-29. EIO works with the OYF to channel its messages and mandate and to create awareness on good governance at the Woreda and Kebele levels, and to educate citizens on their roles in reporting instances of maladministration. EIO also works with CSOs working on the rights of persons with disabilities to collaborate with them on how best to mainstream disability issues in public administration institutions.
196. **Output 5: EIO which is more accessible to citizens and better able to have an impact on decentralized governance structure:** The DIP support has augmented the effort to make the EIO office more accessible to the public, especially in the course of relocation from the exclusive up-scale Dembel Shopping Mall on the Bole Road to a more humble ordinary building in Arat Kilo. EIO has submitted a request to HOPR to open five branch offices in 2010-2011. This request was approved in June 2010. The EIO is in the process of opening branches offices and expects the first regional offices to be opened within the next few months. Once opened DIP funds will be used to train new branch staff and equip their offices.
197. **Program Management (DIP CU and IP):** At the IP level, the DIP program has strong support from the EIO's top leadership. The MTE Team met with the two deputy commissioners. Both were enthusiastic about the impact DIP has had on empowering the agency to carry out its mandate. The DIP NPC is very engaged in all aspects of program implementation. UNVs played a key role in developing EIO programming on gender

mainstreaming, policies on working with PWDs, vulnerable groups and Child Rights. UNVs also are serving develop EIO's ICT system, coordinate, provide financial management and monitoring of DIP programs activities in accordance with the AWP. A Good Governance advisor hired through UNDP SSA consultant arrangement provides on-going technical advice to the Chief Ombudsman.

198. The IP struggled with the AWP's long and convoluted planning and approval. This has resulted in delay of the release of funds and subsequent timely implementation of project activities. Another recurrent challenge is to report on the results or impacts of their activities. One UNV stated that "it is often difficult to capture how on-going policy advice, daily problem solving, provide feedback on research on best practices with regards to Freedom of Information laws, follow up of complaint cases, and other activities, which do not incur financial costs to the DIP but add contribute to the program outcome and value to the work of the institution."
199. The DIP CU received very good feedback on its level of program support to the EIO. The MTE team learned that the DIP CU was both flexible with regards to project planning and approval of minor changes in implementation arrangements and strict when it came to financial and program reporting. However, EIO did experience significant delay in procurement of goods and services from UNDP DIP CU, but commented that the quality of vehicles, ICT, office equipment is always excellent.
200. The DIP CU also introduced a forum for coordination of activities between EIO, FEACC and the EHRC. The forum attempts to harmonize activities and achieve economies of scale when it comes to development of public information and promotional activities so as to maximize the use of resources and minimize the general public's confusion on their individual mandates.

Observations and Recommendations:

201. The MTE team found that the EIO is making excellent use of DIP funding to build its human and organizational capacity, and its outreach work, much like FEACC's, is beginning to show some signs of changing mindsets to no longer tolerate corruption and maladministration especially at Woreda and Kebele levels. However, the EIO has among the most difficult jobs, among the IPs, at explaining and differentiating its mandate (from EHRC and FEACC) to the general public. Therefore, continued DIP assistance to foment horizontal coordination among these IPs to harmonize media and other promotional activities as well as delineating and communicating EIO's mandate is recommended.
202. The UNVs have provided key technical assistance to the EIO on child rights, PWDs and other vulnerable groups, good governance, and ICT. The UNVs fill gaps in the EIO technical team and help to mentor new staff; funding for UNVs should continue, and the DIP CU should work with EIO leadership to ensure they will be offered attractive remuneration packages after DIP funding ends.⁶⁶
203. From our observation, EIO's support for Children's Parliaments, has been useful, but also caused some confusion and frustration. Children's Parliament, are in actuality, serving more as Children's Ombudsman. This makes sense since they are being funded through EIO. If

these entities of young citizen empowerment are to be sustained, the DIP CU, EIO, HoPR and Regional and City Councils need to create a forum to sort out their mandates, reporting structures and decide on an appropriate nomenclature.

204. The BPR study suggested changes to Outputs 3 and 4 to include an output on EIO's role in helping to promulgate and enforce Freedom of Information (FOI) proclamation. The MTE supports this recommendation.
205. EIO requested assistance in reporting on results. The RBM process should address this issue; nonetheless, the DIP CU should carefully observe EIO reporting to ensure it is making progress on output and outcome reporting.
206. Unlike FEACC the EIO has not organized themselves to do resource mobilization when DIP funding ends, however EIO has developed a new Strategic Plan (2011-16) that has incorporated CNA and BPR study recommendations, its new mandate with regards the Freedom of Information proclamation, which serves as marketing document for future GoE and external donor funding.

House of Peoples Representatives HOPR and Regional States and City Councils

207. **Description:** The 1995 FDRE Constitution sets up a bicameral Parliament under a system of federalism. Under the Constitution, the House of Peoples' Representatives (HOPR) is established as the supreme law making body and the highest authority of the Federal Government. At the Regional and City levels, the Regional State Councils and City Councils are the highest organ of authority and have the power to draft, adopt and amend regional constitutions and city charters. Similar to most legislatures, each council has law making and amending, executive oversight/watchdog, and citizen representation roles and responsibilities.
208. The DIP support to HoPR, RCs and City Councils' intended outcome is to bring about "Democratic Governance principles harnessed and embraced by all concerned parties as norms in the federal and regional parliaments through which contributions to the achievement of the Millennium Declaration principles is made." Over the past two years, DIP has, on average, covered half of the HoPR budget.⁶⁷ To effectively contribute to the stated outcome, the following outputs were designed⁶⁸:
- Output 1: Strengthen the multi-party system by promoting inter-party dialogue, greater tolerance for different views and consensus building
 - Output 2: Strengthened institutional capacity of HOPR and RSCs: Building knowledge base and expertise of MPs and staff to enhance their effectiveness as lawmakers and in their oversight capacity of the Executive
 - Output 3: Institutional building- Enhance the effectiveness and sustainability of parliamentary support mechanisms through improved terms of service and working conditions for MPs and staff and through institutional development for staff
 - Output 4: Foster Formal and Sustainable linkages and enhance capacity of HoPR to increase level of CSO/NGO/Public contribution to law making and oversight

- processes
- Output 5: Strengthen the representative function of HoPR and RCs function by enhancing MPs capacity to do effective constituent outreach
209. **Output 1: Strengthen the multi-party system by promoting inter-party dialogue, greater tolerance for different views and consensus building:** According the former HOPR Speaker, Teshome Toga, incremental mechanisms to effectively engage the Opposition were made. For instance, one interparty conferences took place in Addis during 2009, which built consensus on a number of national issues how to use rules of procedures to facilitate debates, review comparative parliamentary experiences managing government and opposition parties' relationships, welfare and terms of conditions for parliamentarians. Moreover, the conference contributed to a conducive dialogue environment that enabled the parties to willingly meet and participate in the dialogue process, which they helped create. In addition to HOPR members, Speakers from Regional Councils', DIP IP's and judiciary attended. The results from the conference endorsed the necessity of dialogue and aspired to the establishment of an institutional dialogue platform which was to be the focus of the next conference. A second interparty conference was scheduled for June 2010, but the election results which delivered the Opposition only one representative (from a total of 546). The MTE learned that that the establishment of a dialogue platform continue, but given the absence of an opposition in parliament, the platform will focus on encouraging public dialogue within the parliament itself by creating a dialogue platform involving all opposition parties as well as civil society. A concept paper was produced to that effect and is now awaiting review by the new Speaker.
210. At the RC and City Council levels, inter party dialogue included cross party seminars on comparative parliamentary experiences such as role of members in a multiparty democratic system, the rights of minorities and the rule of majorities, and the role of parliaments in shaping governance.
211. **Output 2: Strengthened institutional capacity of HOPR and RSCs: Building knowledge base and expertise of MPs and staff to enhance their effectiveness as lawmakers and in their oversight capacity of the Executive:** During the previous parliament, nearly 80% of the MPs were elected for first time to parliament and few had much prior experience in law making, representation or oversight. DIP funding helped to orient and build capacity of parliamentarians and new staff members on the role of political parties in parliaments, relationships between government institutions and MPs, gender policy analysis, strengthening parliament's financial oversight capacity, gaining a deeper understanding of the roles and responsibilities of other democratic institutions such as civil society groups, electoral bodies, legal and human right organizations.
212. An example of DIP's impact on improving legislative oversight is with the Dire Dawa City Council. The City Council is a new deliberative body. The Council has utilized DIP funds to train its standing committee members on how to monitor and evaluate the executive bureaus they oversee by checking if they are operating in accordance with their strategic plans and meeting the needs and demands of the citizenry; the standing committees do on-

site on inspections of executive programs and continue to follow up. For example, the Dire Dawa City Council's Social Affairs Standing Committee's visited the Dujumaa Peasants' Association to see if a project sponsored by the City's Women's Affairs Bureau had assisted the association to procure a mill to generate income; the Standing Committee learned that the machine did not work properly and the scheme never generated any income. This issue is now under scrutiny by the both the City Council, Executive and local media.

213. The Speakers' Forums emerged from the DIP as a mechanism to expedite program implementation, but evolved into a legitimate informal institution enabling the RCs to meet and discuss common issues in the context of federal politics. These forums were cited as examples of horizontal learning between HoPR, RCs, City and Woreda Councils. These meetings allow Speakers, select members and staff to meet in one a place and share experiences, knowledge and standardize approaches to parliamentary work. Given the uniformity in feedback on from the RCs on issues of capacity building, these forums are undoubtedly useful for inculcating similar approaches to problem solving and distribution of lessons learned. However, given Ethiopia's Federal system, it is important to ensure that the HoPR is not utilising these forums to serve as the legislative model to be emulated throughout the country.
214. The intention of all of these activities was to enhance members' capacities to be more productive participants in the law making/amending process in committee and plenary debates as well as to enhance their oversight skills. It is also to give members and staff the opportunity to adapt these practices to fit local systems that preserve popular understanding of leadership's roles and accountability. Future capacity building work needs to be tailored to regional context to maximize the utility of these interventions. However, the extent to which the general public understand the RCs roles and responsibilities is unclear, and further study is needed to better ensure citizen perceptions and expectations of RCs is recommended.
215. An international consultant was hired to do a comprehensive assessment of the impact of these trainings. The MTE learned that the HoPR leadership found that the quality and presentation of the report's result was unsatisfactory and has reissued a tender for the exercise to be repeated. The expectations of external consultants require review, and the MTE team is encouraged to learn that a procedure for managing such consultancies working within the HOPR is being drafted.
216. **Output 3: Institutional building--enhance the effectiveness and sustainability of parliamentary support mechanisms through improved terms of service and working conditions for MPs and staff and through institutional development for staff.**
217. DIP has funded the HoPR, Regional Councils, City Councils and in some cases Zonal and Woreda and Kebele⁶⁹ councils with basic material support: office equipment and supplies (e.g. desks, chairs, computers, photocopiers), all distributed in accordance with performance capacity—incentivizes performance of Woreda. Given that these Councils had little or no basic equipment, this much needed material support has contributed to the efficiency and the effectiveness of these Councils to carry out their functions.

218. HOPR has spent well over a year undertaking DIP-funded studies on how to carry out its ICT plans for itself and is now doing the same for the Regional/City Councils. HOPR has signed a contract with INSA, a government agency, to execute the project that will include: network infrastructure project, digital audio recording and library system, human resource management software system, intranet and website development and installation.
219. Considerable gender related capacity building for staff and members was successful undertaken with DIP funds. An impact assessment of gender related training for members and staff over the previous five years was carried out. A pilot assessment and follow-on workshop with high level policy makers on the NAP and CEDAW resulted in a report recommending how to implement these instruments. And, a series of training manuals and guidelines on gender mainstreaming were developed in order to better ensure consistency of message and application of these practices.
220. In order to address one of the gaps noted in the CAF assessment, the HOPR's DIP consultant team has provided guidance to heads of directorates in preparing their five year performance evaluations and activity reports; these reports will contribute to the new five year HoPR strategic plan.
221. At present the HoPR has approximately 350 of 400 staff envisioned under the BPR. The MTE team learned that most of these are considered support staff, and that a recruitment exercise to hire economists, lawyers, environment scientists and other professional areas in on-going. Adoption of the findings of the BPR study should contribute to attracting and retain better qualified technical staff.
222. **Output 4: Foster Formal and Sustainable linkages and enhance capacity of HoPR to increase level of CSO/NGO/Media/Public contribution to law making and oversight processes: A four day workshop was held for members of the public and private media , youth, women, labor and professional s on the role of parliament in governance and parliamentary procedures.**
223. At the Federal, Regional and City Council levels, CSOs and the public are free to sit in on council committee meetings and listen. They may not ask questions, but before the meetings start, they can submit them to the committees, whose members will ask the questions. CSOs are invited as participants to council plenary meetings, and they have been given the power to submit bills to council, even at the HoPR level. In the City Council of Dire Dawa and Regional Council of Hawassa, representatives of the public do attend these meetings, however, according to the Speaker of Harari RC, citizens or organized CSOs have not been active in his Council.
224. **Output 5: Strengthen the representative function of HoPR and RCs function by enhancing MPs capacity to do effective constituent outreach.** In line with enhancing the critical engagement of parliamentarians towards the achievement of the MDGs, MDG sensitization and training was organized for members and staff at HoPR, RCs, and CCs. Regional Councils have developed plans and have started moving towards sensitizing their respective constituencies and mobilizing different government and non-governmental groups

to further strengthen efforts to achieve the MDGs.

225. Regional and City Councils throughout the country have organized standing committee visits to Zonal and Woreda to review progress made on implementation of development projects and to seek feedback from constituents on other pressing issues affecting their communities. An example of an awareness campaign undertaken by the Benishangul RC was a workshop for women from an array of school and local associations from 14 Woredas on human rights and political participation in a democratic system, which took place before the May election.
226. What is clearly emerging is a need to strengthen the representative function at the kebele level. To date much work is focused at the federal institutional level as well at the woreda level but virtually nonexistent at the kebele level. The woreda and kebele councils are usually large in number and, as mentioned, are beginning to exert themselves and hold the Regional Council including their committees to account. These trends need to be fully understood by DIP and where appropriate consolidated.
227. **Program Management:** The HoPR Speaker, Secretary General and the NPC both expressed appreciation for the NEX modality. They also stated that the DIP CU has been helpful in guiding program implementation and in helping to source and recruit international expertise. They suggested however, that it [CU] could benefit from addition program staff to assist IPs to better collaborate and coordinate DIP activities, and additional technical expertise.
228. Problems mentioned included: that initially the DIP AWP were not incorporated into the HoPR strategic plan or aligned with the Ethiopian Calendar; that there were long delays in release of funds and, in procurement of material goods through UNDP affecting the pace of implementation. Another issue concerns the DIP outcome and outputs, which are not ‘fully owned’ by the HoPR and will be reviewed as the HoPR develops its next five year strategic plan.
229. HoPR does not have any UNVs, but DIP does funded the costs of four full –time SSA consultants (Technical specialist, DIP Program, Finance and Monitoring Officers)⁷⁰ Recently, DIP was hired a Gender Specialist on an SSA to work at the HoPR. According to feedback from the Secretary General and the NPC, they have been instrumental in carrying out numerous key activities and serving as mentors to regular staff. HOPR has requested UNDP to provide two additional long-term consultants: one on parliamentary studies and the other on Ethiopian political institutions.
230. However, while the DIP team has been incorporated within the HoPR Directorates and are viewed as “part of the team” the Secretary General said that it is unlikely that they will be incorporated as HoPR after their contracts expire due to the higher salaries.

Observations and Recommendations:

231. DIP funding to HOPR/RC/City Council and lower level councils has enabled these

institutions to modernize through basic capacity development and provision of much needed material support. Nonetheless, overall progress towards achieving the IP outcome and outputs has proved challenging. The HOPR NPC, mentioned when reviewing the progress it was important to “understand the context” the HOPR is working in and to “appreciate where we were (institutionally) and where we have arrived....and the need for patience.”

232. The MTE Team found that while the HOPR has experienced numerous challenges in building its own internal capacity it has, among the IPs, done a very good job (as compared to the other IPs with regional/city counterparts) to ensure that DIP funding and technical assistance reaches to the RC, CCs and lower level councils, and efforts to continue to strengthen RC, City Councils and Woreda Council should be continued.
233. Given that the new parliament has convened with approximately 40% of new members and the recruitment of new technical staff to support them, we recommend that DIP funds be utilized to build their capacity to effectively discharge their duties.
234. The fact that there is only one Opposition member means that the language related to inter-party dialogue mentioned in the Outcome and some of the Outputs need to be adjusted.
235. The need to incorporate Opposition party and Civil Society Organizations’ views into the legislative process is paramount. The DIP CU and bilateral donors with ample expertise in parliamentary development need to provide technical guidance and support for mechanisms to achieve this.
236. We recommend that every effort be made by the DIP CU and HOPR to ensure that the backlog in activities be managed efficiently and effectively.

Offices of Auditor General (OAG): Federal (OFAG) and Regional (ORAGs)

237. **Description:** Article 101-102 of the 1994 Constitution gives powers to Federal Auditor General to audit and inspect the financial accounts of ministries and other Federal level public bodies, and to report its findings to HoPR’s Public Accounts Standing Committee. Proclamation No. 68/1997 established the OFAG. The Regional States passed their own proclamations to establish ORAGs responsible for external audit of public expenditure at the Regional and Woreda level, and report their finds to their respective Regional Councils.⁷¹
238. OFAG and ORAGs are accountability institutions. As constitutional bodies which provide external auditing and financial management services, they are key functionaries in ensuring the executive is held accountable (through the parliament) for its performance in implementing government policy.
239. The DIP assistance with OAGs is a four-year \$4million that will support all 12 OAGs to better fulfill their constitutional mandates in accordance with internationally recognized standards that contributes to enhanced legislative oversight leading to greater accountability to the citizenry. This assistance will seek to achieve this through the following outputs:

- Output 1: Public sector audit work throughout the federal structure of Ethiopia undertaken in accordance with international standards
- Output 2: Enhanced management and coordination capacity of OAGs
- Output 3: Enhanced capacity of OAGs to raise awareness of audit and accountability issues at all levels of the Ethiopian jurisdictional and governance framework and with the public
- Output 4: parliaments and media have enhanced understanding of the role of OAGs
- Output 5: Integrated capacity building strategies in place for all OAGs.

240. **Background:** The OAGs were the last institutions to join to the DIP. Prior to joining the DIP the OAGs were beneficiaries of a CIDA supported project⁷², Irish Aid⁷³ and the World Bank.⁷⁴ In 2008 CIDA commissioned an independent project review and follow on stakeholder workshop that reported on the lessons learned and recommendations for future programming.⁷⁵ These findings along with improvements in program monitoring and evaluation introduced by the DIP CU have enabled the OAGs to incorporate many lessons learnt from other IPs, resulting in a stronger program design and smoother implementation. DIP funding for the OAGs began in 2009. OFAG's strategic plan expired in July 2010; they are in the process of designing a new strategic plan that will incorporate the findings of the BPR and CAF that, *inter alia*, recommend the creation of a new management structure, new audit methodologies, and the need for ICT automation to ensure more comprehensive audit coverage. The section below discusses program progress made towards achievement of its outputs and concludes with a brief review of program management and concludes with some observations and recommendations for the remaining two years of programming.

241. **Output 1: Public sector audit work throughout the federal structure of Ethiopia undertaken in accordance with international standards:** In 2009, DIP supported numerous trainings to all audit officers at both federal and regional's levels on Auditing Standards, Auditors Ethics and Code of Conduct, Audit Planning, Execution, Reporting, development and application of standardized audit manuals, and training and membership of international accounting bodies as ACCA, which has enabled their capacity to work in accordance with international standards.

242. **Output 2: Enhanced management and coordination capacity of OAGs:** other than establishment of the sub program management team, few planned activities under this output have been implemented. However, the needs assessment and the annual work plans have included procurement of office infrastructure for all OAGs, training for HR staff, organization of a national conference for OAGs and twinning of OAGs with similar organizations in other federal countries.

243. **Output 3: Enhanced capacity of OAGs to raise awareness of audit and accountability issues at all levels of the Ethiopian jurisdictional and governance framework and with the public.** Planned activities include the development of tailored communication strategies. However, because the 2010-11 AWP's have not been approved, no activities to support this output have taken place.

244. **Output 4: Parliaments and media have enhanced understanding of the role of OAGs: No activities to support this output have taken place.** Planned activities include training members and staff of Public Accounts Committees and the media on how to make use of OAGs reports to ensure effective oversight of the executive, and awareness raising event. However, because the 2010-11 AWP's have not been approved, no activities to support this output have taken place.
245. **Output 5: Integrated capacity building strategies in place for all OAGs.** DIP funding supported a comprehensive and participatory needs assessment for the 12 OAGs and related parliamentary structures. The needs assessment contributed individual OAG capacity building plans to guide investment and coordinate harmonized implementation to the extent possible.
246. **Program Management:** The MTE team's met with the OFAG and the ORAGs of Hawassa, Dire Dawa and Harar. Each team was very well organized and ready to begin implementation of their 2010 AWP's. The OFAG NPC started in his job over 3.5 months ago, but had contributed to the development of the subprogram document in 2008. He and his team expressed appreciation for the NEX modality and were very committed to making the best use of DIP funding to strengthen their institutions.
247. The NPC stated the relationship with DIP CU is positive. The OFAG recognized that the DIP CU did not have any substantive staff capacity to help trouble shoot technical problems, and welcomed such support so long as it does not subtract from their planned budget lines. In terms of the DIP CU's program administration, the only problem mentioned by OFAG was related to the delay and recruitment of Capacity Building and Needs Assessment consultants, which slowed implementation of scheduled activities.
248. The MTE team found that UNDP SSA consultant team is well integrated into OFAG office structure.⁷⁶ They are temporarily sitting in different building due to the shortage of space in the OFAG HQ. While the team focuses mostly on ensuring smooth planning, monitoring and implementation of DIP related activities, they have many common tasks with regular OFAG staff. The UNDP SSAs are in regular communications with ORAGs and have conducted two workshops with ORAGs to help develop their annual work plans.

Observations and recommendations:

249. Due to the late entry of the OAGs into the DIP little progress has been made towards its stated outputs. The first year (2009) was mostly devoted to ensuring thorough needs-based planning was done with all 12 OAGs, with a number of 'bridging activities' consisting of tailored training for auditors to keep the momentum until the AWP's were approved.
250. Similar to other IPs, OFAG coordinates and administers DIP funding and technical assistance to its regional counterparts. Given their long history working together, there is good communication between OFAG and ORAGs, which will facilitate DIP implementation.

251. The timing of the DIP assistance will be useful to realize the recommendations emanating from the BPR study. Over last 5-10 years OAGs have suffered with a high level of staff turnover. The BPR is designed to halt this trend; some organizational changes have already been put in place to incentivize (outside training and education—this has a bonding time; sense of belonging, open communication). Moreover, there is a plan to improve the remuneration of staff to further incentivize their retention—however, this is waiting for parliamentary approval.
252. The DIP SSCs have been instrumental to filling the capacity gaps at the OFAG, and have been well integrated into the staffing structure. The likelihood of UNDP SSC staff sustainability – given the gap in remuneration -- is difficult to ascertain; however, approval of the remuneration package by parliament will be a step in the right direction. The NPC noted that their goal is to capture as much of their [SSCs] skills to do knowledge transfer through trainings and mentorship.
253. Given the difficulties in retaining staff, the MTE team recommends that other incentives such as long-term training for key staff be entertained despite the recent decision by MOFED to deny long term study opportunities to civil servants.
254. The MTE team learned that the World Bank’s PBS Task Manager has requested UNDP to allow the SSCs to help implement their program which has a shorter time span and larger funding. The MTE team supports this donor collaboration as long as it does not detract from the chances the DIP will achieve its expected outputs.

The House of Federation /Council of Nationalities

255. **Description:** The HOF is one of the two houses of the Federal Parliament. Formally it poses as the upper house of the Ethiopian parliament. Unlike its counterparts in other countries, its major task however is not legislation. According to the Article 62 of FDRE Constitution, its key functions include: interpretation of the constitution; deciding on issues of self-determination rights of nations, nationalities, and peoples; promoting equality and nurturing unity among ethnic groups; handling misunderstandings and resolving inter-state disputes; and determining the formula for revenue sharing and assignment of grants and subsidies to the constituent units of the federation. In its mandate to interpret the constitution, it is assisted by the Council of Constitutional Inquiry, a constitutional body that examines constitutional cases at a technical level and submits its recommendations to the HOF for final decision.⁷⁷ The key outputs expected of the HOF as an IP are:
- Enhanced performance of members of the HOF (especially the members of the Standing Committees) and staff of the Secretariat;
 - Enhanced Federal Cooperation and Collaboration between the HOF and the regions on efficient use of subsidies and on conflict resolution;
 - Improved mechanism for Subsidies Allocation;
 - Enhanced Information and Communication Technology facilities (with specific focus on the CCI); e) enhanced Capacity of the CON to fulfill its mandate (better M&E); and
 - Enhanced performance of the CON of SNNPRS.

256. **Background:** During the last parliamentary term, there were 120 members of the HoF; the number has risen to 135 in the new parliamentary year which started in October 2010. The HOF meets only twice regularly, although it can have extraordinary meetings whenever needed. The Standing Committees meet more frequently than the plenary of the HoF. Two major committees exist in the house, namely, a) committee for Constitutional and nations, nationalities' affairs; and b) Committee for budget, grants and subsidies. These two committees have sub-committees within them. In addition, the house is supported by a secretariat (directed by the Secretary General) which consists of the staff working in various directorates. The Directorates in the Secretariat are: Constitutional Interpretation and Constitutional Rights; Decision, Research, and Evaluation; Finance, Procurement, and Materials; Human Resource. The Governing Body of the House is composed of: 1) the Speaker; 2) the Deputy Speaker; 3) the Secretariat Head; 4) the Chairs of the standing Committees.
257. **Output 1: Enhanced Performance of Members of the HoF (especially the members of the Standing Committees) and Staff of the Secretariat.** The trainings offered to the staff (on leadership, change management, organizational effectiveness and efficiency, ICT, etc) have improved the performance of the HoF. The DIP supported trainings/workshops on constitutional interpretation, federalism, conflict, inter-government relations, revenue sharing, etc to members have also contributed to value clarification on the part of the members about their constitutional mandates and how best to discharge them. The study tours organized for the members of the CCI and the benchmarking of best practices to be emulated in Ethiopia are also seen to bolster the endeavor to discharge the HOF's responsibility in an informed manner.
258. **Output 2: Enhanced Federal Cooperation and Collaboration between the HOF and the regions on efficient use of subsidies and on conflict resolution.** In an attempt to enhance cooperation and collaboration between the HOF and the Ministry of Federal Affairs, the HOF has now prepared a Memorandum of Understanding whereby they collaborate on conflict mapping, developing a common conflict strategy, etc. An attempt was to clarify mandates in the area of conflict management so that there would be no duplication of efforts and resources.
259. Annual consultative meetings among regional governments were conducted. These meetings helped create forums where regions share and exchange experiences and learn lessons on common areas of concern. The meetings also helped develop consensus on matters of national concern (such as ways of building a common economic and political community, peace building, ensuring equity in resource and power-sharing, etc). Moreover, there is a stronger cooperation between the HOF and the CON especially because the CON is also made the beneficiary of the DIP support. The HOF always sought to collaborate with the CON because it is an institution created following the model of the HOF and partly because its mandates (constitutional interpretation, conflict resolution, handling inter-ethnic and local misunderstandings deciding on the rights of groups to self-determination, etc) are analogous to the mandates of the HOF.

260. In an attempt to enhance the communication capacity of the HOF to the regions, to the public and to other stakeholders and to respond to the felt need for a communication strategy, the HOF developed a Communication Strategy with the help of a consultant.
261. **Output 3: Improved Mechanism for Fiscal Transfer System.** Because of the study tours to Australia, India, South Africa, and Canada and as a consequence of the lessons learnt in these countries on fiscal transfers the HoF witnessed the evolution towards an improved fiscal transfer system with clarity on the values, principles, and techniques that guide the process. The workshops conducted in house on substantive issues of economic relations in a federation (by involving experts from within) also contributed to the betterment of the system. Training was also conducted for the regional Bureaus of economic Development, for Regional Presidents, and for Regional Governments. Also, a better consensus emerged among all the members and the regional states as the formula was negotiated and finally adopted. A better sense of trust and mutual understanding was achieved in the process of formulating the grant.
262. **Output 4: Enhanced Information and Communication Technology Facilities. DIP funding has significantly helped the HOF to create a more efficient and effective ICT system through the development of a Local Area Network (LAN),** procurement of new PCs, server, website staff training. The IT department is now strengthened and is growing in the number of staff. There was a study tour to South Korea for ICT personnel helped better prepare the HOF for a better IT use system in the House. Over the next two years, the HOF plans to have a video conference room, a budget tool plan (enterprise architecture), and digital library. The website is also viewed as a means of outreach to enhance the constitutional awareness of the public. There is a special library with archives on culture, federalism, conflicts, constitutional law/constitutional interpretation, public administration, public finance and economics, diversity management, nationalism, etc.,
263. **Output 5: Enhanced Capacity of the HOF to fulfill its Mandate.** Attempts have been made to strengthen the Monitoring and Evaluation capacity of the HoF. Trainings on M&E and gender (mainstreaming, budgeting, and auditing) were conducted, and the HoF has a better M&E scheme to assess its work. The deployment of the Finance Officer (a UNV) and the Program Assistant (an SC holder) at the HOF also helped refine the M&E. The PMU meetings also help in this regard.
264. The HOF was made better able to fulfill its mandate by creating greater constitutional awareness all over the country through a number of activities (through televised question-and-answer sessions for schools; organizing conferences on Nations, nationalities and Peoples' Day, or on the International Democracy Day [jointly with the HOPR], or on the Flag Day; publishing and disseminating pocket size copies of the constitution; or through training Teachers and students of Civic and Ethical Education, training media personnel; animated cartoon movies on constitutional rights to be released in 2010; and radio programs on the constitution paid for from the DIP; etc).

265. The HOF also commissioned studies to be conducted on private international law and arbitration law in Ethiopia. These studies were conducted in cooperation with local universities. Bills on these laws were then drafted and submitted to the HoPR. The HOF engages in these activities to discharge its duty to come up with laws that help create a common economic community in the country.
266. **Output 6: Enhanced Performance of the CON of SNNPRS:** The CON of SNNPRS constitutes a part of the HOF as a beneficiary of the DIP. The CON has utilized the DIP support for a number of activities. Publication and dissemination of thousands of copies of the constitution of SNNPRS, sponsoring televised Question-and-Answers sessions, and workshops for teachers and students of Civic and Ethical education on the constitution were some of the activities undertaken to raise the constitutional awareness of the public. Besides, conferences, workshops, and trainings on federalism, conflict, constitutional interpretation, etc were conducted at the regional, Zonal, Woreda, and Special Woreda levels. In collaboration with the Hawassa University, legal and/or anthropological researches have been conducted on the culture, environment, history, belief systems, and identity of diverse ethnic groups in the SNNPRS.
267. At the infrastructural level: computers, vehicles, and other office facilities are procured for the CON with the DIP support.
268. Members of the SNNPRS's CCI have benefitted from the study tour to the constitutional courts of Germany and Belgium in 2010. Other members of the Con have also benefitted from other study tours with the staff and members of the HOF.
269. **Program Management:** The program was managed at the IP level by the NPC (the Secretary General of the HOF Secretariat), Program Manager, the Program Assistant, and the Finance Assistant. The DIP CU works closely and collaboratively with them. The PMU meetings and the Quarterly meetings helped identify problems of implementation and react to them appropriately in time. While delay of release of fund, delay in procurement, and delay in approval of AWP was mentioned as a problem, the Secretariat seems to be satisfied with the way they worked closely with the DIP CU to overcome some of these problems. Quarterly reports are submitted regularly. This has created a strong system of follow upon the program implementation.
270. The NPCr at the CON of SNNPRS works closely with the program team at the HoF to implement the CON component of the program. The MTE team observed that the NPC at the CON worked closely with the PMU in the HOF, with the DIP CU, with the BOFED, and with the MOFED to ensure that its AWP are fully implemented. In its work, the NPC is assisted by a DIP Finance Assistant deployed recently at the CON. While distance could be a problem at times, so far the program is being run smoothly.
271. The MTE team observed that there is an enthusiastic support for the DIP on the part of the Secretariat at the HoF. The DIP intervention is highly valued in all the areas it was utilized. The secretariat is of the opinion that the DIP has been very much relevant to their work because it was coalesced with the strategic plan of the HOF and has been reinforced by

the capacity needs assessment subsequently conducted for the BPR. They seem to be happy with the NEX modality as described in the PIM. They also consider their relationship with the DIP CU very good. The UNV finance assistant (a UNV) and the program assistant have a good working relationship with the HOF as an IP and the HoF is benefitting from their technical intervention in the areas of planning, and monitoring and evaluation. The UNVs are integrated in the structure of the secretariat, and consider themselves as employees of the HoF

Observations and Recommendations

272. The program at HOF is very much linked to the overall outcome of the DIP as the HOF's main responsibility is to enhance the constitutional awareness of the public and thereby empower citizens to better utilize their individual and group rights within the framework of a federal constitutional set up. Because the sub-program document is prepared by taking account of the strategic plan of the HOF, there is no incongruence between the program rationales and the HOF's constitutional mandate.
273. The Secretariat of the HoF is a new institution set up by proclamation 356/2007. As a new institution, the capacity building motif of the DIP could easily resonate well with it. The congruence of the time of implementation of the DIP with the time the BPR study is being done has also helped to identify areas of capacity gaps in the HOF, and reinforced the impetus towards institutional capacity building.
274. There is a great sense of ownership of the DIP at the HOF as the plans and budgets are integrated into the broader budget and plan of the HOF. The HOF is comfortable with the NEX modality and its relationship with MOFED as the GOE's representative to coordinate activities.
275. To a large extent, the program has been implemented efficiently although there are delays created by the delay of fund release, or delay of approval of AWP, etc. The program has been effective in strengthening the material capacity (the hardware aspect) of the Institution. It is also obvious that there is an on-going technical-expertise capacity enhancement among the staff and the members. There is surely more constitutional awareness outreaches conducted through the DIP support. The actual impact of these outreaches in terms of empowering citizens to better exercise their constitutional rights in a more democratic Ethiopia is hard to measure. One would hope that these exercises would in the long run contribute to creation of a more empowered citizenry that would put pressure on the institutions demanding more and more enjoyment of their rights thereby creating a more conducive environment for better democratic practices. Indeed, these activities have increased the visibility of the HOF. This is hoped to make the institution more accessible to the public so that it can protect their rights better.
276. The HOF is committed to continue the capacity building efforts, partly because of the eagerness in reaching the goals set by the results of the BPR study, but partly also because of the need for a fuller commitment to discharge their constitutional responsibility. The Secretariat is optimistic that the GOE will remain committed to continue to enhance the

capacity of the HOF because it is one of the most important symbols of national sovereignty, one of the most sensitive political institutions. The HOF is not worried about staff turnover as they are trying to develop a new incentive scheme to retain staff. Moreover, they hope to work on knowledge transfer system which helps them retain the experience gained in the implementation of the DIP.

Coordination. The NPC noted that there is support coming from PSCAP, and other sources. But it was emphasized that necessary care is taken to avoid duplication of donor investments.

Observations and Recommendations

277. The MTE team recommends the following matters be considered during the second half of program implementation:

- Continue to reinforce efforts to enhance capacity to the extent that the program is being run effectively and efficiently and to the extent that the program remains relevant to the HoF;
- Delays must be avoided. Delays of approval of AWP's and release of funds frustrated smooth implementation of the program;
- Capacity enhancement efforts in the CCI must be redoubled, considering the fact that the CCI remains the technical arm of the HoF for constitutional interpretation;
- Staff must be allowed to be part of long-term domestic education to ensure staff retention (It is a lengthy process to complete, and the staff sign a commitment requiring them to serve longer than it took them to study). The MoFED and the donors must be sensitive to these arrangements;
- The DIP must take advantage of the openings created by the BPR study to continue to fill Capacity gaps admitted by the HoF;
- The DIP must take advantage of the opportunity to strongly train members on representational and advocacy roles in the HoF since there are four additional members added to the HoF as a consequence of the increase in population;
- The DIP CU, the wider UNDP and the donor community must develop a long-range view as they work together towards having a HoF to better protect the constitutional rights of groups and citizens, to develop a constitutional jurisprudence to entrench accountability and transparency of the executive, to ennoble constitutionalism and the salience of the rule of law, to design and implement a fair and equitable fiscal transfer system, to ably deal with inter-state and inter-ethnic conflicts thereby fostering peace and stability, or to ensure better constitutional fidelity.

The National Electoral Board of Ethiopia (NEBE)

278. **Description:** The NEBE is one of the constitutional bodies established as per the art 102 of the FDRE Constitution. Proclamation 111/1995 (the Electoral Law) gave specific expression to the constitutional mandate and the modality of operation of the NEBE. Its constitutional duty is to independently conduct free and fair elections in Ethiopia. It is governed by a nine-member Board (appointed for five years by the HOPR upon

recommendation of the Prime Minister). It has a permanent Secretariat headed by a Chief Executive and two deputies. In Ethiopia, it is the chief election management institution responsible for conducting general and local elections, by-elections, and referenda (requested, for example, by nations, nationalities, and peoples to determine identity, boundaries, reassignment to a region or locality, or broader rights of self-determination).

279. Its key responsibilities include registration of voters, conducting voter and civic education, allocation of time to campaigning political parties on the media, making recommendations for constituency delimitation, registration of political parties, and preparing periodic and post-election reports.

280. **Background:** The NEBE was one of the institutions with severe capacity problems. It joined institutions that benefit from DIP support in November 2009. The preparation of the sub-program document and approval of the annual work plan took some time before the implementation of the program. At the time the program implementation began, the NEBE's internal capacity was weak. The offices were ill-equipped. There was lack of staff. The organizational structure (at departmental and sub-departmental level) was weak. There were no permanent branch offices in the regions until October 2009. While the task of planning, managing, and monitoring elections in such a vast country was clearly overwhelming, the administrative capacity of NEBE to discharge its constitutional responsibilities was weak.

281. **Output 1: Enhanced Administrative and Managerial Capacity of NEBE.** DIP funds were utilized to train key management staff from NEBE HQ and Regional offices at the Ethiopian Management Institute on general management skills to help enhance the physical capacity; a number of facilities were procured since the start of the implementation of the program. Thus, computers, office furniture, photocopy machines, phones, fax machines, and spare parts for print and video equipments were procured for the offices of the staff, the Board, the secretariat, and the newly created regional branch offices. Also, materials needed for printing and publication of magazines, posters, and a training manual on electoral processes were procured. The procurement of these facilities has strengthened the capacity of the NEBE to better administer and manage election 2010.

282. **Output 2: Enhanced Capacity to Develop a Comprehensive Framework for Planning and Administering Free, Fair, and Credible Elections.** In order to build capacity to plan and administer free, fair, and credible elections, the NEBE conducted a series of trainings on voting, counting, tabulation, and verification of result for constituency election officers. It also conducted a similar training for polling station heads from all over the country. Moreover, a series of trainings were conducted on the election rights of persons with disabilities and other marginalized sectors of society on voting and other issues related to electoral law. Trainings were conducted for domestic observers who came from CSOs, from the Supreme Sharia Court, and a long list of other groups. Training was also organized for election officers who volunteered from among the military and university students. Political parties also received training on candidate registration.

283. **Output 3: Improved Openness and Transparency of the Electoral Process.** Nothing in the reports of the NEBE indicates that progress was achieved in this area with DIP

funding. However, based on the MTE Team's interviews and research, it learned the DIP supported the massive production and distribution (on CDs) of electoral resources (electoral laws, party registration laws, regulations, directives, code of conduct, addresses of polling stations, maps of constituencies to political parties and other stakeholders), which demonstrates NEBE's efforts at ensuring transparency and openness. This activity is a commendable one, and needs to be continued in the course of implementing the DIP at NEBE both at the national and the regional levels. Moreover, the fact that NEBE reactivated its website in 2009 and is still making information available to the public is one achievement in the area of improved openness, transparency, and accessibility on the part of NEBE.

284. **Output 4: Improved Public Awareness on Electoral Process and Citizen's Rights to Participate in the Management of Public Affairs.** DIP funds supported the voter and civic education campaigns done through the regional branch offices, through the national and regional media, through TV dramas, songs, posters, magazines, and televised Question-and-Answer programs, have enabled the NEBE to discharge its legal responsibility as per Proclamation 532/2007 (the electoral law as amended). Moreover, the voter awareness campaign newspapers; publication of T-shirts and caps (worn by election officers); translation of election-related laws, regulations, and directives into local languages (Amharic, Oromiffa, Tigrigna, Somali, etc) also helped enhance public awareness.

285. **Output 5: Improved Electoral Complaint Resolution and Law Enforcement.** DIP funded training for judicial and law-enforcement officials have been conducted in collaboration with the Justice Professionals Training Institute. These trainings were conducted for officials from all regions (some through video conferences). The focus of the training was on complaints handling in the pre-election and election season. This training has contributed to the creation of an environment that ensures predictability in the event that disagreement occurs on the electoral process.

286. **Output 6: Well-informed Media Coverage of Electoral Matters in Place.** A series of training was offered to journalists from the government and private media at the federal and regional levels to prepare them for a professional coverage of the election. The trainings involved orientation on the Media Professionals' Code of Conduct. The trainings were conducted in collaboration with the Addis Ababa University's School of Journalism. These interventions were intended to have contributed to a better and proper coverage of the election.

287. **Output 7: Improved Electoral Environment.** It is reported that the training to judicial and other law-enforcement officials have contributed to a peaceful, smooth, and more predictable election environment. From our interviews and research, we did not find evidence that DIP funding is being used by NEBE to do on-going civic education activities to create an improved electoral environment and seems to limit their civic education efforts to the month prior to an election. However, the MTE team noted that NEBE has engaged in activities such as developing of training manuals for election officers and developing guidelines and procedures on public funding to parties. While these are positive efforts towards creating an improved electoral environment, they fall short of what is required by NEBE to contribute to

creating a level playing field among political parties (especially in the context of fledgling democracies where the playing field is not always level).

288. **Program Management.** Relationship with DIP CU is optimal. The program officer (Service Contract holder) and the finance officer (UNV) deployed at the NEBE are effectively helping the IP in managing the program in general and in assuring quality financial reporting. In short, both are making invaluable contributions to the improvement of the M&E and to a better understanding and ownership of the DIP at the NEBE. But the National Program Coordinator, who so far, is closely working with the program officer, needs to be assisted by a subject-area specialist (election expert) on substantive and core areas of mandate for the NEBE and an M&E expert to help improve the quality of M&E there.

Observation and Recommendations

289. The MTE team observes that procurement of facilities and office furniture has helped the NEBE immensely in building its administrative and management capacities. This in turn has better fortified it to discharge its core responsibilities that emanate from its mandates. The launching of the permanent branch offices in the regions is a step in the right direction. The trainings, the study tours, and the exposure trips for the secretariat and the board members have also been significant in strengthening the capacity of the leadership.

290. The trainings run for the electorate (on voter and civic education), the preparation of teaching material/manual for voter and civic education, the dissemination of information on election, the trainings for election officers and observers as well as diverse sectors of the society (such as persons with disabilities) were all helpful for value clarification as well as for strengthening the credibility of the NEBE as the chief institution of election management in Ethiopia. The attempt at raising mass awareness of the electoral process through the instrumentality of the media, and other means—also assisted by the DIP support—was a yet other positive aspect of the program.

291. Nevertheless, the MTE team observed that the NEBE's current capacity is not commensurate to the tasks it has. The organizational structure is established relatively recently. The structure might change further as the NEBE conducts the BPR study and seeks restructuring it further. But the prospect of the BPR study opens a window of opportunity for further strengthening of internal capacity by hiring an optimal number of staff needed for a proper, efficient, and effective discharging of responsibility.

292. The fact that the NEBE's every capacity was mobilized and directed to the work related to Election 2010 has distracted it from focusing on implementation of the DIP in 2009-2010. Now that the election is over, the distraction is minimized, and there is a reason to expect that there will be a better implementation process in the months to come. Nonetheless, the activities related to compiling post-election evaluation, constituency re-demarcation, and preparation for the upcoming local elections are expected to put a continued pressure on the staff of the NEBE. However the distraction can be prevented by planning ahead both for these important activities and for a more focused implementation of the DIP.

293. The MTE team considers it imperative for NEBE to work towards playing a role to create a level playing field among all political parties by using the 7th output (improved electoral environment).
294. The MTE team observed that the regional branch offices have only recently been established and are not yet well organized to be able to implement the aspects of the DIP that falls within their area of competence. So far, only some of the positions (that of the Head, the Secretary, the cleaner, security guard, and one expert) are filled. It is envisaged that two more experts will be hired for each regional branch office. This implies that the employment of the remaining staff must be expedited. The MTE learned that the staff recruiting process has particular challenges when it comes to differences in Federal and Regional Laws, however, NEBE is actively to resolve this matter. Offices and facilities must be provided for, especially for the new staff. These offices can be recipient of the DIP - one needs capacity to build capacity and the NEX and support to NEX model will work well to provide catalytic funding, operational and technical support for their strengthening.
295. The NEBE should hire staff, especially election specialists. It is imperative for it to conduct the BPR, and assess capacity thereof. It should identify capacity gaps and realign it with the AWP in the DIP.
296. The MTE team recommends that the DIP CU recruits and deploys an elections specialist to work with the NEBE to enhance its capacity to implement its AWP and to identify and help recruit elections specialists as needed. The tasks ahead--post-election evaluation, BPR, constituency re-demarcation, upcoming local election, etc--all require a stronger and a more robust NEBE.
297. The MTE team observes that the NEBE has a limited partnership with CSOs (mostly Youth and Women's Associations only) and other institutions such as the Ethiopian Human Rights Commission (EHRC) who have a mandate to monitor elections in Ethiopia. The MTE team learned that NEBE will consider how it can work in collaboration with CSOs on civic and voter education once the elections manual has been revised and standardized after the post election evaluation. Nonetheless, it is imperative that this initiative not be delayed and the NEBE works towards a more robust mode of collaboration and partnership with CSOs and other IPs as it works towards a conducive electoral environment.
298. Training—short-term and long-term, must be provided to the staff. Bottom line: Only an institutionally strong NEBE can be an independent institution that can manage elections impartially in a free, fair, and credible manner.

Human Rights Commission (EHRC)

299. **Description:** Established in 2000 (as per Proclamation 210/2000), and made fully operational in 2005, its key mandate is ensuring better promotion, protection, and

enforcement of human rights in Ethiopia. It monitors the implementation of the bill of rights enshrined in chapter three of the FDRE constitution. It was established in accordance with the constitutional proviso (art 55(14)) that mandates the HOPR to set up a national human rights commission that oversees the protection and enforcement of the human rights provisions of the constitution. Among the activities that the EHRC is routinely engaged in, human rights education, human rights protection (complaint investigation), human rights monitoring (in places such as detention centers, prisons, etc), advising government, and conducting human rights research, stand out.

300. The EHRC is conscious of the need for building its institutional capacity in order to fully discharge its mandates in a manner that conforms to international standards and best practices that befit national human rights institutions. Within the DIP, the key outputs expected of the EHRC sub-program are the following: a) enhanced management and coordination capacity of EHRC; b) enhanced human rights protection in Ethiopia; c) enhanced capacity of EHRC to promote human rights awareness in government institutions and among the public; d) enhanced human rights knowledge; e) improved human rights reporting to treaty bodies; f) national human rights action plan developed; g) national laws harmonized with Ethiopia's International Human Rights Obligations.

301. **Background.** The sub-program document postulates that the EHRC as a national human rights institutions is weak, and identifies the following factors for its weaknesses: newness; weak human rights culture; the wrong assumption that human rights work is mainly legal professionals' work when it actually goes beyond that to include activities such as advocacy, management, strategic planning, public education, etc); and incomplete process of hiring staff at EHRC. The DIP was expected to respond to this institutional capacity and thereby enhance national capacity to respect, protect, promote, and fulfill human rights; strengthen skills in treaty reporting, human rights documentation, and project development and management on human rights; and improve public awareness of human rights and networking among human rights workers.

302. **Output 1: Enhanced Management and Coordination Capacity of EHRC.** To enhance the management and coordination capacity of the EHRC, the DIP funded a number of activities. The following are notable: training on human rights monitoring; setting up local area network; information technology training for the staff; training on management skills for the support staff; commissioner's attendance of meetings at the international Coordination Committee (ICC) for National Human Rights Institutions (NHRIs); commissioner's attendance of the meetings of the Human Rights Council; training on gender (mainstreaming, budgeting, analysis, and auditing); improving physical accessibility to the premises of the EHRC by having the elevator repaired (after relocating to a new and more accessible building); etc. In addition, study tours were organized for the staff so they can learn from the experiences of NHRIs of Ghana, Uganda, and Egypt. Computers, laptops, vehicles, audiovisual materials, office furniture, brail reader soft ware and human rights books were procured. National UNVs (finance officers, planning officers, human rights officers, IT officer, a training officer, a program officer, etc) were recruited. The trainings, the study tours, the procurement of office materials, and the deployment of technical staff/experts who have served in mentoring roles and well as in DIP program facilitation through the DIP

surely have contributed to strengthening the organizational capacity of EHRC. The MTE team observes that the enhanced organizational capacity is the first step on the road towards more empowered citizens with the capacity to enjoy their constitutional human rights and, as such, must be encouraged.

303. **Output 2: Enhanced Human Rights Protection in Ethiopia** Efforts has been made to procure and develop an electronic complaints handling system. Training of trainers (TOT) was conducted for law enforcement officials. Workshop was conducted on the rights of refugees and IDPs in Ethiopia. Monitoring orphanages was conducted. Investigation was made to an alleged politically motivated (election-related) crime. Monitoring of Election 2010 was conducted. Investigation and complaints handling officers (UNVs) were recruited. These efforts have better fortified the EHRC to better discharge its protection responsibility.
304. **Output 3: Enhanced Capacity of EHRC to Promote Human Rights Awareness in Government Institutions and among the Public** TV slots and talk show series were launched. In 2008, 60th anniversary of the UDHR was used as an occasion to disseminate the word of human rights through posters, brochures, booklets, lectures, and sponsoring events at universities. A workshop on disability rights was conducted. A workshop on violence against women and children (VAWC) was also conducted. An event was organized to commemorate the African Children's Day. Preparation for development and publication of annual HR report was launched. Human right training for leaders of women associations was conducted. Training on Human rights and election was organized for media and PR officers. Talk show on affirmative action was on ETV on the event of International Women's Day. Short TV messages on Human Rights issues were released from time to time. Radio programs in Afari and Somali languages carried the message of human rights to the predominantly pastoralist peoples of the Eastern parts of Ethiopia. These and other activities to promote human rights awareness contributed to the dissemination of the knowledge of human rights thereby contributing to the development of a better human rights culture.
305. **Output 4: Enhanced Human Rights Knowledge** to achieve this output, DIP funded an assessment of the level of integration of human rights in higher education institutions. Consultants were hired to conduct a baseline study on the curricula of select Ethiopian universities. The study was completed in 2008/2009. A website was developed. A documentation center was established. The creation of a human rights data base was planned, but not realized. The TOR for the preparation of the database is long overdue, and progress on this activity has stalled.
306. Training for librarians was conducted. Financial support was made to CSOs and community-based organizations working on human rights issues. Support for moot court competition was made in order to sponsor the competitions among law schools on moot human rights issues. These interventions have contributed the human rights knowledge base in Ethiopia.
307. **Output 5: Improved Human Rights Reporting to Treaty Bodies.** Owing largely to the support coming from the DIP, the GOE was able to report to treaty bodies such as that of ICCPR, ESCR, CAT, CRC, and CEDAW and a UPR to the Human Rights Council. A

conference was organized on ‘Ethiopia’s Reporting Obligations under International Human Rights Instruments—Progress and the way Forward’ in 2009. Seven international human rights ratified by Ethiopia are translated into three local languages (Amharic, Tigrigna, Oromiffa), and translation in Somali language has begun) thereby making them accessible for use for official (e.g. judicial) purposes. A training workshop on Ethiopia’s obligation to submit the UPR to the Human Rights Council was also organized in 2009. A committee (of CSOs) to prepare parallel/shadow reports for ICCPR, ESCR, CERD, CEDAW, and the UPR was set up in 2009 but some of their work in these areas were discontinued. It is observed that these efforts have contributed not only to an improved reporting capability but also to the greater awakening of GOE to its reporting obligations.

308. **Output 6: National Human Rights Action Plan Developed** In a step towards achieving this output, a national consultative workshop was organized in March 2010 on “Devising a Roadmap for the Development of a National Human Rights Action Plan for Ethiopia.” An interim coordination committee to facilitate the work was established.

309. **Output 7: National Laws Harmonized with Ethiopia’s International Human Rights Obligations.** Activities under this output are planned for years 4 and 5 of the DIP.

310. **Program Management:** while the program management from the part of the DIP CU is good on the whole, the absence of an Executive Director who could serve as the National Program Coordinator (NPC) on the part of the EHRC has created a communication and implementation gap for some time, especially until the Deputy Commissioner put in efforts to act as NPC. The gap has also been filled by the efforts of the program officer (UNDP Service Contract holder) who closely worked with the DIP CU and the OHCHR to keep the program on track.

311. Generally, the program management was efficient and effective save for some delays in adoption of annual work plans, procurement of electronic complaint handling facilities and services, and delays in release of funds in time.

312. Measured in terms of relevance, the sub-program document, designed as it was in line with the strategic plan of the EHRC, the program was very much relevant. It will continue to have relevance especially in the light of the fact that the BPR study has clearly identified areas where there are capacity gaps which can be filled also with the support of the DIP.

Observations and Recommendations

313. The MTE team observed that the DIP contribution constitutes a substantial part of the total budget. It also observed that the EHRC is very enthusiastic about the DIP support to their institution. The Chief Commissioner stresses that the EHRC needs to establish its credibility as an independent institutions. To achieve this, EHRC is to collaborate with law schools all over the country in order to establish legal aid centers at the Woreda-level.

314. The team also observed that delay of fund release, delay in procurement of electronic complaints handling tool, delay in recruitment of UNVs, delay of approval of AWP,

distraction of the staff by the work in the BPR, gaps left by the resignation of the Executive Director who served as the national coordinating partner, and complications related to the payment of VAT, were seen as challenges faced in the process.

315. The team learned that most of these problems have now been solved. The release of funds (which was tied to submission of quarterly reports and proof of substantial performance) will no more be a problem as the HERC now better understands the need for reporting as a tool of M&E of the DIP, and thanks to the UNVs deployed, the reporting capacity has improved. The delay in approval of AWP is also not a problem anymore as the AWP of 2003-2004 EC have already been approved.
316. Now that the UNVs needed for the full implementation of the program have all been recruited, the EHRC is in a better position to implement the program more effectively and efficiently. On the part of the EHRC, now that the BPR study is now completed, the likelihood for a more focused implementation of the DIP has increased. Issues relating to the payment of VAT are rather practical matters to be resolved, if not resolved already, by discussing with the relevant authorities.
317. The procurement of an electronic complaint handling facility/service need to be expedited; The DIP CU and the units of the wider UNDP must do their part to facilitate the procurement.
318. The EHRC must step up efforts to have an appropriate person appointed as the Sub Program Coordinator to ensure that the DIP program can efficiently and effectively achieve its stated outputs in a.
319. The MTE team observed that the relocation of the office of the EHRC to the new building did help to make it physically more accessible to people as the new location is unassuming and less intimidating than the office in the Friendship Building. But the relocation-related disruption of the communication system (the internet connection, the telephone system, etc) put some strains on the staff performance. Now that the relocation is complete, the strain on the staff is reduced and the days ahead promise better performance.
320. The interview the MTE team had with the Chief Commissioner, Directorate Heads, and the Program Team (all the UNVs) at EHRC revealed that there was lack of institutional ownership for the DIP especially after the Executive Director (who was also the DIP National Program Coordinator) left. The extensive discussion we had the staff confirmed that now there is a clear sense of ownership and that the AWP and the budget of the DIP is integrated to the general plan and budget of the EHRC.
321. The DIP CU has staff whose backgrounds show that they have training and work experience largely in human rights, democratization, and development areas. They should take advantage of their expertise to step up efforts to strengthen better implementation of the DIP at EHRC. Also, EHRC's relation with OHCHR is a plus in terms of collaborating to better advance the horizons of human rights. The EHRC must therefore make the best use of

the support the OHCHR can offer, especially until it develops full capacity (in the area of skill and human rights knowledge base).

322. The efforts by DIP CU to improve the M&E capacity of the program team was appreciated and commended. However, the MTE team observes (both from reviewing the reports and discussing with the program team there) that reporting to the RBM is still a challenge. More needs to be done to concretize what it means to report to the RBM and how to convert activities into results that speak to outputs and outcomes the program intends to attain.
323. The Program Team at EHRC (the UNVs included) is composed of individuals that are among the best qualified persons in the area of human rights work (promotion, protection, monitoring, enforcement, and fulfillment). Consequently, it is imperative that the EHRC consciously designs a process of knowledge transfer while they are there. The EHRC must also take advantage of the BPR-led restructuring of salary scale (and other incentive schemes) as it eyes the retention of the UNVs as its regular staff after their current contract is terminated.
324. The move to set up regional branch offices is a move in the right direction to better discharge the mandate of the EHRC. But caution is needed not to prematurely fragment the human resources it now has. Meanwhile, the establishment of these new offices will give the DIP a yet other opportunity to make a relevant and most needed intervention to continue to build capacity of this vital institution. This opportunity must be properly seized and utilized.
325. The EHRC works in collaboration with a number of CSOs. The MTE team held discussions with CSOs that continue to work with them (such as the Addis Ababa Youth Association, Mary Joy, Tigray Disability Veterans' Association, Initiative Africa, etc). They had in the past worked with APAP [on the moot courts], a coalition of CSOs such as the Ethiopian Human Rights Council, Ethiopian Women Lawyers' Association, and Peace and Development Center, Organization for Social Justice--Ethiopia [on the parallel reports]). The EHRC must reawaken the enthusiasm to work in partnership with CSOs in all the areas of its endeavors (such as monitoring, treaty reporting, human rights education, etc). Evidence that the process is beginning is the EHRC's joint ad hoc Committee to plan joint activities to be implemented by the Commission and CSOs. Furthermore, the Commission has signed a memorandum of understanding project agreements with Ethiopian Women Lawyers Association and Ethiopian Lawyers Association.
326. The MTE team learned that the EHRC's focus on CSOs registered (or re-registered) as local CSOs creates a window of opportunity to engage them as partners, build their capacity and advance the frontiers of human rights in Ethiopia. Meanwhile, the DIP CU must work towards identifying mechanisms that can make CSOs direct beneficiaries of the DIP intervention not just as channels of outreach who help EHRC in its regular endeavors.
327. The MTE team noted that there is an interest on the part of the EHRC to work in partnership with university Law schools all over the country to launch legal aid centers in 550 Woredas throughout the country. This interest must be followed through.

328. The MTE team noted the interest on the part of the EHRC to enhance its capabilities in election monitoring. The EHRC monitored the May elections and has released its preliminary report in the form of a press release, which is available on the EHRC website. This is commendable. But it needs to capacitate itself better to make a more informed and more robust analysis of election cycles, election-related rights, pre-and post-election disputes, etc. It is also imperative that the EHRC work closely and cooperatively with the NEBE in election-related human rights education (at the pre-election phase), in election observation and monitoring (while election is going on), and monitoring and evaluation (after the elections are over). The DIP CU must encourage the integration of these activities in the AWP of the EHRC.
329. The MTE team noted the EHRC's efforts to investigate alleged human rights violations in relation to Election 2010. These efforts to investigate such allegations and producing an independent report thereof must be encouraged and must be continued.

Civil Society Organizations

330. The MTE met with several CSOs partners of IPs in the field, including the Addis Ababa Women's Association (AAWA), Addis Ababa Youth Association (AAYA), Transparency Ethiopia and a selection of ERHC CSOs. Given the limited timeframe of the MTE, the team was unable to meet with all civil society beneficiaries of the DIP. Nonetheless, team did meet a number of CSO selected by the IPs. The following describes some of the insights and recommendations emerging from those meetings.

Addis Ababa Women's Association (AAWA)

331. AAWA was established in 1990 with the mandate to ameliorate the social economic status of women and promote gender equality. It has 144,000 members and 3,866 male associate members, a 124-member governing council and 14 executive members, four of whom form the leadership. There are three main functions:
- Mobilization (recruiting new members)
 - Economic affairs
 - Social sector.
332. The government provides training and used equipment; FEACC encourages capacity building for leadership and top members over 300. There is work on anticorruption and ethics, with training on the root causes, sources of corruption and other detailed knowledge that helps empower women to fight corruption within their personal sphere and to be aware of reports on government officials who have been involved in corrupt acts.
333. At the kebele level, the MTE learned women are involved in local government, and this empowers them to control corruption through moral persuasion, closing administrative loopholes and becoming aware of what is corruption and what it isn't. The new awareness and fight against corruption will make a difference in ordinary Ethiopians' lives by breaking

the silence. Media campaigns have provided catch words, phrases, songs, to reach to the grassroots levels (local self help associations and dramas based on true stories have changed the image of the FEACC).

334. Media reports on the prosecution of corrupt officials build confidence that people can report on corruption without retribution. AAWA printed postcards and calendars for Ethiopian New Year to highlight women's role in fighting corruption. FEACC provided them with international perspective on the role of women in fighting corruption. ToT trained 2500 members at the sub-city level. AAWA submitted a project proposal to do mass training. Although FEACC assists with training, it gives very little material assistance, like basic office equipment and supplies. (They used to receive this assistance from other NGOs, but it has stopped.)
335. The MTE found that the major issue is transportation to do outreach. AAWA can serve the GoE as a critical partner in implementing the growth and transformation plan. While AAWA does not have an issue with the CSO, the government must relax the law, especially in the area of the budget (10%).

Addis Ababa Youth Association AAYA

336. AAYA has a mandate to deal with socio-economic and political problems of youth. The group started in 1998 with 65,000 and now has over 80 thousand members. The organizational structure is similar to that of AAWA and FEACC. They mobilize summer campaigns to tutor vulnerable/poor students, provide civic, environmental, anticorruption education; they were involved before FEACC was created.
337. AAYA's lobbying helped to create a Ministry of Youth and Sports. There has been no vocational training and no recreation centers and much youth apathy in politics previously. Exodus of youth outside of the country to Kenya, RSA and the Middle East was the norm, caused by despair with the government. This is now lessening, and AAYA helps youth returnees with job training and re-entry. Youth are now more empowered in politics and are no longer as likely to participate in vandalism, etc.
338. The MTE met with the three-person MTE that focuses on anticorruption activities. The MTE noted that membership of youth in political parties has increased significantly. In 2005 youth backed the opposition; post-election the GOE began to engage youth organizations and to take their issues seriously. Under the DERG, the youth associations were seen (RAYA) as agents of DERG. This phenomenon is now changing; there are now over 4000 youth clubs and leagues throughout the country become more politically empowered. The Prime Minister meets with youth groups each year to address their concerns. Their funding comes from membership fees (1 birr per month). Project-based funds from Action Aid, UNICEF and the government office are used for HIV/AIDS campaigns to Impact on the new CSO law on AAYA. Assistance has enabled them to do their own ACC campaigns and has created ownership.

Transparency Ethiopia

339. This group started slowly in 2003 with limited funding. In 2006 the group secured funding from the Embassy of the Netherlands. This was curtailed by the CSO law. TE has re-registered as a national NGO; it is a non-funding partner. TE organized the community convocation project at kebele level. The National Anti-corruption Coalition was FEACC- led and had TE representation.
340. The MTE team noted that one of the problems with DIP is that it does not oblige IPs to partner with CSOs. FEACC invited TE to training and to volunteer to collaborate on issues that it agrees with, attempting to influence FEACC as FEACC attempts to influence TE. TE tried to introduce business ethics via corporate social responsibility tools through the Ethiopian Chamber of Commerce. However, this fell through because the chamber director left; EU was to support this.
341. The MTE team learned that DIP financed (through FEACC) a TE bi-monthly radio program on the role of media in the fight against ACC for 2 years. Part of the CSO initiative, a multi-stakeholder forum on construction, was financed by DFID and championed by the PM and Commissioner of FEACC extractive industries TI. The TI board rejected this because of CSO law. TE requested TI to reconsider their stance. TE has drafted a MoU with FEACC on free legal aid for victims and witnesses of corruption but has not been able to work with EIO and ERHC yet. They have an agreement with FEACC for a public dialogue on a quarterly basis; so far there are eight dialogues/panel discussions with 50 participants from CSOs and government. TE and FEACC share costs and agree on agenda.
342. TE plans to establish 10 youth clubs to combat corruption throughout Ethiopia. TE gives seed funds to these clubs to organize talks with local officials to discuss corruption issues.

ERHC CSOs

343. A local NGO, Initiative Africa, is working on Human Rights and HIV. Last year it provided student leadership and HR training in Bahar Dar, Dire Dawa and Addis Ababa.
344. A resident NGO, the Mary Joy Association, has private and public partnerships for senior and children's needs (not rights) and sponsors/facilitates events with government institutions on child rights. This group invited EHRC to their offices to see their work and provided financial support to EHRC and developed marketing materials.
345. Tigray Disability Veteran Association is a local NGO working on rights of PWD. It is a membership organization that partners with ILO, ICRC, etc. Its major areas of engagement are DIP via EHRC awareness raising, training journalists and offering a workshop for policy makers at the federal RC level for social and legal affairs committees. Advocacy skills for woreda committees are to develop guidelines and publications to explain existing rights for PWDs.

346. The MTE team considers the funds available to CSOs too small and the issues addressed, narrow. The group finds a need for long-term programming with CSOs, and need for multi-year human capacity to cascade to grass roots. According to CSO law, there are three categories of NGOs: international (Action Aid, Care, and IRC), resident (local NGOs that receive most of their funds from abroad) and local (locally registered with local fund raising).
347. According to the MTE TOR, the team was requested to ‘Examine the implications of changing program environment and their implication for the attainment of a fully operational democratic, accountable and responsive constitutional federalism ensuring citizens participation and empowerment.’ Indeed the limited reporting on this is also evidence to support MTE case that this important dimension of the program is not working well. Support to CSOs is a key way to engage effective citizen participation in the democratic process; however; the results are not visible based on the MTE interviews with the CSOs, the perceived attention given to CSOs during discussions with IPs and the DIP CU Management.
348. The MTE team believe that this problem can be rectified as a design element. The nature of the design is that the IP were being encouraged to integrate DIP funds in their own planning processes which means there is limited accountability or controls built into the program design and monitoring frameworks concerning how that money is spent other than for institutional strengthening. The MTE team recommends that the program make explicit the desired amount of money spent on strengthening CSOs and on citizen participation type activities per IP. This would require a re-negotiation of approved IP AWP or, alternatively, additional funding targeted at enhancing the institutional capacity of local CSOs working on human rights and good governance. Donors could work closely with the DIP CU and IP leadership to develop specific programs targeted at enhancing citizens’ capacity to voice their needs/demands before the various IPs.
349. Enhanced internal communication within the DIP is needed to increase synergy and coordination and avoid overlap between IPs. Engagement of all stakeholders in policy and technical dialogue, beyond the existing management structure in which this takes place, should be facilitated through opportunities for dialogue between the IPs and DIP Development partners.

Partnerships

Protection of Basic Services (PBS) Program

350. The MTE interviewed the PBS Task Leader for the Public Financial Management (PFM) component of the program. Although PBS is a very large program with other components on education, health and water and sanitation, the only component that overlaps with the DIP is PFM. The PBS I, which ended last year, focused on building the capacity of the HOPR’s Public Accounts Committee (PAC). The MTE noted that significant work was done to build capacity of the PAC before elections, which resulted in none of the PAC members returning to parliament. (Traditionally, PACs are chaired by a member of the opposition.) In June

2010, UNDP, HOPR, OFAG and World Bank PBS, sponsored an accountability conference, where seven resolutions were adopted.

351. The MTE learned that the DIP CU manager attended the conference. PBS II has a \$10 million, two-year (Dec 2009-Dec 2011) component to continue to strengthen the OFAG and the ORAGs. Using both the UNDP and World Bank needs assessment reports on OFAG and ORAG, PBS II will provide approximately \$6 million for capacity building and \$4 million for vehicles and other equipment for both OFAG and ORAGs.

352. The PBS task leader and the OFAG AG wrote a letter requesting permission to utilize the five UNVs and SSA to assist with the implementation of PBS II with the rationale that PBS II is a short-term program with a lot of money which, if not used, will have to be returned to the WB. Given that DIP works with OFAG and the ORAGs, both providing less money and longer term, and the Bank and UNDP have already established a working relationship, the MTE recommends this donor/IP collaboration with regard to use of part of the UNV's and SSA's time.

353. Public Sector Capacity Building Project (PSCAP)

PSCAP, which preceded the DIP, has six subsectors with 20 IPs and \$400m over 5 years. Of this, 80% goes to the regions, 20% to federal agencies. World Bank was the only funder of PSCAP for first year; in the second year, aid came from DFID, CIDA and Irish Aid, allowing the project to expand its scope to include police, EHRC, prosecution, prison, ombudsmen and Parliament. Later, the EU, Italians and UNDP, which manage CIDA funds, contributed money to the pooled fund. There is a MOU between GoE, World Bank and all donors, signed by all donors for administration of funds. WB is coordinating the technical aspects of PSCAP with three substantive public sector specialists, and a procurement specialist, a finance officer, an administrative assistant. Various consultants review all AWP, action plans, procurements, etc. WB pays for these additional services from a separate trust fund supported by the donors. Funds are managed by IPs. All IPs, even regional bodies, receive funds directly. An example of convergence between DIP and PSCAP is the case management system for EIO and EHRC.

354. PSCAP utilizes a joint government working group, comprising heads from each of the IP sub-programs and all donors, to review progress and resolve issues. DFID serves as co-chair with the government representative from the Ministry of Capacity Building. The working group does biannual program reviews—the joint work group visits IPs, reviews project results and jointly resolves issues that come up, with donors speaking as one on the most contentious issues. Unlike the DIP, MOFED is only tangentially involved—mostly in an accounting role, administering aid. The MoCB has now transformed into the Ministry of Civil Service, a combination of the MoCB and a civil service agency) with a newly appointed Minister of Civil Service. So, it is assumed the MOCS will chair the joint government working group.

355. According to a meeting with the PSCAP task team leader, PSCAP has formally written to the Ministry of Capacity Building GOE that it will not fund any new programs with IPs that the DIP supports, but it will continue on going activities with IPs until they are completed.
356. Although the PSCAP offers substantive financial inputs for capacity strengthening cross sector, IPs reported that PSCAP funding is difficult to access (very bureaucratic controls) which prevents program innovation and is 'simply hard to access and is often 'out of synch with IP annual planning cycles'. MTE and IPs see value added of the DIP program because it promotes and supports IP innovation and integrated with IP strategic planning - which it also supports via the DIP CU and PCUs. The DIP CU should make greater efforts to meet with the World Bank about PSCAP to be synergistic.

Lessons Learned

Program Design: The evaluation considered the adequacy of the program design as a framework for improving institutional performance and democratic governance. The DIP's performance has shown that while some aspects of the original design framework were appropriate for achieving the program's objectives, other aspects were deficient.

Purpose of DIP: The MTE team learned that there was a disagreement among stakeholders about the design purpose of the DIP. Some believed that the DIP was designed as both a capacity building program and as a platform for dialogue on democratic development and good governance with the GoE, while others viewed the purpose of the program design as purely a technical capacity building program of democratic institutions. This issue, *inter alia*, seemed to contribute to the lack of cohesion among stakeholders around the overarching purpose of the DIP. The MTE team did not find any written documentation or other evidence to suggest that the DIP program was developed as a platform for donors to dialogue with the GOE on democratic political space, but rather as an attempt to harmonize technical assistance to an institutional capacity strengthening program. However, given that all subcomponents are now approved, there is potential space for constructive dialogue with individual IPs (in the existing CC or if formed, PSC) on democratic governance.

DIP Objectives vs. Outcomes: The MTE learned that there was a level of confusion or misunderstanding with the terminology used to define the objectives and outcomes of the DIP. A design flaw that seems to have contributed to the confusion around the purpose of the DIP is understood by comparing the DIP's objectives against its intended outcome. In essence, the DIP's three objectives exceed its intended outcome. The intended outcome focuses on strengthening democratic institutions to be more open, transparent and to deliver services and respect rights of citizenry, while the DIP's objectives imply empowering citizens to exercise rights through active and effective participation in the democratic process.

DIP: Supply vs. Demand Side Program: The misunderstandings over terminology used in the program design can help explain some of the disagreements among stakeholders about the role of civil society in the DIP. While the MTE team concludes that DIP is mostly a supply side program with its focus on strengthening governmental democratic institutions; there is an element of the demand-side in the DIP's design---empowering civil society. Citizens or civil

society organizations cannot be empowered by democratic institutions; they are empowered by the constitution. Hence, the DIP's design, by providing support to empower citizen and promote human rights solely through democratic institutions, is deficient. The MTE team concludes that IPs have made progress through their (top down) efforts to promote human rights and good governance, but there has been no mechanism to encourage a bottom-up approach to citizen empowerment. The MTE team acknowledges that vulnerable groups have received training and some funding to carry out the IPs' objectives, but the MTE team found scant evidence of DIP's support (via IPs or otherwise) for CSOs to exert pressure on government to honor particular human rights agendas or examples of their [CSOs] active participation in decision making on development programs.

NEX and Institutional Capacity Development: The optimal framework for strengthening human resource management and financial capacity is developed through employing available resources and building on existing capacities. NEX assumes that an institution has sufficient 'capacity' 'to build capacity.' The MTE team learned that all DIP IPs did not necessarily have sufficient levels of capacity to build capacity. The MTE team learned that IPs are at different stages in assessing their own capacity development needs. The team also learned that a systematic capacity needs assessment was not conducted at the beginning of the DIP, which would have been helpful in order to ascertain IP capacity strengthening needs. However, as a result of the recent BPR and DIP supported CAF study, most IPs has made significant progress towards understanding their own capacity strengthening needs. Given this situation, the DIP's governance and management structures gradually provided "support to NEX" through a series of interventions (augmented CU technical and operational services from: national UNVs, UNDP short and long term consultants, UN OHCHR officers, UNDP M&E officer, individual bilateral donor expertise, etc) that has contributed to the program making progress towards its objectives and intended outcome. The first half of program implementation demonstrates that NEX operational modalities fostered national ownership and integrated the DIP into the IPs' strategic planning processes; this is both an efficient and effective method to fulfill the IPs' capacity building objectives. However, strategies for effective IP knowledge management -- effective reporting, internal and external program communication and sufficient specialized technical support [from the CU] to IPs was lacking and needs to be addressed going forward.

Program Governance: The MTE learned that stakeholders shared an understanding the governance arrangements of the DIP were suboptimal. The higher level Coordination Committee's with key decision making capacity met infrequently, while the lower level Technical Committee was very active on program oversight, but did not have the requisite decision making authority to resolve bottlenecks in program implementation. MOFED served as a strong government counterpart in terms of donor coordination and financial management, but lacked the technical expertise in democratic institutions. The DIP CU provided adequate secretariat services for both committees, although some stakeholders made mention of delays in their requests for program related reports and feedback.

Program Management: The DIP CU's mandate with regards to program management gradually expanded as more donors and IPs joined the program. The MTE team found that given its small size and large number of operational and technical demands and many stakeholders, the CU performed satisfactorily despite key personnel changes. Nonetheless, the team learned that

in general stakeholders think that CU must augment its capacity to provide more robust technical inputs, improved supervised IP monitoring and evaluation services.

Communications and Visibility: The MTE team learned that this aspect of the program needs improvement. Communication and knowledge management are essential to efficient and effective program implementation and communication between partners. The MTE found that the quality of IP reporting was uneven. The DIP's internal and external communication protocols were generally underdeveloped and the program's public visibility was low. A "DIP Communication Strategy" was completed in September 2010. The MTE team endorses the Communication Strategy's recommendations.

Partnerships, Sustainability and Coordination: The MTE team learned that most IPs have not begun the process of developing a DIP exit strategy or resource mobilization plan. While some IPs that completed their BPR mentioned that they thought they could offer remuneration packages to match (or come close) the remuneration received by national UNVs and thereby mitigate the risk of losing national UNVs, other IPs had not adequately thought this through and relied on capturing the UNV skills through structured mentoring of permanent staff.

As noted above, the MTE team recognizes MOFED's role as a strong government counterpart in terms of donor coordination and financial management, but lacked the technical expertise in democratic institutions to serve as the institutional home for the DIP. However, after much deliberation and review of an array of alternative governmental (MOCS, HOPR, Office of Deputy Prime Minister, etc) and parastatal (State Universities, Civil Service College and Ethiopian Management Institute), the MTE team concludes that given the disparate nature of the IPs and the importance of the gradual promotion of their institutional independence, there is no single appropriate technical counterpart, "champion institution" or substantive interlocutor for the DIP.

In terms of external coordination and partnerships, IPs reported that PSCAP funding is difficult to access (very bureaucratic controls) which prevents program innovation and is 'simply hard to access and 'out of synch with IP annual planning cycles'. The MTE team and IPs see value added of the DIP program because it promotes and supports IP innovation. In addition, DIP support is integrated with IP strategic planning—consequently also supported by the DIP CU and the strategic work of the IP program coordination units PCUs.

Recommendations

357. The evaluation findings demonstrate that the program was, in general, effective at capacity strengthening approach for improving democratic governance. However, future efforts must effectively deliver program results, and ensure efficiency of operations to better ensure sustainability of the interventions. The following recommendations are made to support the integration of the learning to date into the second half of implementation.

Program Design

- **Recommendation:** “Support to NEX” should be instituted in the revised DIP program document.. Thus the current DIP Substantive Revision proposals for enhancing the capacity strengthening approach for DIP CU to coordinate and facilitate a steady flow of technical and operational inputs into the IPs should be adopted and resources, capacities and the functions of the CU adjusted; Capacity Assessment CAF and Gender Audit proposals in the context of this MTE should allow that all these exercises provide input into a final program document that becomes a tool for management. A good results framework at two levels of program implementation should be instituted. Recommendation is to finalize a new program document that takes into consideration changes recommended all these exercises including the MTE and then used as a management tool.
- **Recommendation:** Knowledge services and products generally include advice, expertise, experiences, and tested approaches that are provided to help the requesting persons come up with the best possible solutions to issues they face. The MTE team felt that this aspect of the program was weak and inefficient. This is also in line with the recent communication strategy exercise concluded in Sept 2010. The MTE team recommends that knowledge management become an important aspect of the program management approach and that the new communication officer also dedicate time to this in order to develop a strategy and supports this important function
- **Recommendation:** The time frame for the DIP should be extended by one year to adjust for the delay in the start of program implementation.
- **Recommendation:** Going forward, new funding or reallocated funding (as discussed in body of report) to be targeted for regional and sub-regional democratic institutions.
- **Recommendation:** Regardless of the mainly supply side nature of the DIP’s design, the MTE team concludes that “creative thinking” on how to empower grassroots groups dealing with human rights and governance is much needed to ensure DIP’s three DIP objectives are met. Alternatively, the three DIP objectives will need to be re-written so as to only reflect a purely top-down, supply-side governmental approach to achievement of intended outcome. The strategy for CSO engagement in DIP should be reviewed and made explicit during second half implementation by the CC or PSC.
- **Recommendation:** The MTE team recognizes that donor input into the program needs better facilitation. The recommendation is to continue developing Task Teams to facilitate partner’s inputs into technical problems within IPs and also to augment DIP CU to support technical knowledge transfer and more engagement through enhanced knowledge management functions i.e. Collecting and disseminate donor knowledge services and inputs into the IPs.
- **Recommendation:** Each IP should develop its own set of appropriate technical and political partners to ensure it develops the skills and linkages it requires. DIP governance and management mechanism should help facilitate this process.

Program Management

- **Recommendation:** The DIP CU should continue to provide opportunities for monitoring and promoting inter-agency dialogue, especially among FEACC, EIO,

and EHRC to discuss the overlaps in their mandated and with HOPR and OFAG on oversight.

- **Recommendation:** The DIP CU should augment its staff with a full time communications, monitoring /evaluation officer-knowledge management officer to ensure the communications strategy is properly implemented and that strategies for monitoring / evaluation and knowledge management are elaborated and implemented. DIP CU should also recruit an international elections specialist and auditing expert to guide implementation of NEBE and OFAG/HOPR work plans over the courses of the next 2-3 years. These experts should be located at their respective IPs, but maintain regular contact with the DIP CU team.
- **Recommendation:** UNVs and SSA/SCCs consultants are cost-effective and relevant agents of direct program and specialized technical assistance and should be maintained as the IPs institute their BPR programs. The DIP CU should redouble efforts to ensure the IPs have plans to hire the UNVs on after DIP funding ends or ensure that sufficient mentoring has taken place between UNVs and regular staff to increase likelihood of skills transfer. This should be elaborated in an IP's DIP exit strategy.
- **Recommendation:** Many IPs requested assistance in reporting on results. The newly introduced RBM process should address this issue; nonetheless, the DIP CU should carefully observe IP reporting to guarantee it is making progress on output and outcome reporting.

Program Governance

- **Recommendation:** DIP governance mechanism should change. Collapse CC and TC into one Program Steering Committee, to be chaired by MOFED and co-chaired by UNDP with secretariat provided by UNDP's DIP CU. Recommendations for composition, ToR and operating procedures of the PSC are found in the body of the report.

Partnerships and Sustainability

- **Recommendation:** The MTE team learned that while some IPs have begun the process of planning to mobilize resources after DIP funding ends, other IPs have not. The proposed exit strategy should further look into potential funding from treasury, new donors as well as local resources. The strategy should include a plan for retaining national UNVs or ensuring that they have adequately transferred skills through structured mentoring of permanent staff.
- **Recommendation:** The MTE team learned that the PBS program has requested UNDP to allow the SSA to provide assistance to help implement aspects of the PBS at the OFAG. The PBS program has a shorter time span and larger funding portfolio than the DIP. The MTE team supports donor collaboration as long as it does not detract from the chances the DIP will achieve its expected results.

- **Recommendation:** The DIP CU should immediately research other public service strengthening programs and establish linkages for possible synergies e.g. PSCAP. This action should support identifying appropriate counterpart institutions with which to partner and share good practices for capacity strengthening, which will enhance sustainability i.e. appropriate institution to provide ongoing knowledge services.

Implementing Partners

HOPR/RCs

- **Recommendation:** DIP CU should convene a workshop with key figures HOPR, RCs, CCs and the EIO and its regional counterpart to discuss the future roles, responsibilities, legal framework and nomenclature of Children's' parliaments.
- **Recommendation:** The fact that there is only one Opposition member means that the language related to inter-party dialogue mentioned in the HOPR/RC's Outcome and some of the Outputs need to be adjusted. The need to incorporate Opposition party and Civil Society Organizations' views into the legislative process is paramount. The DIP CU and bilateral donors with ample expertise in parliamentary development need to provide technical guidance and support for mechanisms to achieve this.
- **Recommendation:** Given that the new parliament has convened with approximately 40% of new members and the recruitment of new technical staff to support them, we recommend that DIP funds be utilized to build their capacity to effectively discharge their duties.
- **Recommendation:** The MTE Team supports the continued flow of larger portions of the DIP budget to and technical assistance to reach the RC, CCs, Woreda and Kebele level councils.
- **Recommendation:** We recommend that every effort be made by the DIP CU and HOPR to ensure that the backlog in activities planned to be achieved in the 2003 EC AWP be managed efficiently and effectively.

EIO

- **Recommendation:** Plans to open regional branch EIOs have been approved by HOPR on condition that they will not undermine the federal principle of self-rule, but have not been established yet. The MTE team supports the use of DIP funds to help build the capacity of these new branch offices during the next two years to expedite their ability to deliver on their mandates. In the meanwhile, the EIO needs to support the regional Public Grievance Offices.
- **Recommendation:** The BPR study suggested changes to EIO Outputs 3 and 4 to include an output on EIO's role in helping to promulgate and enforce Freedom of Information proclamation. The MTE supports this recommendation.
- **Recommendation:** While the MTE team found that both Children Parliaments were well organized, active, cost-efficient and useful to inculcate democratic culture in children, there were issues with their legal mandates, terms of reference and nomenclature. The MTE team recommends the EIO and HOPR meet to facilitate settlements to these matters at their earliest convenience.

- **Recommendation:** The EIO should carefully consider the cost-benefits of utilizing DIP funds for any further study tours abroad given the need for further investments in new staff capacity building and strengthening branch offices.
- **Recommendation:** EIO requested assistance in reporting on results. The RBM process should address this issue; nonetheless, the DIP CU should carefully observe EIO reporting to ensure it is making progress on output and outcome reporting.
- **Recommendation:** The PSCAP developed the case management procedures manual. DIP hired ICT experts to work with EIO staff to develop a computerized case management database system and train staff on its use. Progress on this initiative has been stymied due to procurement problems within UNDP and therefore this key initiative has not been realized.⁷⁸ The DIP CU must redouble efforts to assure the timely completion of this activity.
- **Recommendation:** the EIO has among the most difficult jobs, among the IPs, at explaining and differentiating its mandate (from EHRC and FEACC) to the general public. Therefore, continued DIP CU assistance to foment horizontal coordination among these IPs to harmonize media and other promotional activities as well as delineating and communicating EIO's mandate is recommended.

FEACC/REACC

- **Recommendation:** The next two years should focus on providing greater financial and technical support to the regional state and city council anticorruption committees to enable them to fulfill their mandates where the majority of Ethiopians live and work. This will require amending the FEACC strategic plan and/or acquiring additional resources.
- **Recommendation:** Given that most corruption seems to be related to the buy/selling and transfer of land, encouraging formal linkages with research institutes to undertake more in depth study of corruption pathways is recommended. Also, linking with local media organizations that monitor such issues is recommended.
- **Recommendation:** A greater emphasis on bottom-up approach to inculcating a culture of public and private sector intolerance to corruption is essential for implementing sustainable cultural attitudinal changes. A willingness to work with an array of civil society actors, including those with alternative political and economic approaches, to serve as watchdogs on specific corruption issues, is also highly recommended.
- **Recommendation:** The MTE team learned that while FEACC investigators and prosecutors have benefited from some DIP funded trainings, study visits and procurements, the directorate of investigations and prosecution, being the largest within FEACC, has not received ample attention in terms of capacity building or procurement of the necessary equipment to more efficiently and effectively carry out its functions. The MTE team encourages a reallocation of DIP resources to this directorate.
- **Recommendation:** A forum was organized by the DIP CU with FEACC, EIO and EHRC to discuss the overlaps in their mandates and how to better coordinate their activities. This is a very positive development. The MTE team recommends that the DIP CU continues to monitor and as necessary, facilitate this interagency dialogue.

OFAG/ORAGs

- **Recommendation:** Given the difficulties in retaining OAGs professional staff, the MTE team recommends that other incentives such as long-term training for key staff be entertained despite the recent decision by MOFED to deny long term study opportunities to civil servants.
- **Recommendation:** Acknowledging the good planning and assessment done by the OAGs, the MTE team recommends the 2010 AWP be approved and funds release being approved as soon as possible.
- **Recommendation:** The MTE team learned that the World Bank’s PBS Task Team Manager has requested UNDP to allow the SSCs to help implement their program which has a shorter time span and larger funding. The MTE team supports this donor collaboration as long as it does not detract from the chances the DIP will achieve its expected outputs.

HOF/CON

- **Recommendation:** HOF—continue capacity building efforts in accordance with the HOF strategic plan and DIP AWP); and, in particular, considering the fact that the CCI remains (constitutionally) to be the technical arm of the HOF for constitutional interpretation, capacity enhancement efforts in the CCI must be redoubled; also, the fact that there are four additional members added to the HOF as a consequence of the increase in population (the result of the 2007 census) presents the DIP with the opportunity to strongly train members on their representational and advocacy roles in the HOF;
- **Recommendation:** The DIP must take advantage of the openings created by the BPR study to continue to fill the capacity gaps and to retain staff, the DIP should continue to pay for long-term domestic education (as it takes long to finish and the commitment staff sign pledging to serve there longer than it took them to study) for key staff in areas of study critical to the HOF’s core mandates. The MOFED (and also the donors) must be sensitive to these arrangements.
- **Recommendation:** The DIP must also take advantage of the fact that the HOF is preparing its strategic plan to advance the goal of creating a more capacitated HOF that can serve citizens better (by advising the creation of an independent Fiscal Transfer Commission, or to develop a whole new system of IGR, or a comprehensive conflict strategy, etc;
- **Recommendation:** The DIP CU, the wider UNDP, and the Donor community must develop a long range view of things as they work together towards having a HOF that better protects the constitutional rights of groups and citizens; or that develops a constitutional jurisprudence that entrenches accountability and transparency of the executive, or that ennobles constitutionalism and the salience of the rule of law; or that designs and implements a fair and equitable fiscal transfer system; or that ably deals with inter-state and inter-ethnic conflicts thereby fostering peace and stability; or ensures better constitutional fidelity.

NEBE

- **Recommendation:** The prospect of the BPR study opens a window of opportunity for further strengthening of NEBE's internal capacity by hiring an optimal number of staff needed for a proper, efficient, and effective discharging of responsibility, which the DIP should support. The NEBE should hire staff, especially election specialists. It is imperative for it to conduct the BPR, and assess capacity thereof. It should identify capacity gaps and realign it with the AWP in the DIP.
- **Recommendation:** The fact that the NEBE's every capacity was mobilized and directed to the work related to Election 2010 has distracted it from focusing on implementation of the DIP in 2009-2010. Now that the election is over, the distraction is minimized, and there is a reason to expect that there will be a better implementation process in the months to come. Nonetheless, the activities related to compiling post-election evaluation, constituency re-demarcation, and preparation for the upcoming local elections are expected to put a continued pressure on the staff of the NEBE. However the distraction can be prevented by planning ahead both for these important activities and for a more focused implementation of the DIP.
- **Recommendation:** The MTE team considers it imperative for NEBE to work towards playing a role to create a level playing field among all political parties; the DIP should help facilitate this process.
- **Recommendation:** The MTE team also observed that the regional branch offices are still a work-in-progress. They are not well organized to be able to implement the aspects of the DIP that falls within their area of competence. They need to be strengthened as quickly as to be able to enhance their capacity through the DIP.
- **Recommendation:** The MTE team recommends that the DIP CU recruits and deploys an elections specialist to work with the NEBE to enhance its capacity to implement its AWP and to identify and help recruit elections specialists as needed.
- **Recommendation:** The MTE team observes that the NEBE has a limited partnership with CSOs (mostly Youth and Women's Associations only) and other institutions such as the Ethiopian Human Rights Commission (EHRC) who have a mandate to monitor elections in Ethiopia. It is imperative that the NEBE works towards a more robust mode of collaboration and partnership with CSOs and other IPs as it works towards enabling electoral environment.

EHRC

- **Recommendation:** Procurement of the electronic complaint handling facility/service need to be expedited. The DIP CU and the units of the wider UNDP must do their part to facilitate the procurement.
- **Recommendation:** The interview the MTE team had with the Chief Commissioner, Directorate Heads, and the Program Team (all the UNVS) at EHRC revealed that there was lack of institutional ownership for the DIP especially after the Executive Director (who was also the DIP National Program Coordinator) left. The extensive discussion with the staff confirmed that now there is a clear sense of ownership and that the AWP and the budget of the DIP is integrated to the general plan and budget of the EHRC, although efforts to recruit an Executive Director are paramount.

- **Recommendation:** The DIP CU has staff whose backgrounds show that they have training and work experience largely in human rights, democratization, and development areas. They should take advantage of their expertise to step up efforts to strengthen better implementation of the DIP at EHRC. Also, EHRC's relation with OHCHR is a plus in terms of collaborating to better advance the horizons of human rights. The EHRC must therefore make the best use of the support the OHCHR can offer, especially until it develops full capacity (in the area of skill and human rights knowledge base).
- **Recommendation:** The efforts by DIP CU to improve the M&E capacity of the program team are well received and it needs to be commended. However, the MTE team observes (both from reviewing the reports and discussing with the program team there) that reporting to the RBM is still a challenge. More needs to be done to concretize what it means to report to the RBM and how to convert activities into results that speak to outputs and outcomes the program intends to attain.
- **Recommendation:** The Program Team at EHRC (the UNVs included) is composed of individuals that are among the best qualified persons in the area of human rights work (promotion, protection, monitoring, enforcement, and fulfillment). Consequently, it is imperative that the EHRC consciously designs a process of knowledge transfer while they are there. The EHRC must also take advantage of the BPR-led restructuring of salary scale (and other incentive schemes) as it eyes the retention of the UNVs as its regular staff after their current contract is terminated.
- **Recommendation:** The move to set up regional branch offices is a move in the right direction to better discharge the mandate of the EHRC. But caution is needed not to prematurely fragment the human resources it now has. Meanwhile, the establishment of these new offices will give the DIP a yet other opportunity to make a relevant and most needed intervention to continue to build capacity of this vital institution. This opportunity must be properly seized and utilized.
- **Recommendation:** *The EHRC must reawaken the enthusiasm to work in partnership with CSOs in all the areas of its endeavors* (such as monitoring, treaty reporting, human rights education, etc). *Two options* are there for EHRC to take as it tries to reinvigorate the partnership with the CSOs: a) insist that DIP money, being an integral part of the budget of the IPs also approved by the MOFED, is not an 'external' money that is disallowed to use for advancing the causes of human rights work; and b) focus on CSOs registered (or re-registered) as local and engage them as partners to advance the frontiers of human rights. The first option helps the EHRC engage with CSOs that are more experienced in human rights promotion, advocacy, and monitoring activities without breaking the CSO law. The second option creates a window of opportunity to engage with local CSOs whose capacity will also be built along the way. Meanwhile, the DIP CU must work towards identifying mechanisms that can make CSOs direct beneficiaries of the DIP intervention not just as channels of outreach who help EHRC in its regular endeavors.

- **Recommendation:** The MTE team noted that there is an interest on the part of the EHRC to work in partnership with university Law schools all over the country to launch legal aid centers in 550 Woredas of the country. This interest must be followed through.
- **Recommendation:** The MTE team noted the interest on the part of the EHRC to engage with election monitoring. This is commendable. But it needs to capacitate itself better to make a more informed and more robust analysis of election cycles, election-related rights, pre-and post-election disputes, etc. It is also imperative that the EHRC work closely and cooperatively with the NEBE in election-related human rights education (at the pre-election phase), in election observation and monitoring (while election is going on), and monitoring and evaluation (after the elections are over). The DIP CU must encourage the integration of these activities in the AWP of the EHRC.
- **Recommendation:** The MTE team noted the EHRC's efforts to investigate alleged human rights violations in relation to Election 2010. These efforts to investigate such allegations and producing an independent report thereof must be encouraged and must be continued.

Annex 1. MTE Terms of Reference

TERMS OF REFERENCE FOR THE DIP MID-TERM EVALUATION

I. BACKGROUND

1.1 Context

The Democratic Institutions Program (DIP) is a five-year, multi-donor program administered by UNDP which has the objective of supporting the Plan for Accelerated and Sustained Development to End Poverty (PASDEP), theme goal "...to develop a fully operational democratic, accountable and responsive constitutional federalism, ensuring citizens empowerment and participation." The PASDEP is the Government of Ethiopia's (GoE) second-generation PRSP, a document which, inter alia, recognises the importance of democracy and good governance as necessary preconditions in the fight against poverty.

This Government owned agenda is supported by the UN Country MTE as set out in the United Nations Development Assistance Framework (UNDAF) and Development Partners expressed in the Governance Strategy document of the Development Assistance Group (DAG) Governance Technical Working Group. Both prioritize strengthening of institutions frameworks of democratic governance in Ethiopia that together contribute towards the overall goal of developing a more capable, responsive, accountable and enabling state. To contribute towards this objective, a five year multi donor program in support of seven key democratic institutions was established.

The Democratic Institutions Program is an institutional capacity building intervention with the aim of:

- Promoting human rights and good governance;
- Enhancing the capacity of democratic Institutions to be effective, sufficient and responsive in promoting and protecting the rights of citizens
- Empowering citizens to be active and effective participants in the democratic process as well as respect for the rights of others.

To achieve these objectives, the DIP has identified, but is not limited to, the following key institutions as enabling partners: The National Electoral Board of Ethiopia (NEBE), Ethiopian Human Rights Commission (EHRC), Ethiopian Institute of the Ombudsman (EIO), The Federal Ethics and Anti-Corruption Commission (FEACC), House of People's Representatives (HoPR) and Regional State Councils (RCs), the House of Federation (HoF) and SNNPR Council of Nationalities and the Office of Auditor General and Regional Auditor Generals (OFAG).

1.2 Program Outcome:

The intended outcome of the DIP is a "well-structured and well-functioning institutions that embody open, transparent and democratic governance which respects the rights of all its citizens as enshrined in the Constitution" (Adapted from the PASDEP, P. 176).

1.3 Program outputs:

The DIP has the following outputs:

- Prevention, investigation and prosecution of corruption supported and increased awareness of ethics and anti-corruption within Ethiopia.
- Parliament's Capacity for law making and revision strengthened at federal and regional levels.
- Parliament's consultation/representative function strengthened and technical function in designing in poverty reduction legislation enhanced at federal and regional levels.
- Parliament's oversight functions strengthened.
- Institutional strengthening of electoral bodies including the National Electoral Board of Ethiopia.
- Improved operational mechanisms of national human rights institutions (including Human Rights Commissioner and the Ombudsman office, Ombudsman for Children).
- Human Rights Education: Increased understanding and awareness of governmental,

nongovernmental bodies, the judiciary, communities, law enforcement agents, Parliament, grassroots organizations.

The DIP as at May 2010 has been implemented for 23 months. A midterm evaluation of the program is thus due to be undertaken. All DIP stakeholders, GoE, implementing partners, Development Partners and UNDP have been reflecting on ways of make the program more effective. An institutional capacity assessment of DIP institutions and gender audit have been undertaken to identify possible gaps and propose remedial measures. UNDP as manager of the program has also been looking at the program strategy and the governance structure against considerations of programmatic efficiency and effectiveness, joint ownership, accountability, results orientation, sustainability and knowledge sharing ,engagement and communication. (See Annex 1: Proposal on substantive revision program proposal and management arrangements, June 3, 2010).

Development partners have also been looking at the DIP support in light of the Paris Declaration on Aid effectiveness and the Accra Agenda for Action. Partners have in particular emphasized on principles of ownership, harmonization and coordination, mutual accountability, managing for results and the use of local systems. (See Annex 2: Development Partners note on DIP -June 3, 2010)

The DIP MTE also comes at a time when the Development Assistance Group (DAG) is undergoing a review which is expected to also take in to account the roles, membership and structure of the Governance Technical Working group.

1.4 Evaluation Guiding Principles

UNDP has Evaluation policy which is guided by the Executive Board. The policy was approved by the Board in 2006. The policy establishes the guiding principles and norms and explains key evaluation concepts, outlines the main organizational roles and responsibilities and defines types of evaluations covered. The policy has set the following guiding principles which are complied with in any type of evaluation in UNDP. The policy emphasizes that the evaluations must be utility focused and a learning tool that creates an opportunity to share insights and knowledge about what worked, what didn't work and why, it helps staff and partners to understand the reasons for non performance and offers advice on how to address them. The policy maintains that participation in evaluation by stakeholders creates a shared understanding, enhances ownership and builds capacity of stakeholders and leads to timely incorporation of findings, recommendations and lessons into policies, strategies and decision-making processes and future program/project development in UNDP. Evaluation is not fault finding, nor aimed at attributing praise or blame to particular individuals or institutions. Overall, evaluation in UNDP aims at independence, objectivity and impartiality of the process and a tool for accountability. Evaluation supports UNDP to manage for results.

1.5 Planning for Evaluation

The UNDP Evaluation policy identifies that several steps should be taken; with planning for the evaluation starting at least three months before it is to take place. The following steps are necessary and have so far been complied with by the DIP MTE process:

- Key stakeholders discuss the evaluation, what it will cover, what each stakeholder wants to get out of the evaluation and to agree on the roles of stakeholders during the evaluation process.
- Draft the Evaluation Terms of Reference and share with the stakeholders including with regional evaluation adviser for input, comments and final approval of the TORs.
- Announce, advertise or solicit for evaluators CVs.
- Review at least five (5) CVs or proposals from companies.
- Share the list of three with regional evaluation adviser.
- Prepare an evaluation timetable, showing all the critical stages including delivery dates for each of the deliverables etc
- Recruit the Evaluator, using the TORs as the basis for the contract and include the timetable
- Make sure payments arrangements are clear
- Fees are generally payable in two stages 60% at the delivery of an acceptable draft and 40% on submission of an acceptable final report.
- Manage the evaluation process effectively by holding the evaluators to the TORs and their contractual agreements

- Up load the final report on the Evaluation Resource Centre
- Prepare management response and implementation plan
- Lessons learned incorporated into future projects/programs.

II. Review and Assessment of the DIP to date

Following the approval of the Sub-Program documents, implementation of the seven DIP Sub Programs has been underway since June 2008. Being a five year program, DIP would have been implemented for two years by June 2010 thereby necessitating an evaluation to gauge performance, challenges and lessons learned. This would help direct the program towards achieving the set outcomes.

The capacity of the seven IPs has been assessed using a self-assessment method which was very useful in establishing the current gaps and strengths within the IPs. During the same period, a gender audit exercise was undertaken to establish the IPs gender sensitivity. The gaps identified through the self-assessment exercise were matched with appropriate interventions as areas for improvement by the IPs. These gaps would be addressed in the new AWP's which have been aligned with the Ethiopian Calendar.

It is expected that for the bigger picture of the DIP to emerge through this MTE, the consultants would, among others, review the following document: PASDEP, DIP Umbrella document, Sub-Program documents, Capacity Assessment Report, DIP Gender Audit Report, HACT report, DIP RBM tools, DAG Governance Strategy document, proposed Management arrangement and emerging initiatives being put forward by both UNDP and the DIP donors.

III. Purpose and Objective of the MTE

The overall objective of the mid-term evaluation is the progress made towards strengthening the capacities of the IPs and achievements made against the planned programs results. The report from the evaluation exercise would assist the IPs, DIP Donors and the UNDP in determining whether the objectives of the program are being achieved or not and thus decide the next line of actions to be taken. While the GoE might be considered as the primary audience or beneficiary, the result is also important for the UNDP and donors to determine if strategies deployed are working, value for money and if possible to achieve the overall program output of contributing to the attainment of the PASDEP goal.

Specifically, the MTE shall:

1. Examine the implications of changing program environment and their implication for the attainment of a fully operational democratic, accountable and responsive constitutional federalism ensuring citizens participation and empowerment.
2. Review the program management modalities and recommend options for more effective and efficient program delivery in the next cycle;
3. Review progress towards achievement of program results as appropriate, and identify main lessons learned and challenges faced to move the program forward as well as corrective mid-course actions needed as appropriate.
6. Assess the extent to which the program is addressing an integrated systemic approach to capacity development that incorporates the three levels of capacity development and Identify challenges, partnerships and opportunities for accelerated delivery of the Capacity Development program to DIP institutions.
7. Review the Capacity approach used by IPs and provide recommendations
8. Review mechanism of resource allocations among IPs.
9. Review the extent to which cross cutting issues are incorporated in the program design and implementation such as mainstreaming of human rights based approach, the role of CSOs, gender and safeguards measures addressing anticorruption and within the program.
10. Harmonization and coordination with other programs for DIP IPs.
11. Review internal harmonization
12. Review partnerships, synergies and coordination with IPs and Donors
13. Provide recommendation for increased effectiveness and alignment.

IV. Review criteria

The objective of the evaluation is to undertake an in-depth analysis of the program in order to generate comprehensive and specific feedback. The review report must fully and comprehensively examine the following:

1. Assess the **effectiveness** of the program: The extent to which the program's stated objectives have been achieved. The effectiveness of the program should be assessed in accordance with the activities, outputs and outcomes detailed in the results framework enclosed in the program document. Factors contributing to and detracting from results including the current program management and coordination arrangement should also be included in the analysis.
2. Assess the **sustainability** of the program: The extent to which benefits from the project will continue or are likely to continue when the DIP support comes to an end.
3. Assess the **relevance** of the program: The degree to which the program has been justified and appropriate in relation to the need and situation on the national/regional/global level.
4. Assess the **efficiency**: The analysis and the evaluation of the overall program performance, the outputs in relation to the inputs, the financial management and the implementing timetable.
5. Assess **coordination**: The extent to which there has been coordination with similar initiatives such as the JGAM, PSCAP, etc

The MTE report should clearly outline progress, identify the challenges of the program and make recommendations for building on the strengths and addressing challenges. This being a capacity development program, opportunities to strengthen the overall capacity development approach should be explored.

V. Methodology:

The MTE process is based on the review of progress against the program Results Matrices i.e. programmatic achievements are reviewed against the expected results – and analyzed for relevance, efficiency, effectiveness. The MTE would be a systematic, comprehensive and fully participatory and independent process to ensure an objective result from the exercise. In all MTE analytical work, lessons and recommendations shall be grounded in evidence and facts with triangulated information sources that encompass all MTE consultations, stakeholders and partners. Proposed adjustment of the DIP will be based on the recommendations and lessons learned through the MTE processes and agreed with Government and Donors.

Thus more specifically, the following or more methodologies shall be applicable:

- Desk review of relevant documentation
- Interviews with Stakeholders
- Participatory consultations with key Stakeholders
- Field visits

Stakeholders that will be include but not limited to the following:

- a) Ministry of Finance and Economic Development –Multilateral Cooperation Department
- b) Heads of All DIP implementing partners
- c) Management, Technical staff and experts of DIP institutions
- d) Regional office Management, Technical staff and experts
- e) DIP Donors –CIDA, DFID, SIDA, EC, Netherlands , Norway, Austria, Italy, Denmark, Ireland, UN OHCHR, USAID
- f) UNDP – Management, Governance and Human Rights Section, DIP Coordination Unit
- g) UN Agencies and Donors supporting governance programs in Ethiopia and / undertaking work with DIP institutions

VI. Mid Term Evaluation Task MTE /MTE Steering Committee

The evaluation MTE would be comprised of international and national consultants. Both would have extensive knowledge in evaluation, democratic institutions capacity development, demonstrable knowledge and experience of legal and judicial regulatory/institutional frameworks for protection of human rights. They would also possess appreciable knowledge and experience in conducting formulation mission on governance issues in developing countries; and preferably have experiences in working with UN agencies/bi-lateral agencies including experience in evaluating multi-donor initiatives.

The MTE would be guided and backstopped by the MTE Steering Committee located within UNDP and comprising of the following: DCD (P), Governance MTE Leader, Governance Program Analyst, DIP Manager, UNDP M & E Specialist, MOFED and a representative of the DIP donors. The MTE SC would meet as necessary to ensure ongoing consultation with the consultants thus facilitating the review process. The MTE SC would also ensure quality of the process and product and would seek input where necessary from relevant units such as the UNDP Regional centres including the Oslo Governance Centre.

Specific duties of the MTE SC:

- Meet fortnightly with the consultants to review progress
- Review Inception report and provide feedback to the consultants/UNDP/the TC
- Review draft evaluation report and provide feedback to the consultants and UNDP/the TC
- Facilitate communication between consultants and key informants for information flow
- Review final report and present to UNDP
- The DIP/CU would serve as the MTE Secretariat and provide needed support.

VII. Timeframe and Duty Station

Timeframe: The MTE of two consultants is required to take up to a total of 60 working days, excluding travel time.

Duty Station: Addis Ababa with travels to the regions.

VIII. The Output(s)

The main output of the review will be a comprehensive report as outlined below:

- Executive summary
- Background/Introduction (A brief description of the program, including, key results, strategies, resources, and the PASDEP)
- Objectives, scope, method and data sources
- Analysis of program progress (comparison of planned and achieved results and resources by sub program) – including relevance, efficiency, effectiveness, sustainability and coordination.
- Challenges and opportunities (including assessment of the assumptions)
- Lessons learnt
- Recommendations
- Annexes (as desired)

IX. Deliverables

1. Inception Report within two weeks of the assignment which will include proposed action plan for completion of the assignment.
2. First Draft Report and presentation of preliminary findings
3. Final Report: The Consultant will submit the final report covering all aspects of the ToRs and integrating inputs provided.

X. Qualification and experience of resource person(s)

A MTE of two consultants would be required to carry out the assignment. Both would be required to possess the following qualifications.

Education and technical expertise	Experiences
<ul style="list-style-type: none"> Advanced University Degree in Law, Justice, Human Rights, or related discipline; Ph. D. will have an added advantage; Professional achievements in relevant fields; Ability to work under critical situation with regard to political environment. 	<ul style="list-style-type: none"> Extensive knowledge in evaluation, democratic institutions capacity development 8-10 years experience in the field of human rights issues, law, political science Demonstrated knowledge and experience of legal and judicial regulatory/institutional frameworks for protection of human rights Candidates with regional/ international experience on elections and conflict resolution would be preferred. Have experience in conducting formulation mission on governance issues in developing countries; Preferably have experiences in working with UN agencies/bi-lateral agencies including experience in evaluating multi-donor initiatives. Women are particularly encouraged to apply.

ACTIVITY	WORKWEEK												
	Wk 1	Wk 2	Wk 3	Wk 4	WK 5	WK 6	WK 7	WK 8	Wk 9	Wk 10	Wk 11	Wk 12	
Arrival and briefing of consultants													
Presentation of an action plan													
Inception report: 1. Submission by consultants 2. Review and feedback from MTEESC													
Desk review of materials/documents													
Consultation with GoE (MOFED/IPs)													
Consultation with DIP Donors													
Preparation of draft interim report: 1. Submission by consultants 2. Feedback from MTEESC													
Regional Consultation (NEBE Office/ORAGs/RSC Regional													

Stakeholder's workshop on the draft report													
Preparation and submission of final report													

Annex 2: Reference Documents

DIP Umbrella Document
 DIP Operational Guideline
 Project Implementation Manual
 A Plan for Accelerated and Sustained Development to End Poverty
 DIP Substantive Revision Document
 DIP Capacity Assessment Report
 Gender Strategy
 Gender Audit Report
 HACT Report
 DIP Implementing Partners 2008, 2009, 2010, 2003 EFY, 2004 EFY Annual Work Plans
 DIP 2008 and 2009 Annual and Bi-Annual Reports
 DIP Bi-Monthly Reports (Jan-April)
 DIP Implementing Partners 2008, 2009 and 2010 Narrative and Financial Reports
 DIP Coordination and Technical Committees ToRs with the Minutes of Meetings held so far

Annex 3: UNDP Ethiopia - Past Cooperation with DIP Institutions

UNDP Ethiopia has been providing support to the Government of Ethiopia (GoE) in the area of governance. UNDP had over the years engaged specifically in the area of support to decentralization and local governance, support to justice and human rights; support to federal parliaments, regional councils, electoral bodies and electoral stakeholders; civil service reform, conflict transformation, Capacity development support to the Federal Ethics and anticorruption Commission; provision of capacity development support to the MOFED and BoFEDs for enhanced coordination and implementation, support to harmonized approach to addressing development challenges through managing the DAG pooled fund strengthening the capacities of key governance institutions such as parliament, human rights, anti-corruption and consistently engaged in the area of electoral support.

UNDP allocated resources and considered governance as one of the major areas of support to the GoE. To illustrate, during CCF-1 UNDP allocated \$33 million program me resources in support of Elections, Parliamentary Development, Civil Service Reform and decentralization which constituted 24 % of its total program me resources. CCF-2 saw an expansion of UNDP's work in governance with a proportionate increase of its budgetary allocation to 38 % (\$ 45 million).

UNDP has since at least 1995 administered various governance projects that supported the DIP institutions until 2008. Notable among these various programs were Parliament support projects - Phase I, II and III, Strengthening the Capacity of Key Democratic Governance Institutions project implemented from 2003 to 2008 and several projects under the UN Development

Assistance Framework (UNDAF) and particularly the UNDP Country Program Action Plans (CPAP) which supported the institutions through several separate projects. Support through these projects was provided to the federal and regional Parliaments; the house of federation; the Justice System Reform Program; the Electoral System and Civil Education; The Human Rights Commission; the Office of the Ombudsman and the Federal Ethics and anticorruption commission. UNDP further managed a multi-donor basket fund in support of the 2005 elections and a post election support project. Components of these projects that were not implemented were subsequently transferred to the DIP and UNDP's projects were subsequently closed.

Notable among UNDP contribution include support to the establishment and operationalization of the Human Rights Commission and the Office of the Ombudsman, the FEACC, the training of Members of the Parliament and the launch of a study on corruption which have made contributions to the strengthening of core governance issues. UNDP also paid particular attention to supporting civic education.

Throughout its work, UNDP has adopted an overall approach of partnering and collaboration with donors and playing a lead role in coordinating the United Nations Country Team Governance technical working group.

Support to DIP institutions

1. Electoral Support (NEBE etc)

In 2000: For the 2000 election, UNDP in partnership with donors (UK, Canada, Norway, the Netherlands and Sweden) played a role to support facilitation of fair and transparent national election processes. The support resulted in the following: NEBE was strengthened through the provision of critically required equipment; Facilitation of consultations and dialogue between NEBE, donors and opposition parties, which contributed to efficiency, transparency and tolerance in the election process; Translation of Election Officer Manual into English instrumental to guide the international community in monitoring/observing the fairness of the election process; Open public forums organized at the federal and regional states for debate on various development issues in the country in terms of promoting sustainable good governance; TV and radio coverage to the population at large for civic and voter education and; Creation of a Provisional Fund with agreement of the government to enable meaningful participation of opposition political parties in the contest of the election. UNDP also coordinated the observation of the elections by the members of the UNCT in 2000.

Under the Key Governing institutions program me –UNDP supported Electoral process and civic education from 2003-2008. UNDP in 2005 managed a Joint donor's elections support program me which was a basket fund in support of the 2005 elections. This program me included support to Civic and Voter Education Program; Technical Advice and Assistance to the NEBE; Support to Political Parties; Support to Judiciary; Support to Media and support to elections in the Somali region. This support was provided with in a framework agreement between UNDP and NEBE for which ERIS was contracted to implement. UNDP directly carried out procurement of Electoral Materials for NEBE for the 2005 General Elections.

2. Support to Parliamentary Development

Since 1996, UNDP in partnership with bilateral donors has provided support to National Parliament (HoPR and HoF). This capacity development program me was provided through various projects which included projects supported by donors (NL, Norway, Ireland, IDA?). The assistance provided to the parliament included regional parliaments as a core component of this program me.

The key component of this support included:

- Building the technical capacity of MPs to implement their mandate;
- Strengthening the capacity of standing committee chairs and vice chairs to effectively play their role;
- Linkage and relationship between RSC and Federal par for consultation and information sharing;
- support to parliament in creating conducive environment for protection of Human Rights;
- creation of enabling environment for women MPs;
- Capacity of Regional parliament strengthened;
- fostering of non-partisan and independent professional staff familiar with the functions of a multiparty democracy.

Various capacity development activities for the two houses were undertaken to strengthen capacity of the institutions; committees were provided with trainings, equipments and materials (eg.books) to enable them to effectively carry out their tasks in reviewing legislations, budgets, and consultation of public and interested groups; permanent professional staff were provided with various trainings; regional parliaments were also provided with various trainings.

Major activities under this project included support to advisory services, procurement (equipments such as simultaneous translation systems, vehicles) trainings for staff, workshops and experience sharing for MPs ,committee heads etc., long term education opportunities in various areas; certification of MPs and staff in mainly law; occasional series; short term trainings in committee procedures ; staff training ; orientation program me for new MPs ;inter parliamentary visits, conferences etc. Some components of the program me were implemented in collaboration with other donors who were not providing funds to the program me but were interested in supporting the parliament directly. Some project activities were implemented by bilateral donors.

National Human Rights and Ombudsman Conference in 1998 subsequent and related activities including stakeholder consultations and parliament, hearings, committee trainings, assistance in drafting legislation etc were also supported by various partners including UNDP mainly under its parliamentary support program me.

The three phase support to the parliament-HPR and HoF lasted till 2007.Since 2007, UNDP moved towards a more comprehensive sector wide governance support, i.e. the DIP which it manages on behalf of the donors supporting the program me.

3. Support to Human Rights Commission and Institution of the Ombudsman

2007-2008

UNDP supported the Ethiopian Human Rights commission in its establishment as well as operationalization. Projects aimed at strengthening the institutional capacity of the Commission were also implemented focusing on complaints system; feasibility study to address accessibility through establishment of regional presence; expanded public outreach program and increased public awareness about human rights; understanding and enforcement of rights of citizens.

The projects were accomplished with varying success owing to the fact that the commission was newly established and still conducting recruitment of staff. However, several critical trainings and outreach activities were implemented enabling the commission to partially carry out its mandate of promotion of human rights; the necessary furniture and equipments procured; needs assessment for regional presence of the commission conducted; and strategic plan of the commission prepared. International conventions were also translated into local language. Critical activities that could not be completed were later integrated into the DIP.

Ethiopian Institution of the Ombudsman: in addition to support to national conference and consultation leading up to the establishment of the EIO, UNDP provided support in setting up and operationalization of the EIO that was established in 2004. EIO was also supported in the Development of its a Strategic Plan; - stakeholder mapping and engagement opportunity identified and development of Guidelines; provision of various trainings for EIO staff; and Awareness raising activities through the media. Project in support of EIO were phased out and integrated into the DIP in 2007.

UNDP has been instrumental in the establishment of the National Human Rights Commission and the Ethiopian Institute of Ombudsman and support to enable them to be fully operational and functional. A key lesson learnt is the need to work more closely with other UN agencies, such as (the Office of High Commissioner for Human Rights (OHCHR) which has been built into the DIP program me.

Other related areas of past cooperation:

UNDP worked with government and other partners in initiating policy dialogue and supporting the implementation of the first generation of civil service reforms in the areas of human resource management, strengthening top management, ethics, expenditure management and control and public service delivery since 1996. In CCF2 UNDP continued its support to the civil service reform program, expenditure management (internal audit and external audit), customs agency, tax reform, MBA program with Ministry of Education (MoE) and the Ethiopian Civil Service College. UNDP current support for the Civil Service Reform Program includes development of a Leadership Development Institute; UNDP also supported the efforts of building women's career development through strengthening the capacity of the Center for Women in Management of the Ethiopian Civil Service College.

Since 1994, UNDP, in close partnership with United Nations Capital Fund (UNCDF), has supported the decentralization process in Ethiopia by developing local capacity to provide basic infrastructure and services.

Whereas much of the past achievements of the Civil Service Reform Program were largely confined to improvement of systems and processes at federal level, CCF2 focused on supporting the four emerging/least-developed regions (Afar, Benishangul-Gumuz, Gambella and Somali). The main objective was to significantly improve decentralized public service delivery, which is

consistent with the aims of the Civil Service Reform and Decentralization sub-components of PSCAP¹. The UNDP supported Public Sector Reform and Decentralization program was managed in collaboration with the Ministry of Finance and Economic Development (MOFED), Ministry of Capacity Building (MoCB) and Ministry of Federal Affairs (MoFA).

In the area of **Justice** UNDP has been successful in conducting a **baseline study of the Ethiopian justice sector**, which includes a recommended five-year action plan. One of the key lessons learnt from past cooperation with the Justice Sector Reform Program (JSRP) is the need to strengthen the JSRP's coordination capacity to ensure that UNDP's advocacy role and technical assistance is adequately delivered to the appropriate implementing agencies.

Annex 4. DIP Recruited Staff

Implementing Partner	Name	Position	Assignment Commence Date	Contract End Date
Ethiopian Human Rights Commission	Mr. Abraham Ayalew	Programme Officer (SC)	30-Oct-09	29-Oct-10
	Mr. Teklu Debebe	Planning Officer (NUNV)	13/08/2008	12/08/2010
	Mr. Tigabu Darge	Finance Officer (NUNV)	13/08/2008	12/08/2010
	Ms. Kongit Girma	Admin Assistant (OHCHR)	31/8/2009	30/8/2010
	Ms. Fasika Hailu	Human Rights Officer (NUNV)	24/12/2009	23/12/2010
	Mr. Kinetibeb Arega	Human Rights Officer (NUNV) (OHCHR)	29/06/2009	28/07/2010
	Mr. Ermias Kostre	Human Rights Officer (NUNV)	10/12/2009	09/12/2010
	Ms. Elleni Tekalegn	Training Coordinator (NUNV)	07/09/2009	06/09/2010
	Mr. Abebe Eshetu	Investigation and Complaint Handling Officer (NUNV)	03/08/2009	02/08/2010
	Ms. Mahlet Yoseph	Investigation and Complaint Handling Officer (NUNV)	01/07/2009	30/06/2010
	Mr. Getnet Mitiku	Research Officer (NUNV)	01/07/2009	30/06/2010

	Mr. Ermias Tenaw	IT Officer (NUNV)	07/09/2009	06/09/2010
	Ms. Gelila Dereje	Project Officer (SSA) (OHCHR)	2/11/2009	30/6/2010
Ethiopian Institute of the Ombudsman	Mr. Adanegn Mekonnen	Finance officer (NUNV)	06/04/2009	05/04/2011
	Mr. Fite Terefe	ICT expert (NUNV)	13/10/2008	12/10/2010
	Ms. Mekdes Mezgebu	Programme Officer (SC)		
	Ms. Seblework Tariku	Child rights officer (NUNV)	01/03/2010	28/02/2011
	Ms. Hanna Nebiye	Disabled People rights officer (UNV)	15/12/2008	14/12/2010
	Mr. Solomon Mengesha	Good Governance officer (SC)	1-Jun-09	31-May-11
	Federal Ethics and Anti-Corruption Commission	Mr. Terefe Degeti	Capacity Building Expert (SC)	17-Nov-08
Mr. Bezabih Abebe		Finance Officer (NUNV)	15/09/2008	14/09/2010
House of Federation	Mr. Atkilt Melkamu	Program Assistant (NUNV)	21/12/2009	20/12/2010
	Ms. Metadel Mulugeta	Financial Officer (NUNV)	16/03/2009	15/03/2011
House of People's Representatives	Ms. Genet Abebaw	Programme Officer (SC)	23-Jan-09	22-Jan-11
	Mr. Tom Woods	Technical Advisor (SSA)	1/5/2009	30/4/2010
	Mr. Solomon Damena	Finance Officer (SC)	6-Oct-09	5-Oct-10
	Mr. Abinet Kassa	Monitoring and Evaluation Officer (SC)	1-Oct-09	30-Sep-10
National Electoral Board of Ethiopia	Ms. Hiwot Tadesse	Programme Officer (SC)	27-Apr-10	26-Apr-11
Office of Auditors General	Mr. Desta Woldemariam	Monitoring and Evaluation Officer (SC)	18-May-10	17-May-11
	Mr. Solomon Arega	Finance Officer (SC)	18-May-10	17-May-11
	Mr. Befekadu Ayele	Monitoring and Evaluation Officer (SC)	12-May-10	11-May-11
	Mr. Tesfaye	Capacity Needs Assessment Consultant (National)	3/2/2010	2/8/2010

	Gedlu			
	Mr. Sani Dawoop	Capacity Needs Assessment Consultant (International)	3/2/2010	2/8/2010
Coordination Unit	Mr. David Omozuafon	Programme Manager	1-May-10	30-Apr-11
	Ms. Mintwab Zelelew	Programme Officer (SC)	14-Feb-08	13-Feb-11
	Ms. Selamawit Tesfaye	Programme Officer (SC)	11-Jan-10	10-Jan-11
	Ms. Meron Tekola	Programme Associate (SC)	17-Dec-07	16-Dec-10
	Ms. Seblewongel Mulushoa	Programme Assistant (NUNV)	24/11/2009	23/11/2010
	Mr. Yohannes Birru	Programme Associate (SC)	01 cot 09	31-Jul-10
	Mr. Arafat Salah	Driver (SC)	9-Jun-08	8-Jun-10

Annex 5: DIP Implementation Story Line

	Type	Date	Key events related to MTE timeline
	Program Document	August 15, 2007	Approved- Signed – Legally binding
1	TC	October 18, 2007	Determined that the TC is accountable to the CC, with MOFED as chair according to the TOR. Also determined that if IP had a lack of capacity then DIP CU would implement certain procurement and recruiting on IP behalf.
2	TC	Dec 11, 2007	Approved the CC and TC TORs Members agreed that donors would be involved in major program issues and monitoring <ul style="list-style-type: none"> Donors recommended that all recruitment be from outside the institutions. i.e. HOPR
	PIM		Standard UN Excom agencies agreement
	Operational Guidelines	Jan 2008	DIP Program Implementation Manual Finalized by MOFED and UNDP PM Elobaid assumed duty TORs included –CC , TC and DIP CU Manager <ul style="list-style-type: none"> CU is activated
3	TC	Jan 31, 2008	Donors recommended approval of EHRC AWP year 1 <ul style="list-style-type: none"> Donors - Reference to CSOs in sub program document in question. Wondered about process of recruitment? EHCR working under the impression that there will be a separate CSOs DIP

4	TC	Mar14, 2008	Elobaid is first mentioned as DIP manager HOPR sub program document approved on several conditions Decision made to review DIP management after one year of implementation
5	TC	Mar 27, 2008	Ensuring synergy in changes recommended for CC and TC TORs
6	TC	Apr 18, 2008	FEACC and EIO and respective AWP approved
First CC meeting	CC	Apr 30, 2008	Approved sub-programs documents – EHCR, HOF, HOPR, EIO, and FEACC. Endorsed CCc and TC TORs Meeting noted that the CU had been active at UNDP since January 2008; TC noted the need for more work on results framework and gender elements.
Annual Report	CU	2008	Key issue flagged <ol style="list-style-type: none"> 1. Scheduling of allocations and slow implementation 2. Capacity issues for management raised i.e. RBM, etc. 3. Recognition that annual planning should occur in October to start implementation in January. 4. Taxes and duties mentioned as an issue for financial reporting of IPs 5. All IPs should receive program management training i.e. RBM, M&E etc. 6. Need for gender and communication strategy flagged. 7. Need to review absorptive capacity of IPs and undertake reallocation exercise to good performers. <ul style="list-style-type: none"> • Welcomed EC as a donor as per decision 7 TC
		Aug 19, 2008	Elobaid still the DIP CU manager and Gerald representing UNDP meet together with CC- No representative from GOE in CC minutes As per DIP reform efforts, advertised posts for DIP program manager, officer, NUNV and program associate.
Implementation begun in June 2008			
Biannual DIP Progress report	CU	Oct 2008	UNDP Capacity Development Principles outlined DIP CU beginning to take on more IP support activities due to noticeable institutional capacity gaps of IPs
7	TC	Nov 21, 2008	Discussed inclusion of OFAG – Raised issue of fiscal year of donor and Ethiopian fiscal year – determined to realign DIP with this... EU first recommended as partner. DIP CU was asked to organize experience sharing between IPs
	CU /MOFED	Jan 2008	DIP Operational Guideline finalized by MOFED and UNDP
8	TC	Feb 23, 2009	Review of AWP for 2009- was late and reportedly causing slow implementation of IPs Donors complained they did not receive a Consolidated report on DIP performance from MOFED must have been confusion as annual report is the only consolidated report due to donors.
9	TC	Mar 24, 2009	Noted absence of a DIP program manager

			Confusion as to who finalized the consolidated Annual report was raised by MOFED and it was decided that DIP CU would receive a consolidated report from MOFED for distribution to Donors and TC.
Donors Retreat	CU	May 2009	Donors Elections Retreat - Outcome was JEAF - Joint Electoral Assistance Framework - IPs or GOE not invited
Biannual Report	CU	July 2009	Noted delay in approvals of AWP's and funds released Note staff of IPs engaged in BPR meetings Freedom of Information act added to EIO mandate DIP CU has instituted rigorous monitoring system which requires IPs to submit monthly updates and action plan at the beginning of every month in addition to the quarterly reporting requirements.
10	TC	July 15, 2009	<p>Approval of the OAG program document.</p> <p>First time Gerald Mitchell appeared as a UNDP representative, at the meetings. TC substantively discussed changes in the program document - 'DIP reform' - 8 different points raised for decisions: Project duration - extended by one year- change pledges to reflect actual contributions in document: provision for new donors and beneficiaries; earmarking was raised as an issue;</p> <p>DIP REFORM</p> <p>Meeting debated revisions in accordance with the completion of the sub program documents - DIP RBM, M&E strategy and mainstreaming of gender concerns; as per NEX requirements, the DIP program was not preceded by a capacity assessment so debated idea to deal with IP capacity gaps by having each IP submit to UNDP management individual IP action sheets; suggested to check HACT compliance and take corrective measures: to develop resource mobilization strategy for communications.</p> <p>All of above done as to not compromise the 43 million allocated for IP CB;</p> <p>DIP management structures and relationship with Donor's- three proposals for accountabilities was tabled: proposal to revise the budget and operations of CU to add more capacities for managing IPs- Two each; addition of communication, capacity building and procurement expertise; discretion to engage NUNV in discussing with TC and MOFED; allocation of resource for CU services i.e. communications, M&E and DIP CU administrative expense.</p> <p>Requested one NUNV and one more program officer</p>

12	TC	Dec 17, 2009	Reviewed annual work plans for FAECC, EIO, HOF, EHRC, HOPF, OAG in time for a whole year of implementation. Alignment of the DIP and GOE fiscal year tabled- TC decided that the fiscal year be aligned by having a 18 or 24 Annual work plan to begin in July 2010 A decision was made to remove BPR from activities?
Annual Report	CU	Dec 2009	Flagged issues with delay and release of funds Ambitious, unrealistic budgeting and planning Full engagement of staff with BPR exercise Monitoring, reporting and communication of results – reporting list of activities and no results Lack of sufficient baseline data and research to support interventions and results. Staff turnover and change in leadership of some implementing partners Prioritized actions include – CAF of all IPs, gender audit and mainstreaming strategy; revision of all AWP to incorporate CAF and align to fiscal year Ethiopia; communication strategy and monthly newsletter.
	CC meeting	Jan 22-23, 2010	Donors expressed issues with NEBE and wanted clarity on CSO involvement.
DIP IP meeting and CAF	IP – CAF exercise	Feb 2, 2010	Capacity Assessment Exercise - The consultants had a one day meeting with each of IPs in eth first week of February, and then had a 3 days capacity assessment workshop from February 9-12. This exercise was conducted with the view of the recent BPR implementation as well as (Harmonized Approach for Cash Transfer) principle in mind for each IP. Note that there was a cash flow problem from donors... <ul style="list-style-type: none"> Discussed DIP alignment with fiscal year -18 Month AWP as of July 2010 taking into account the CAF exercise Discussed revising the NUNV tour to focus on the mentoring – knowledge transfer aspect of their duties –and also to rationalize NUNVs that are not working well.
13	TC	Feb 22, 2010	Shared outcome of DIP IP meeting-status of DIP reform and discussion around AWP based on learning of what works (noted that all were to be signed for 24 months) February 9, 10 and 12- workshop on CAF <ul style="list-style-type: none"> Newsletter and operational calendar being developed
		March 30-31	At the end of March (March 30-31) the Capacity needs assessment final document was presented to stakeholders, and also a one day training on gender mainstreaming was delivered to the IPS)
15	TC	May 6, 2010	AFIs identified in the CAF assessment were agreed by IPs and should be indicated in the AWP to be prepared for 24 months and that the TC would like to see more concrete action concerning these AWP. The 24 Months AWP were prepared with full participation of the donors who contributed to the actions in the approved AWP

16	TC	June 24, 2010	Review and Endorsement of the Extended 24 Month - AWP of EHRC, EIO, FEACC, HoPR and NEBE subprograms Mid-term Evaluation Comments
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Annex 6: Feedback from MTE Donor Consultation

- DIP governance arrangements are not optimal. DIP CU is not responsive enough, has no substance in technical matters, is not very transparent and does not provide much communication to donors, except statutory reporting. At present the TC is a very heavy burden on the two donors, CIDA and the Netherlands, neither of which wants to continue as a TC member. Neutral partners who have capacity are needed to coordinate IPs efforts and add substantive input into the DIP. A more robust UNDP (with more professional staff) could be the neutral coordinator and share the chair with rotating IP partners.
- Since progress of some IP AWP's is slow or need many revisions, it is recommended that TC be enlarged and provided with approval powers. The new TC could be called the DIP Steering Committee. How to chair it must be resolved since donors must participate on regular basis. In the umbrella document DIP CU is only a coordinator, but it seems to have a more powerful role.
- A communication strategy is essential. With new ToRs that focus solely on strategic issues and high level political issues, more specific roles would be established for donors to keep them engaged.
- Donors would like more transparency on the UNDP's use of the 7% funds that go the UNDP to administer DIP CU activities.
- A DIP CU monthly meeting to inform donors on program status is a suggestion for improvement. The DIP reform document is to be reviewed by MTE, which will make recommendations of what aspects of the program management should be changed.
- Some donors were in favour of an alternative structure, a buddy system, with one donor per IP. This would necessitate another governance structure and bring up the risk that UNDP would no longer be held responsible for program management. Many donors do not have staff to manage these IP relationships. **The MTE determined that augmentation of the DIP CU staff and promotion of better donor understanding of the substantive role of UNVs and SSAs would be beneficial.**

- It was determined that confusion towards what MOFED should be, ranged from having stronger internal capacity, to providing mentoring to IPs, to being a small unit of democratic institutional strengthening technocrats solely focused on DIP (coaching, backstopping), to playing the role of government accountant for DIP with no substantive role other than to ensure aid funds are accounted for.
- MOFED is helpful in supporting/guiding IPs. In the umbrella document MOFED is only a coordinator but seems to have a more powerful role. Donors may have unrealistic expectations about the DIP, especially at the enabling environment level. IP may not see this as within in their mandate... The higher question is whether DIP is appropriate for lobbying for more rapid democratic change.
- Donors were frustrated with DIP as they were unable to fulfill the CSO input requirement during elections. The issue with NEBE did not involve CSOs in election monitoring. This led to donor skepticism of space for democratic institutions to operate. DIP donors plan to pursue greater space for CSO involvement in governance. Under the Protection of Basic Services (PBS) program, in which the GOE allows for greater CSO input (social accountability), this has been less of the case.
- However, it is still more in theory than in practice. DIP donors will push for CSO involvement through CC or a new steering committee should it evolve. The CSO law can have impact on changing the outcomes of certain IPs. It is important to ensure that GoE relax its implementation of the CSO law at GWTG of DAG or the higher level EPG.
- In general, contents of annual reports need improvement; RBM training for IPs should improve outcome level reporting. EU was impressed by new UNDP RR understanding of DIP; he was very engaged in DIP and understands the importance of its success to UNDP's credibility. This change of leadership at UNDP provides opportunity.

Annex 7: MTE Mission Plan (23 August – October 21)

MTE Mission Itinerary		
Date	Morning	Afternoon
Sunday 22 August	Arrival of consultants in Addis Ababa	
Monday 23 August	Briefing session with DIPCU/Gov. Unit/MTE Task Team	Initial meeting with Management
Tuesday 24 - Thursday 26 August	Desk Review of materials and preparation of inception report	
Thursday August 26 (Afternoon)	Presentation and discussion on the Inception <ul style="list-style-type: none"> - UNDP - MoFED - IPs - TC member/DIP Donors 	
Monday 30 - Tuesday 31 August	Meeting with HoF - Management, PMU, departmental heads and beneficiaries Contact: Habtamu Nini	
Wednesday 1- Thursday 2 September	Meeting with FEACC - Management, PMU, departmental heads and beneficiaries Contact: Terefe Degeti	
Friday 3 -September	Meeting with the DIP CU	
Monday 6-Tuesday 7 September	Meeting with EHRC - Management, PMU, departmental heads and beneficiaries Contact: Abraham Ayalew	
	Meeting with the Office of High Commissioner for Human Rights	
Wed 8- Thursday 9 September	Meeting with EIO - management, PMU, departmental heads and beneficiaries Contact: Mekdes Mezgebu	
Thursday 9 September	Meeting HoPR Speaker	
Monday 13 September	Meeting with HoPR - Management, PMU, departmental heads and beneficiaries Contact: Genet Abebaw	
Tuesday 14 September	Meeting with MoFED	Meeting with CSOs
Wednesday 15 September	Meeting with NEBE - management, PMU, departmental heads and beneficiaries	

	Contact: Hiwot Tadesse
Thursday 16 September	Meeting with TC members
Friday 17 September	Meeting with OFAG/OAG - management, PMU, departmental heads and beneficiaries Contact: Demelash
Monday 20 September	Meeting with DIP Donors (collectively)
Tuesday 21 September	Consultation with non-DIP partners - World Bank, DED/GTZ
Wednesday 22 September	Meeting with CSOs
Thursday 23 - Sunday 26 September	Hawassa Regional consultation - Consultation with regional partners - NEBE Regional Offices, OAGs, RSC, CoN
Tuesday 28 - Thursday 30 September	Harar/Dire Dawa Regional consultation - Consultation with regional partners - NEBE Regional Offices, OAGs, RSC, CoN
Friday Sept 1	Travel back to Addis
Monday 04 October - Oct 9	Preparation/Circulation of draft MTE Report
Monday Oct 10	Send draft MTE to stakeholders
Friday 15 October	Stakeholders' workshop on MTE Report
Friday 22 October	Submission of final MTE

Colour scheme

	Consultants
	Donors
	UNDP
	GoE/IPs
	All stakeholders

Annex 8. DIP Substantive Revision Umbrella Document Proposal (given size of document, please contact DIP CU for a copy)

Annex 9. DIP Stakeholders Interviewed

Persons met with at the HOPR

Honorable Ambassador Teshome Toga, Speaker of the HOPR
 Ato Asnake Tadesse, Director, the Speaker's Office
 Ato Mubarek Sani, Director, Planning, Monitoring, and Evaluation Directorate and Sub-Program Coordinator at the HOPR
 Ms Marta Luwuigi, Director, Finance, Procurement and Property Administration Directorate
 Ms Bayoush Tesfaye, Director, Human Resource and Development Management.
 Ato Dagnachew Befekadu, Secretary General, Secretariat of the HOPR
 Ato Abraham Desta, Director, Internal Audit Directorate
 Ms Asefu G/Amlak, Director, Women's Affairs Directorate
 Ms Genet Abebaw, Program Officer of DIP at the HOPR
 Ato Abnet Kassa, Monitoring Officer of DIP at the HOPR
 Solomon Demena, Finance officer of DIP at the HOPR
 Ms Kristin van der Leest, Gender Consultant
 Mr. Tom Woods, UNDP Technical Advisor at the HOPR

Persons met with at OFAG

Ato Demelash Debele, Planning, Monitoring, and Evaluation Directorate, Director and DIP National Program Coordinator
 Ato Taye Kibruyesfa, Finance Manager
 Ms Etetu Atersaw, Director, Human Resources Directorate
 Ato Adera Bekele, DIP Program Officer
 Ato Gebremedihn Gebremichael, DIP Program Officer
 Ato Desta W/Mariam, DIP Monitoring and Evaluation Officer
 Ato Befekadu Ayele, DIP Monitoring and Evaluation Officer
 Ato Solomon Arega, DIP Finance Officer

Persons met with at FEACC

H.E. Commissioner Ali Sulaiman, Commissioner
 Ato Birhanu Asefa, Director, Ethics Education Communication
 Ato Birhanu Kifetaw, Corruption Investigation and Investigation
 Ato Hailu Berhe, Ethics Infrastructure Coordination Directorate
 Ato Akilulu Mulugeta, Corruption Prevention
 Ato Mekonnin Zegaye, Training Officer, Human Resources Department
 Ato Genzeb Semaw, Director, Change Management
 Ato Mulat Shoatek, Director, Planning, Procurement, and Finance
 Ato Begzew Yaregal, Team Leader, Change Management
 Ato Almawossen Habte, Team Leader, Planning, Procurement, and Finance
 Ato Fisseha Negash, Team Leader, Planning, Procurement, and Finance
 Ato Bezabeh Abebe, DIP Finance Officer
 Ato Terefe Degeti, DIP Capacity Building Expert

Persons met with at EHRC

H.E. Ambassador Tiruneh Zena, Chief Commissioner, EHRC
 Ato Mulugeta Nega, Director, Human Resources Directorate
 W/o Roman Tesfay, Director for Ensuring Human Rights Protection
 Ato Muluye, Welelaw, Director, Redressing Violations
 Ato Paulos Firdissa, Director for Human Rights Promotion
 Ato Berhanu Abadi, Director for Information and Communications
 Ato teklu Debeb, Planning Officer (NUNV)
 Ato Tigabu Darge, Finance Officer (NUNV)
 W/o Mahlet Yosef, Investigation Officer (NUNV)
 W/o Fasika Hailu, Women and Child Officer (NUNV)
 W/o Eleni Tekalign, Training Officer (NUNV)
 Ato Ermia Kostre, Human Rights Officer (NUNV)
 Ato ermias Tenaw, IT Officer (NUNV)
 Ms Linda Ingval, Human Rights Officer, OHCHR
 Ato Kinetibeb Arega, Human RIGHTS Officer (NUNV)
 Ms Meklit Timothewos, Human Rights officer, OHCHR
 Ms Senait, Administrative Officer, OHCHR

Persons met with at the HOF

Ato Habtamu Nini, Secretary General, Secretariat
 Ato Desalegn Woyessa
 Ato Ahmed, ..
 Ato Debeb Barud...
 Ato Mezgebe
 Ato Yassin
 Ato Atikilt (SC holder, DIP Program Officer)
 W/o Metadel, DIP Finance Office

Persons met with at CON, SNNPRS

Mekonnen Mergia, Program Coordinator
 Jilo Boneya, Finance Head
 Solomon Gebreegziabher, Head, Human Resources Department
 Endalkachew Shigute, DIP Finance Officer

Persons met with at the SNNPRS Regional Council

Ato Mammo, Deputy Speaker
 Ato Tamiru...

Persons met at SNNPRS REAC

Ato Sitotaw Wonchamo, Director, Corruption Crime and Improprieties Prevention Core Process

Person met at SNNPRS ORAG

Ato Sahle Gebre, Auditor General, SNNPRS.

Person met at SNNPRS NEBE Branch Office

Ato Abraham Gedebo, Head, NEBE Branch Office at SNNPRS

Person met with at Public Grievance section in the Office of the Regional President

Ato Fasika Getachew, Public Grievance Hearing Work Process Head.

Persons met with in Diredawa

Ms Biftu Mohammed, Deputy Speaker, City Council of DD
 Mr Abdi Mohamed, Chair, law and administration standing committee
 Mr Mohamed_____,Chair of Womeb abd Social Affairs Standing Committee
 Ms RomanG/tsadik, Expert, Children’s Parliament Coordinator
 Ato Solomon Ayalew, Head, DD City Ethics and Anti-Corruption Commission
 Ato.... Auditor General
 Ms Tsedey Wondaferaw, Auditor, DIP Focal Person
 Ms Gini Reshid, Head of the Branch Office of NEBE, Dire Dawa

Person met with in Harar

Mr. Abdum Beker Yusuf, Speaker, Harari Regional Parliament
 Mr Tadesse, Harari Anticorruption Commisison
 Mr Hamdi Mohamed,, Children’s Parliament
 Mr_____, Commissioner, NEBE

Persons met with from the Addis Ababa Women’s Association

W/o Bezuaem Gebeyehu, Chairperson
 W/o Meseret Abdi, Ethics and Anti-Corruption Officer, Addis Ababa Women’s Association

Persons met with from Addis Ababa Youth Association

Bahredin Awol, Vice President of Addis Ababa Youth Association
 Bahru Duressa, Project Officer, AA Youth association
 Getachew Taddess, Social Affairs and Mobilization Officer

Person met with at Transparency Ethiopia

Eyasu Yimer, Executive Director

Person met with from Initiative Africa

Behailu Wondwossen, Board member

Persons met with Mary Joy Development Association

Sister Hirut Hailemariam

Persons met at the UKAID (DFID)

Mr Oliver Blake
 Ms Deborah Mekonnen

Persons met with at CIDA

DiAnne Masson-Yenssen
 Shimelis Assefa
 Eyerusalem
 Seblewongel

Persons met with from the Netherlands Embassy

Lisa Bakels
 Maaïke De loor (former)

Persons met with at the DIP Donors’ Meetings

Doerthe Wacker (EC)
 Margharita Luli (Italian cooperation)
 Guissepe... (Italian Cooperation)
 Shimelis Assefa (CIDA)
 Lisa Bakels (The Netherlands)

Persons met at the UKAID (DFID)

Mr Oliver Blake
 Ms Deborah Mekonnen

Persons met with at CIDA

DiAnne Masson-Yenssen
 Shimelis Assefa
 Eyerusalem
 Seblewongel

Persons met with from the Netherlands Embassy

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 Margharita Luli (Italian cooperation)
 Guissepe... (Italian Cooperation)
 Shimelis Assefa (CIDA)
 Lisa Bakels (The Netherlands)

Annex 10: Growth and Transformation Plan (GTP) – Chapter review – Capacity Building, Good Governance and Democratic Governance

Capacity Building

The MTE team reviewed the Growth and Transformation Plan GTP which disclosed the claims that efforts have been made during the last years to establish stable developmental and democratic government system and claim to ‘achieved remarkable results’. The plan specifies that in five years that it plans to strengthen ‘all inclusive capacity building initiatives strengthen good governance’ and to ‘address the bottlenecks in effort to implement good governance’. The rationale for the new emphasize on good governance is to achieve the economic and social development, because strengthening plays a key role in mobilizing human and capital resource taking into consideration their efficiency and effectiveness. The GTP vision is that by improving working system in the public, strengthening good governance and democratic system will pave the way to economic and social development and hence to achieve MDGs by 2014/15.

Within the capacity building sub sector, the GTP specifics three strategic directions in the civil reform effort together with consorted and integrated efforts to enhance the capacity of the civil service to implement government policies and strategies effectively and efficiently. MTE felt DIP is in lines with these objectives. These are:

1. Establishing government structure with strong implementing capacity

Activities include:- full implementation of the Civil Service Reform Program at all levels of the government structure(both at federal and regional); awareness creation so that civil servants develop attitude towards serving the public, full understand of the government's policies and strategies and capable to implement government policy and strategy and ensuring efficiency, effectiveness, accountability and transparency;

2. Ensuring transparency and combating corruption from its source

Measures to be taken under this section include:- fully implement the system to disclose and register asset owned by every citizen thereby to recognize and protect their rights; establish a system to register urban land; set up a system to identify and recognize ownership of land; create awareness through ethical education to encourage citizens for zero tolerance for corruption and rent seeking, disclose and register assets under the ownership of political leaders/public officials in a transparent manner; deterring and detecting any asset gained through illegal and improper way, educating the public at large to challenge corrupt practices and officials and bring them to justice those who are engaged in improper way of gaining asset, tax evasion, illegal activity with aim of gaining any benefit from it.

3. Ensure Public Participation

Activities for ensuring public participation in the planning period include:- Ensure good governance at local level so as to support achieving millennium development goals; take affirmative action's to enhance women participation at *wereda* and *kebele* level; engaging and mobilizing the public in the construction of local infrastructure development activities such as primary schools and health stations; create enabling environment for professional and public association to enable them protect and promote their rights and benefits; create conducive legal and institutional participatory mechanism and made operational at all levels of the government structure for professional and public associations to enable them participate in the formulation and evaluation of government policies, strategies and development plans; support professional and public associations/organizations in their efforts to exercise inter-organizational democracy such as promoting ideas without any form of prejudice, tolerance, respect of the law, ...etc;

Democracy and Good Governance Sub-program

In addition the MTE team reviewed, Democracy and Good Governance sub program which had plans to legislate supporting laws and directives, conduct free, fair and democratic election, ensure human rights of the citizens, ensure the right of women, foster one economic and political community, foster the development of constitutional, human rights and democratic culture, ensure people well represented, strengthen the audit system, standard and coverage and use as a tool for strengthening accountability, standardize the accounting and audit system, to create enabling environment that citizens can conduct consultative dialogue with government about human rights, carryout researches in relation to human rights and ensure press freedom and ensure citizens' rights for freedom of information and to strengthen and deepen good governance and Democratic Institutions (DI).

Objectives

To realize strengthening of DI and ensure one political and economic community there are a number of activities resulted in the following main objectives. These are:

- A. **Strengthen the democratic and good governance institutions:** during the last five years number of activities had been carried out to strengthen the DI to enhance their role in the process of building democratic culture through business process engineering and build the capacity of the staffs through short-term and study tours for experience sharing. Hence during the next five years the ongoing activities will be further continued. The capacity of DI will be strengthened through trained human power. Working directives, acts and hand books will be prepared. Policy directives will be prepared and put in place to enable awareness creation among the citizen about the constitution. To strengthen the parliamentary system of the government, it has been planned to build the capacity of the members of the House of Peoples Representative and House of Federation through conducting training and experience sharing workshops and improve the working system of the two councils through equipping with information technology and network infrastructure for easy information management and exchange for better decision making.
- B. **Broad based awareness creation about human rights and constitution:** During the next five years the federal HoPR and HoF will conduct broad based awareness creation workshops and training seminars for
 - a. Students at pilot schools based on the civic education to exercise democratic culture and strengthen children parliament.
 - b. Pastoralists mainly in conflict prone areas, women and youth society group to create awareness about democratic culture.
- C. **Ensure one political and economic community:** in line of this objective there are a number of activates planned to be conducted. These are:
 - a. The House of federation will conduct extensive research study through supporting post graduate students that are studying on democratic governance and use the intuitions too to strengthen national consensus to ensure one economic and political community.
 - b. Equip the documentation section of the federation with research documents which enables decision making of the staffs of the federation.
 - c. Revise and improve the grant sharing formula to create balanced and equitable regional economic growth.
 - d. To put in place early warning system to prevent conflicts and use indigenous conflict resolution mechanism through mobilizing local community.
- D. **To legislate laws and directives to create enabling system to ensure democratic representation and accountable to public resource:** The HoPR and regional counterparts will pass acts and directives that have been developed based on research to support the effort towards realizing the Growth and Transformation Plan. Hence HoPR, HRC EIO and OFAG are working together with HoPR for effective monitoring and implementation of this objective.
- E. **Ensure councils accountability to the public:**
 - a. The federal and regional councils will secure media air time, develop user friendly websites, publish and increase the circulation of press releases and booklets to address the public and collect public perception on the democratic process and enhance their participation in decision making.

- b. Establish Advocacy Centers to reach the public at lower administrative level and make accessible minutes, reports of the councils, annual plans and other related information using this advocacy centers.
- F. **Enhance public participation:** To enhance public participation in development planning and democratic process, the following activities are planned to be implemented. Regional, woreda and kebele councils facilitate for realization of the participation of different social group. These are:
- a. Enhance the participation of women in the council for better political participation and decision making,
 - b. Build the capacity of the council members through training and study tours for experience sharing,
 - c. Enhance participation of membership based CSOs and the public at large on development planning, implementation monitoring.
 - d. Put in place directives and laws that will support working system of membership based CSOs and professional associations

Implementing Strategies

- Build the capacity of the executives,
- Ensure effective legislative assembly (law making process), codifications and consolidation of laws based on research and studies,
- Enhance delivery of effective and efficient judicious and ensure accountable judiciary,
- Build the capacity and ensure their human rights of the prisoners,
- Establish peace and tolerance among different religious groups,
- Support the effort of building democratic governance through conducting legal and justice system researches, strengthen supremacy of law and conduct awareness creation among the citizen about human rights.
- Improve the accessibility and disseminations of printed and electronic copy of constitutions, laws and acts,
- Strengthen participation of membership based CSOs and development stakeholders in the development process,
- Ensure the legal protection and rights of children, women, People living with HIV/AIDS and people with disabilities.
- Create a mechanism to enhance professional ethics of lawyers through capacity building to increase their role in the judiciary process.
- Ensure gender equality,

Create awareness about HIV/AIDS prevalence and incidence among the staffs in the DI

DIP Staff

Staff name	Position	Date of Entrance	Date of resignation	Replaced by
1. Elobaid Ahmed Elobaid	DIP Program manager	January 2008	September 2009	
2. Mintwab Zelelew Tafesse	DIP Program Officer	February 2008	On Maternity and annual leave from June 2008 till November 2008	Sehen Bekele
3. Sehen Bekele	DIP program Officer	June 2008	December 2009	
4. Meron Tekola	DIP program Associate	December 2007	On maternity and annual leave from September 2009 till March 2010	Yohannes Birru
5. Yohannes Birru	DIP Program Associate	October 2009	May 2010	
6. Selamawit Tesfaye	DIP program officer	January 2010	June 2010	Recruitment process going on

UNV

Staff name and position	Date of Entrance	Date of resignation	Replaced by	Remark
EHRC 1. Getnet Mitiku, Research Officer			Not Replaced	
2. Mena Seged, Project officer (OHCHR)			Gelila Dereje	
3. Yonas Tesfa, Human Rights Officer			Not replaced	

4. Abebe Eshetu, Investigation officer			Not Replaced	
5. IT Specialist			Ermiyas Tenaw	
EIO 1. Tsigewein, Research Officer			Not replaced	
2. Hiwot Tadesse, Gender and women's right officer			Not replaced	The post is changed to Planning officer as the need in the area of planning is found to be critical
3. Shimelis , Child rights officer			Seblework	
HOF 1. Manegerew , Finance Officer			Metadel mulugeta	

Annex 11: Key IP Achievements (results):

Federal Ethics and Anticorruption Commission (FEACC)

FEACC has utilized DIP funding and technical inputs to strengthen its institutional capacity to carry out its mandate which has contributed towards achievement of the intended outcome of

well-structured and well-functioning institutions that embody open, transparent and democratic governance which respects the rights of all of its citizens.

Examples include:

- **Increased public awareness of ethics and anticorruption** about the effects of corruption and promotion of ethics in the public service by producing and distributing ethics and anticorruption materials and awareness programming throughout the country
- **Evidence of changing attitudes toward corrupt practices** is demonstrated by the increase in whistle blowing---during first three years of FEACC, there were only a few hundred, over array of petty corruption, and now over 4000 complaints during the last two years; people are also more willing to testify in court which has improved the conviction rate.
- **Strengthened FEACC's human resource capacity.** DIP funding has been utilized to help implement the recommended changes emanating from BPR study by contributing to enhancing human resources through support to recruitment, planning, training and capacity strengthening. Federal level staff has had their skills upgraded in media and public relations, ethics and anti-corruption sensitization courses, monitoring and evaluation, impact assessment and gender mainstreaming. DIP funds have been used to provide scholarships for key staff to acquire their Master's degrees at local Universities (or via distance education programs) to both incentivize staff and ensure they have adequate skills and knowledge to effectively discharge their duties. The Prevention Directorate has trained its staff on procurement, taxation, cybercrime, banking and insurance fraud and other pertinent topics to enable it to stay abreast of the latest trends in fighting corruption.
- **Strengthened FEACC's working environment.** DIP has provided funding to refurbish a large training hall, renovate offices, procure ICT and other office equipment. It has developed a communication and knowledge management information system, and provided materials, and computers to enable in-house design of its public outreach materials. Each of these investments contributed to a modern and more efficient working environment at the federal level. The seven REACCS and one FEACC branch office in Dire Dawa have also benefited from DIP through the procurement of computers, basic office equipment and supplies, although to a much lesser extent.
- **Enhanced FEACC's relations and partnerships with other local and international actors** involved with promotion of anticorruption agenda. This has been achieved through building the capacity of mass associations, including regional anti-corruption/ethics clubs in higher education, religious groups and forums, youth league's women's associations, labor groups, and private sector enterprises, in the basic tenets of anticorruption and ethical behavior in order to promote popular awareness and promote a cultural shift in the public's attitude towards corruption. FEACC's Prevention Directorate has begun a joint initiative with research institutes to engage in in-depth research on the latest trends in combating corruption. DIP and PSCAP collaborated on the development of a case management system to manage complaints, knowledge transfer and track investigations and prosecutions.
- **Improved FEACC's planning and M&E capacity.** Through support for the Change Management Department, DIP has helped to streamline FEACC's planning and human resource management and to better mainstream gender in its programming.

Ethiopian Office of the Ombudsman (EIO)

The EIO has utilized DIP funding and technical inputs to strengthen its institutional capacity to carry out its mandate which has contributed towards achievement of the intended outcome of well-structured and well-functioning institutions that embody open, transparent and democratic governance which respects the rights of all of its citizens.

Examples include:

- **Enhanced core management and technical capacity** to take forward its mandate: while the GoE's funds have provided for the EIO's salaries, benefits and basic recurrent operating costs, since 2008, DIP funding has provided the majority of programmatic funding for EIO's core management and technical staff capacity building exercises. DIP funds have been expended on office furniture, furnishings, basic equipment, vehicles and ICT capabilities. This has contributed to a conducive working environment and lent to the EIO's image as a modernizing democratic institution.
- **Completion of BPR**, and pending parliamentary approval, plans to implement a human resource management system with a more attractive remuneration package aimed to both retain qualified staff and attract new technical and administrative specialists.
- **Staff Capacity Building.** DIP funds have been used to support a series of specific skill building short term trainings such as advocacy, monitoring and evaluation, research methods, enhanced capacities and procedures in complaint investigation and systemic analysis; Targeted training sessions for select staff at South Africa's Office of Public Protector's Office, and a visit to the EIO from the Ombudsman of Ontario were undertaken to expose leadership and staff to an array of different methods and techniques on how to effectively assist citizens to seek redress of their grievances and prevent administrative abuses
- **Human resource gap filling and staff mentoring.** In order to fill gaps in EIO's technical capacity and to provide mentorship to regular staff, six UNVs with expertise in disability, child rights, gender, good governance, research methodologies, finance and ICT are currently serving the EIO. The UNVs have helped to mainstream gender and to address maladministration issues impacting children, women and the disabled.
- **Image Building/Identity Development.** EIO is a completely new public institution in the nation's history. As such, much of the initial DIP funding was expended on sensitizing the leadership and senior management as to roles and responsibilities of national Office of the Ombudsman. To gain a thorough understanding of how such institutions function elsewhere, study visits were arranged to the Swedish Parliamentary Ombudsman, Irish Ombudsman office, Canada, South Africa, and with Uganda's office of Ombudsman. While these trips provided this fledgling institution with the opportunity to learn first-hand from older and more established institutions.
- **Baseline Survey.** A rapid assessment entitled "Maladministration Practices and Effectiveness of the EIO" was completed in 2010. It was designed to conduct a baseline survey of the present situation in Ethiopia with regards to maladministration, and to develop indicators for future use to measure the EIO's impact on fulfilling its mandate.
- **Case management procedures manual.** DIP and PSCAP hired ICT experts to work with EIO staff to develop a computerized case management database system and train

staff on its use. While progress on this initiative has been made; it was not completed at the time of writing of the MTE.

- **Research.** DIP funding has also been used to further EIO's mandate to research the root causes of recurrent maladministration cases and forward the findings to parliament; parliament then carries out pursues resolution to these cases with the responsible government body. EIO has utilized DIP funding to engage the law faculties of five state universities to undertake in depth research on issues such as citizen complaints about the city court administrations in major town and cities across Ethiopia; investigation of the root causes of maladministration; impact of maladministration on vulnerable groups; and, analysis of the number and type of complaints handled by the EIO. raises awareness of maladministration issues and is engaged in enhanced consultation processes with citizens, civil society and other stakeholders.
- **Citizen empowerment/awareness raising.** DIP funds were used by EIO to organize and carry out a number of town hall meetings in six regional states to introduce the EIO's mandate and concepts of maladministration to the general public. EIO has also sensitized elected officials, police, and judges throughout the country to explain its role and responsibilities and to gain their support and inputs on ways to prevent maladministration. These meetings were followed by a series of Training of Trainers (TOT) with government (Federal, State, City and Woreda level officials and staff), professional organizations, media, trade unions and NGOs. Moreover, public outreach campaigns using radio, TV, newspaper, and dramas have been carried out in an effort to make the public more awareness of the EIO's mandate and services. This increase in awareness has contributed to the increase in the number of citizens filing complaints with EIO.
- **Freedom of Information .** DIP funds were used by the EIO in implementing the Freedom of Information proclamation at the national level. Government officials and members of the media and NGO community were sensitized and trained on their rights, roles and responsibilities with regards to this important law.
- **Advocacy of rights of vulnerable persons.** EIO was better capacitated to serve the needs of women and children, as well as other vulnerable groups: The UNV Disability Officer worked with the Director of the Human Resources department and other EIO staff to highlight administrative abuses and neglect of PWDs and mainstreamed PWD issues within the EIO. The EIO also has reached out two local CSOs which provides it with technical expertise and advocacy on how to promote the rights of PWDs throughout the public service.
- **Children's Parliaments.** Established in seven regions and one city council to educate an empower children about their rights and responsibilities --Dire Dawa. The children parliamentarians range in age from 12-16, and are gender and ethnically balanced. They are trained on CRC, how to work and debate in committees and plenary and take six months to draft agenda, then they meet to highlight problems, present problems to local administration stakeholders and EIO; EIO send follows up team to monitor to see if grievances have been addressed; the results are discussed during second ordinary children's parliament session.

House of Peoples Representatives HOPR and Regional States and City Councils

The HOPR/RC have utilized DIP funding and technical inputs to strengthen its institutional capacity to carry out its mandate which has contributed towards achievement of the intended outcome of well-structured and well-functioning institutions that embody open, transparent and democratic governance which respects the rights of all of its citizens.

Examples include:

- **Promoted inter-party dialogue.** Greater tolerance for different views and consensus building via incremental mechanisms to effectively engage the Opposition made. For instance, one interparty conferences took place in Addis during 2009, which built consensus on a number of national issues how to use rules of procedures to facilitate debates, review comparative parliamentary experiences managing government and opposition parties' relationships, welfare and terms of conditions for parliamentarians. Moreover, the conference contributed to a conducive dialogue environment that enabled the parties to willingly meet and participate in the dialogue process, which they helped create. In addition to HOPR members, Speakers from Regional Councils', DIP IP's and judiciary attended. The results from the conference endorsed the necessity of dialogue and aspired to the establishment of an institutional dialogue platform which was to be the focus of the next conference. At the RC and City Council levels, inter party dialogue included cross party seminars on comparative parliamentary experiences such as role of members in a multiparty democratic system, the rights of minorities and the rule of majorities, and the role of parliaments in shaping governance.
- **More knowledgeable/professional legislators.** During the previous parliament, nearly 80% of the MPs were elected for first time to parliament and few had much prior experience in law making, representation or oversight. DIP funding helped to orient and build capacity of parliamentarians and new staff members on the role of political parties in parliaments, relationships between government institutions and MPs, gender policy analysis, strengthening parliament's financial oversight capacity, gaining a deeper understanding of the roles and responsibilities of other democratic institutions such as civil society groups, electoral bodies, legal and human right organizations.
- **Improved legislative oversight.** DIP funds to train its standing committee members on how to monitor and evaluate the executive bureaus they oversee by checking if they are operating in accordance with their strategic plans and meeting the needs and demands of the citizenry; the standing committees do on-site on inspections of executive programs and continue to follow up.
- **Knowledge management.** The Speakers' Forums emerged from the DIP as a mechanism to expedite program implementation, but evolved into a legitimate informal institution enabling the RCs to meet and discuss common issues in the context of federal politics. These forums were cited as examples of horizontal learning between HoPR, RCs, City and Woreda Councils. These meetings allow Speakers, select members and staff to meet in one a place and share experiences, knowledge and standardize approaches to parliamentary work. Given the uniformity in feedback on from the RCs on issues of

capacity building, these forums are undoubtedly useful for inculcating similar approaches to problem solving and distribution of lessons learned.

- **Enhanced institutional effectiveness** and sustainability of parliamentary support mechanisms through improved terms of service and working conditions for MPs and staff and through institutional development for staff and improved ICT capacity. DIP has funded the HoPR, Regional Councils, City Councils and in some cases Zonal and Woreda and Kebele councils with basic material support: office equipment and supplies (e.g. desks, chairs, computers, photocopiers), all distributed in accordance with performance capacity—
- **Greater awareness of gender considerations.** Considerable gender related capacity building for staff and members was successful undertaken with DIP funds. An impact assessment of gender related training for members and staff over the previous five years was carried out. A pilot assessment and follow-on workshop with high level policy makers on the NAP and CEDAW resulted in a report recommending how to implement these instruments. And, a series of training manuals and guidelines on gender mainstreaming were developed in order to better ensure consistency of message and application of these practices.
- **Improved representative function of HoPR and RCs.** Progress made on enhancing the critical engagement of parliamentarians towards the achievement of the MDGs, MDG sensitization and training was organized for members and staff at HoPR, RCs, and CCs. Regional Councils have developed plans and have started moving towards sensitizing their respective constituencies and mobilizing different government and non-governmental groups to further strengthen efforts to achieve the MDGs. Regional and City Councils throughout the country have organized standing committee visits to Zonal and Woreda to review progress made on implementation of development projects and to seek feedback from constituents on other pressing issues affecting their communities.
- **Enhanced Capacity of RC and lower level councils.** DIP funding to HOPR/RC/City Council and lower level councils has enabled these institutions to modernize through basic capacity development and provision of much needed material support. The MTE Team found that while the HOPR has experienced numerous challenges in building its own internal capacity it has, among the IPs, done a very good job (as compared to the other IPs with regional/city counterparts) to ensure that DIP funding and technical assistance reaches to the RC, CCs and lower level councils..

Offices of Auditor General (OAG): Federal (OFAG) and Regional (ORAGs)

Due to the late entry of the OAGs into the DIP little progress has been made towards its stated outputs. The first year (2009) was mostly devoted to ensuring thorough needs-based planning was done with all 12 OAGs, with a number of ‘bridging activities’ consisting of tailored training for auditors to keep the momentum until the AWP were approved.

Nonetheless, the following achievements were made:

- **Public sector audit work throughout the federal structure of Ethiopia undertaken in accordance with international standards:** In 2009, DIP supported numerous trainings to all audit officers at both federal and regional's levels on Auditing Standards, Auditors Ethics and Code of Conduct, Audit Planning, Execution, Reporting, development and application of standardized audit manuals, and training and membership of international accounting bodies as ACCA, which has enabled their capacity to work in accordance with international standards.
- **Enhanced management and coordination capacity of OAGs:** Needs assessment and the annual work plans have included procurement of office infrastructure for all OAGs, training for HR staff, organization of a national conference for OAGs and twinning of OAGs with similar organizations in other federal countries.
- **Integrated capacity building strategies in place for all OAGs.** DIP funding supported a comprehensive and participatory needs assessment for the 12 OAGs and related parliamentary structures. The needs assessment contributed individual OAG capacity building plans to guide investment and coordinate harmonized implementation to the extent possible.
- **Program Management:** The MTE team found that UNDP consultant team is well integrated into OFAG office structure. They are temporarily sitting in different building due to the shortage of space in the OFAG HQ. While the team focuses mostly on ensuring smooth planning, monitoring and implementation of DIP related activities, they have many common tasks with regular OFAG staff. The UNDP SSAs are in regular communications with ORAGs and have conducted two workshops with ORAGs to help develop their annual work plans.

The House of Federation /Council of Nationalities

The HOF/CON has utilized DIP funding and technical inputs to strengthen its institutional capacity to carry out its mandate which has contributed towards achievement of the intended outcome of well-structured and well-functioning institutions that embody open, transparent and democratic governance which respects the rights of all of its citizens.

Examples include:

- **Enhanced Performance of Members of the HoF (especially the members of the Standing Committees) and Staff of the Secretariat.** The DIP supported trainings/workshops for MPs on constitutional interpretation, federalism, conflict, inter-government relations, revenue sharing enhanced their understanding of their constitutional mandates and how best to discharge them. The study tours organized for the members of the CCI and the benchmarking of best practices to be emulated in Ethiopia are also seen to bolster their capacity to discharge the HOF's responsibility in an informed manner. Trainings offered to the staff (on leadership, change management, organizational effectiveness and efficiency, ICT, etc) have improved the level of professionalization and contributed to enhanced performance of the HoF.

- **Enhanced Federal Cooperation and Collaboration between the HOF and the regions on efficient use of subsidies and on conflict resolution.** In an attempt to enhance cooperation and collaboration between the HOF and the Ministry of Federal Affairs, the HOF has prepared a Memorandum of Understanding whereby they collaborate on conflict mapping, developing a common conflict strategy, etc. An attempt was to clarify mandates in the area of conflict management so that there would be no duplication of efforts and resources. Annual consultative meetings among regional governments were conducted. These meetings helped create forums where regions share and exchange experiences and learn lessons on common areas of concern. The meetings also helped develop consensus on matters of national concern (such as ways of building a common economic and political community, peace building, ensuring equity in resource and power-sharing, etc). Moreover, there is a stronger cooperation between the HOF and the CON especially because the CON is also made the beneficiary of the DIP support. The HOF always sought to collaborate with the CON because it is an institution created following the model of the HOF and partly because its mandates (constitutional interpretation, conflict resolution, handling inter-ethnic and local misunderstandings deciding on the rights of groups to self-determination, etc) are analogous to the mandates of the HOF.
- **HOF Communication Strategy.** In an attempt to enhance the communication capacity of the HOF to the regions, to the public and to other stakeholders and to respond to the felt need for a communication strategy, the HOF developed a Communication Strategy with the help of a consultant.
- **Improved Mechanism for Fiscal Transfer System.** Because of the study tours to Australia, India, South Africa, and Canada and as a consequence of the lessons learnt in these countries on fiscal transfers the HoF witnessed the evolution towards an improved fiscal transfer system with clarity on the values, principles, and techniques that guide the process. The workshops conducted in house on substantive issues of economic relations in a federation (by involving experts from within) also contributed to the betterment of the system. Training was also conducted for the regional Bureaus of economic Development, for Regional Presidents, and for Regional Governments. Also, a better consensus emerged among all the members and the regional states as the formula was negotiated and finally adopted. A better sense of trust and mutual understanding was achieved in the process of formulating the grant.
- **Enhanced Information and Communication Technology Facilities.** DIP funding has significantly helped the HOF to create a more efficient and effective ICT system through the development of a Local Area Network (LAN), procurement of new PCs, server, website staff training. The IT department is now strengthened and is growing in the number of staff. There was a study tour to South Korea for ICT personnel helped better prepare the HOF for a better IT use system in the House. There is a special library with archives on culture, federalism, conflicts, constitutional law/constitutional interpretation, public administration, public finance and economics, diversity management, nationalism, etc.

- **Enhanced Capacity of the HOF to fulfill its Mandate.** Trainings on M&E and gender (mainstreaming, budgeting, and auditing) were conducted, and the HoF has a better M&E scheme to assess its work. The deployment of the Finance Officer (a UNV) and the Program Assistant (an SC holder) at the HOF also helped refine the M&E. The PMU meetings also help in this regard.
- **More Effective Public Outreach.** The HOF was made better able to fulfill its mandate by creating greater constitutional awareness all over the country through a number of activities (through televised question-and-answer sessions for schools; organizing conferences on Nations, nationalities and Peoples' Day, or on the International Democracy Day [jointly with the HOPR], or on the Flag Day; publishing and disseminating pocket size copies of the constitution; or through training Teachers and students of Civic and Ethical Education, training media personnel; animated cartoon movies on constitutional rights to be released in 2010; and radio programs on the constitution paid for from the DIP; etc). The HOF also commissioned studies to be conducted on private international law and arbitration law in Ethiopia. These studies were conducted in cooperation with local universities. Bills on these laws were then drafted and submitted to the HoPR. The HOF engages in these activities to discharge its duty to come up with laws that help create a common economic community in the country.
- **Performance of the CON of SNNPRS:** The CON of SNNPRS constitutes a part of the HOF as a beneficiary of the DIP. The CON has utilized the DIP support for a number of activities. Publication and dissemination of thousands of copies of the constitution of SNNPRS, sponsoring televised Question-and-Answers sessions, and workshops for teachers and students of Civic and Ethical education on the constitution were some of the activities undertaken to raise the constitutional awareness of the public. Besides, conferences, workshops, and trainings on federalism, conflict, constitutional interpretation, etc were conducted at the regional, Zonal, Woreda, and Special Woreda levels. At the infrastructural level: computers, vehicles, and other office facilities are procured for the CON with the DIP support. Members of the SNNPRS's CCI have benefitted from the study tour to the constitutional courts of Germany and Belgium in 2010. Other members of the Con have also benefitted from other study tours with the staff and members of the HOF.

The National Electoral Board of Ethiopia (NEBE)

The NEBE has utilized DIP funding and technical inputs to strengthen its institutional capacity to carry out its mandate which has contributed towards achievement of the intended outcome of well-structured and well-functioning institutions that embody open, transparent and democratic governance which respects the rights of all of its citizens.

Examples include:

- **Enhanced Administrative and Managerial Capacity of NEBE.** DIP funds were utilized to train key management staff from NEBE HQ and Regional offices at the

Ethiopian Management Institute on general management skills to help enhance the physical capacity; a number of facilities were procured since the start of the implementation of the program. Thus, computers, office furniture, photocopy machines, phones, fax machines, and spare parts for print and video equipments were procured for the offices of the staff, the Board, the secretariat, and the newly created regional branch offices. Also, materials needed for printing and publication of magazines, posters, and a training manual on electoral processes were procured. The procurement of these facilities has strengthened the capacity of the NEBE to better administer and manage election 2010.

- **Improved Capacity to Develop a Comprehensive Framework for Planning and Administering Free, Fair, and Credible Elections.** In order to build capacity to plan and administer free, fair, and credible elections, the NEBE conducted a series of trainings on voting, counting, tabulation, and verification of result for constituency election officers. It also conducted a similar training for polling station heads from all over the country. Moreover, a series of trainings were conducted on the election rights of persons with disabilities and other marginalized sectors of society on voting and other issues related to electoral law. Trainings were conducted for domestic observers who came from CSOs, from the Supreme Sharia Court, and a long list of other groups. Training was also organized for election officers who volunteered from among the military and university students. Political parties also received training on candidate registration.
- **Improved Openness and Transparency of the Electoral Process.** The MTE team's interviews and research revealed that the DIP supported the massive production and distribution (on CDs) of electoral resources (electoral laws, party registration laws, regulations, directives, code of conduct, addresses of polling stations, maps of constituencies to political parties and other stakeholders), which demonstrates NEBE's efforts at ensuring transparency and openness. This activity is a commendable one, and needs to be continued in the course of implementing the DIP at NEBE both at the national and the regional levels. Moreover, the fact that NEBE reactivated its website in 2009 and is still making information available to the public is one achievement in the area of improved openness, transparency, and accessibility on the part of NEBE.
- **Greater Public Awareness on Electoral Process and Citizen's Rights to Participate in the Management of Public Affairs.** DIP funds supported the voter and civic education campaigns done through the regional branch offices, through the national and regional media, through TV dramas, songs, posters, magazines, and televised Question-and-Answer programs, have enabled the NEBE to discharge its legal responsibility as per Proclamation 532/2007 (the electoral law as amended). Moreover, the voter awareness campaign newspapers; publication of T-shirts and caps (worn by election officers); translation of election-related laws, regulations, and directives into local languages (Amharic, Oromiffa, Tigrigna, Somali, etc) also helped enhance public awareness.
- **Enhanced Complaint Resolution and Law Enforcement.** DIP funded training for judicial and law-enforcement officials have been conducted in collaboration with the Justice Professionals Training Institute. These trainings were conducted for officials from

all regions (some through video conferences). The focus of the training was on complaints handling in the pre-election and election season. This training has contributed to the creation of an environment that ensures predictability in the event that disagreement occurs on the electoral process.

- **Well-informed Media Coverage of Electoral Matters in Place.** DIP funded a series of training was offered to journalists from the government and private media at the federal and regional levels to prepare them for a professional coverage of the election. The trainings involved orientation on the Media Professionals' Code of Conduct. The trainings were conducted in collaboration with the Addis Ababa University's School of Journalism. These interventions were intended to have contributed to a better and proper coverage of the election.
- **Improved Electoral Environment.** It is reported that the training to judicial and other law-enforcement officials have contributed to a peaceful, smooth, and more predictable election environment. From our interviews and research, we did not find evidence that DIP funding is being used by NEBE to do on-going civic education activities to create an improved electoral environment and seems to limit their civic education efforts to the month prior to an election. However, the MTE team noted that NEBE has engaged in activities such as developing of training manuals for election officers and developing guidelines and procedures on public funding to parties. While these are positive efforts towards creating an improved electoral environment, they fall short of what is required by NEBE to contribute to creating a level playing field among political parties (especially in the context of fledgling democracies where the playing field is not always level).

Human Rights Commission (EHRC)

The EHRC has utilized DIP funding and technical inputs to strengthen its institutional capacity to carry out its mandate which has contributed towards achievement of the intended outcome of well-structured and well-functioning institutions that embody open, transparent and democratic governance which respects the rights of all of its citizens.

- **Enhanced Institutional Capacity.** To enhance the management and coordination capacity of the EHRC, the DIP funded a number of activities. The following are notable: training on human rights monitoring; setting up local area network; information technology training for the staff; training on management skills for the support staff; commissioner's attendance of meetings at the international Coordination Committee (ICC) for National Human Rights Institutions (NHRIs); commissioner's attendance of the meetings of the Human Rights Council; training on gender (mainstreaming, budgeting, analysis, and auditing); improving physical accessibility to the premises of the EHRC by having the elevator repaired (after relocating to a new and more accessible building); etc. In addition, study tours were organized for the staff so they can learn from the experiences of NHRIs of Ghana, Uganda, and Egypt. Computers, laptops, vehicles, audiovisual materials, office furniture, brail reader soft ware and human rights books

were procured. National UNVs (finance officers, planning officers, human rights officers, IT officer, a training officer, a program officer, etc) were recruited. The trainings, the study tours, the procurement of office materials, and the deployment of technical staff/experts who have served in mentoring roles and well as in DIP program facilitation through the DIP surely have contributed to strengthening the organizational capacity of EHRC. The MTE team observes that the enhanced organizational capacity is the first step on the road towards more empowered citizens with the capacity to enjoy their constitutional human rights and, as such, must be encouraged.

- **Enhanced Human Rights Protection in Ethiopia.** DIP funded training of trainers (TOT) for law enforcement officials. Workshops were conducted on the rights of refugees and IDPs in Ethiopia and monitoring of the human rights condition in orphanages was conducted. Investigation was made to an alleged politically motivated (election-related) crime. Monitoring of Election 2010 was conducted. Investigation and complaints handling officers (UNVs) were recruited. These efforts have better fortified the EHRC to better discharge its protection responsibility. Efforts to procure and develop an electronic complaints handling system continue.
- **Enhanced Capacity of EHRC to Promote Human Rights Awareness in Government Institutions and among the Public.** DIP contributed funding for TV slots and talk show series on human rights were launched. In 2008, 60th anniversary of the UDHR was used as an occasion to disseminate the word of human rights through posters, brochures, booklets, lectures, and sponsoring events at universities. A workshop on disability rights was conducted. A workshop on violence against women and children (VAWC) was also conducted. An event was organized to commemorate the African Children's Day. Preparation for development and publication of annual HR report was launched. Human right training for leaders of women associations was conducted. Training on Human rights and election was organized for media and PR officers. Talk show on affirmative action was on ETV on the event of International Women's Day. Short TV messages on Human Rights issues were released from time to time. Radio programs in Afari and Somali languages carried the message of human rights to the predominantly pastoralist peoples of the Eastern parts of Ethiopia. These and other activities to promote human rights awareness contributed to the dissemination of the knowledge of human rights thereby contributing to the development of a better human rights culture.
- **Enhanced Human Rights Knowledge** to achieve this output, DIP funded an assessment of the level of integration of human rights in higher education institutions. Consultants were hired to conduct a baseline study on the curricula of select Ethiopian universities. The study was completed in 2008/2009. A website was developed. A documentation center was established. Financial support was made to CSOs and community-based organizations working on human rights issues. Support for moot court competition was made in order to sponsor the competitions among law schools on moot human rights issues. These interventions have contributed the human rights knowledge base in Ethiopia.

- **Improved Human Rights Reporting to Treaty Bodies.** Owing largely to the support coming from the DIP, the GOE was able to report to treaty bodies such as that of ICCPR, ESCR, CAT, CRC, and CEDAW and a UPR to the Human Rights Council. A conference was organized on ‘Ethiopia’s Reporting Obligations under International Human Rights Instruments—Progress and the way Forward’ in 2009. Seven international human rights ratified by Ethiopia are translated into three local languages (Amharic, Tigrigna, Oromiffa), and translation in Somali language has begun) thereby making them accessible for use for official (e.g. judicial) purposes. A training workshop on Ethiopia’s obligation to submit the UPR to the Human Rights Council was also organized in 2009. A committee (of CSOs) to prepare parallel/shadow reports for ICCPR, ESCR, CERD, CEDAW, and the UPR was set up in 2009 but some of their work in these areas were discontinued. It is observed that these efforts have contributed not only to an improved reporting capability but also to the greater awakening of GOE to its reporting obligations

Endnotes:

¹ Structural and/or process changes in such areas as organizational design, decentralization, personnel management, public finance, RBM, access to information and interaction with civil society

² Arguably, the passage of the CSO law in 2009 circumscribed DIP's capacity to support civil society organizations advocating on human rights and good governance issues (except those that are re-registered as local CSOs), thereby reducing the potential effectiveness of this aspect of the program outcome.

³ DIP Donors are: Austrian Development Cooperation, Canadian International Development Agency, Embassy of Denmark, European Union, Irish Aid, Italian Cooperation, Embassy of the Kingdom of the Netherlands, Embassy of Norway, Office of the High Commissioner for Human Rights, Swedish International Development Cooperation Agency, Department for International Development UK, United States Agency for International Development, United Nations Development Program.

⁴ Capacity Assessment Framework (2010)

⁵ The DIP program document (August 2007) states 'UNDAF outcome that should guide DIP implementation', 'By 2013, contribute to the achievement of Millennium Declaration principles through enhanced democratic empowerment and participation at the grassroots level through justice sector reform, civil service and civil society capacity strengthen and promotion of democratization at all levels, including upholding of human rights principles, transparency and accountability.' The statement is consistent with National Policy objectives, including those set out in the current PASDAP. The current policies also reiterate willingness by the national government to initiate institutional strengthening.

⁶ RBM Matrix/Log Frame, DIP Umbrella Document (August 2007)

⁷ DIP Umbrella Document (August 2007)

⁸ Human Rights, Citizens Participation, effective Public Service, in accordance with the DIP Umbrella Program Document (August 2007)

⁹ DIP Umbrella Program Document 2007

¹⁰ Interviews with donors and stakeholders during MTE September 2010

¹¹ Ibid

¹² UNDP has been supporting these state partners and has a cooperation agreement in the form of the 2007-2011 Country Program Action Plan.

¹³ Capacity development, an endogenous process (ongoing and longer-term), is systemic in nature. A capable and accountable state is supported by an effective civil society and private sector, which is essential for achieving the MDGs, as well as other national development objectives. It is fundamental to long-term sustainable development and, hence, critical to aid effectiveness. According to UNDP's Bureau for Development Policy, without well-functioning organizations and a well-performing human resource base in both public and private sectors, there is little that financial resources alone—including ODA—can do to address poverty in a sustainable manner. Meeting the collective commitments to aid effectiveness and, most important, improved development results means putting the development of capacity at the heart of development cooperation. In relation to DIP's core work and central to its capacity strengthening approach is imparting national ownership and responsibility for the funds to the host government to deliver development results.

¹⁴ The NEX modality is to ensure national ownership and accountability in accordance with UN General Assembly Resolution 47/199 of December 1992 on program implementation in UNDP program countries. Taking into account the needs and capacities of recipient countries in the DIP Program Umbrella Document between development partners and GOE, DIP will be implemented under the overall ownership and leadership of the GOE. In preparing for the current UNDAF, the GOE and UNCT put considerable emphasis on ensuring that the process is in line with the reform agenda of the UN Secretary General and that it implements the harmonized programming approach. The GOE and the UNCT have reviewed the agency implementation modalities, including the National Execution (NEX) approach. The UN-supported programs and projects will operate within the aligned procedures with government systems and implementation procedures in areas such as implementation arrangements, monitoring and evaluation system, financial rules and regulation, auditing and procurements arrangements. Thus, the UNCT has agreed under overall NEX principles and norms to implement UN-assisted programs and project in the coming program cycle. P.1 PIM

¹⁵ According to the operational guidelines -TOR of DIP CU (January 2008) Based on the evaluation, this has proven inadequate.

¹⁶ CAF – P.35 – “Since program implementation started in June 2008, several common programmatic and institutional capacity gaps emerged that generated a positive response from the DIP CU despite its restricted mandate and capacities.¹⁶ Programmatic gaps included lack of adequate understanding of the program implementation manual; procedures on reprogramming, procurement and recruitment; monitoring and evaluation; an inadequate gender component of DIP programs and lack of understanding of capacity development and results based management (RBM). Institutional gaps exposed include leadership and work culture, absence of systems, such as those for monitoring and communication, and the inability of some of the agencies to retain key and professional staff’.

¹⁷ Substantive DIP Program Revision Document Proposal (2010)

¹⁸ That is:

- a) whether DIP is a straight-forward “purely technical” capacity building programme of democratic institutions or also a means to pursue wider issues of enabling environment for good governance;
- b) lack of clarity on the mandate of the DIP CC - whether it (the CC) was created to serve as a platform for dialogue on democratic governance or just to steer programme activities; and
- c) lack of cohesion among donors supporting the programme - whether or not DIP was successful and has been delivering or not (based on the expectations above).

¹⁹ According to the MTE team’s interviews, DIP was designed to bring together existing bilateral support to some of the IPs that subsequently became beneficiaries of the DIP. The DIP donors joined the program at different times with varying understanding of interests they sought to promote through the DIP. The MTE team learned this has later created a lack of cohesion among the donors supporting the DIP, which was designed in a harmonized manner with donors contributing cost sharing funds through UNDP. The original goal was to provide comprehensive and coordinated capacity strengthening support to five democratic governance organizations. Two extra donors and IPs joined since project inception August 2007

²⁰ Capacity development, an endogenous process (ongoing and longer-term), is systemic in nature. A capable and accountable state is supported by an effective civil society and private sector, which is essential for achieving the MDGs, as well as other national development objectives. It is fundamental to long-term sustainable development and, hence, critical to aid effectiveness. According to UNDP’s Bureau for Development Policy, without well-functioning organizations and a well-performing human resource base in both public and private sectors, there is little that financial resources alone—including ODA—can do to address poverty in a sustainable manner. Meeting the collective commitments to aid effectiveness and, most important, improved development results means putting the development of capacity at the heart of development cooperation. In relation to DIP’s core work and central to its capacity strengthening approach is imparting national ownership and responsibility for the funds to the host government to deliver development results.

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²² Interview with DFID and MTE

²³ The MTE learned that donor’s actual commitments and the sub-program were still being developed after project document was signed.

²⁴ The Evaluation of NEX points out that NEX has not been able to address directly the overall problem of weak public sector institutions, despite the fact that it puts programmes largely into the hands of flawed public bureaucracies. The flawed environment necessitates short-term compromises on the part of UNDP-assisted

programmes (support units, parallel salary scales, and others) that jeopardize somewhat the long-term objective of institutional capacity building. The key is to put in place design checks that counter these risks- back office support , significant monitoring and evaluation inputs, and support to NEX implementation.

²⁵ National Execution Promises and Challenges -Evaluation – accessed by web on September 2 , 2010
<http://www.undp.org/evaluation/documents/nec1.htm>

²⁶ Much of the funding is handled directly by UNDP country offices and is fully accounted for with no added risk. (Although it does involve a significant increase in UNDP country office workload.) The remaining funds which are advanced to national project management on a quarterly basis are also adequately accounted for before the country office approves the subsequent advance. However, although adequate, audit compliance suffers from the weak capacity of many governments to carry out the procedure and here design can account for UNDP back office support for audit and monitoring support to augment existing capacities.

²⁷ The capacity needs assessment for baseline was waived because of DIP’s unique approach to capacity development—intentionally systematic in nature (DIP program document, p.8).

²⁸ UNDP requirements for NEX implementation, as stipulated in the PIM, are that a capacity needs assessment and HACT assessment is undertaken.

²⁹ TC minutes

³⁰ DIP Implementing Partners - Institutional Capacity Assessment Report Final. P 35

³¹ According to the operational guidelines -TOR of DIP CU (January 2008) Based on the evaluation, this has proven inadequate.

³² This observation is taken from a review of the TC and CC minutes. See implementation story line in Annex 5.

³³ DIP CU Program Officer – Interview September 22, 2010.

³⁴ MTE reviewed the revised umbrella program document which proposes a strengthened DIP capacity strengthening approach involves DIP CU facilitating and undertaking greater role in IPs implementation through knowledge transfer and fostering learning in/between IPs and provide technical input. For example, MTE learned that actions have been taken to improve the DIP program document. The proposed DIP program design articulates an enhanced strategy for strengthening capacity, including support to NEX with DIP CU focus on knowledge management, improved communications and coordination, a proposed streamlined program management and oversight structure, a smarter program results framework and a solid monitoring and evaluation plan.

³⁵ Based on the TC meeting minutes and interviews (also see Annex - Implementation Summary)

³⁶ Capacity Assessment Framework CAF March 2010 ,page 4

³⁷ Substantive DIP Program Revision Document Proposal (2010)

³⁸ There are currently 13 donors to DIP. The original DIP design stipulated that five key donors would be involved in CC, and that on a rotational basis, two donors would be in the TC for oversight and for technical support.

³⁹ That is:

- a) whether DIP is a straight-forward “purely technical” capacity building programme of democratic institutions or also a means to pursue wider issues of enabling environment for good governance;
- b) lack of clarity on the mandate of the DIP CC - whether it (the CC) was created to serve as a platform for dialogue on democratic governance or just to steer programme activities; and
- c) lack of cohesion among donors supporting the programme - whether or not DIP was successful and has been delivering or not (based on the expectations above).

⁴⁰ According to the MTE team’s interviews, DIP was designed to bring together existing bilateral support to some of the IPs that subsequently became beneficiaries of the DIP. The DIP donors joined the program at different times with varying understanding of interests they sought to promote through the DIP. The MTE team learned this has later created a lack of cohesion among the donors supporting the DIP, which was designed in a harmonized manner with donors contributing cost sharing funds through UNDP. The original goal was to provide comprehensive and coordinated capacity strengthening support to five democratic governance organizations. Two extra donors and IPs joined since project inception August 2007

⁴¹ Donors take part in the AWP’s planning and reviews, as well as reviewing the IP’s strategic documents, such as review of OFAG’s capacity assessment report and five year development strategy.

⁴² The Task Teams

- Coordination and Synergy: (DFID, CIDA UNDP): The tasks of the team include

-
- a. Developing a matrix to collect information from partners on the kind of support provided and to which IPs ,including length of support, value and program;
 - b. Sharing the matrix with all relevant stakeholders including the IPs;
 - c. Evolving a platform for continuous information sharing.
- Capacity for National Procurement: (CIDA, WB, UNDP): Most of the DIP procurement-related activities have been implemented through the UNDP due to inadequate procurement capacity within the IPs. The task team would look into
 - a. Mandate of the new public procurement agency;
 - b. Capacity to handle public procurement;
 - c. Possible opportunities to engage the new agency as public accountability agency
 - d. Possible training need for the IPs and the procurement agency.
 - Capacity assessment (CIDA, OHCHR, UNDP): Recently, capacity assessment of the IPs was undertaken and a report produced. A self-assessment methodology was used which focused extensively on the capacity of the institutions. The task of the team would therefore be to
 - a. review the report of the capacity assessment to identify possible gaps to be filled;
 - b. propose a method of assessment that would take care of the gaps identified;
 - c. propose a plan for implementing the new assessment if that is recommended.
 - Division of labor (CIDA, Netherlands, and UNDP): The DIP enjoys the support of 13 donors. In addition to the financial contribution, the donors come with various experiences and capacities to enrich the program. The task of the team would be to
 - a. Review all proposals for improving technical input to the program;
 - b. Review proposed engagement and communication strategies to facilitate capacity of the IPs to coordinate donor support;
 - c. Propose better engagement strategy having analyzed all options.

⁴³ Project Implementation Manual (PIM),

⁴⁴ TC minutes ---need to have date and more details to make this a legitimate footnote

⁴⁵ Desk study and consultations (DIP CU, Donors, MoFED and IPs),

⁴⁶ According to the minutes of TC meetings (Annex–Implementation Timeline)

⁴⁷ Confirmed by interview with the DIP CU Program Officer Oct 27, 2010 – ‘the TC membership (for donors) is supposed to be on rotational basis. At the beginning CIDA and DFID were represented in the TC, but DFID has indicated that they are also chairing the DAG and it would be better if another donor takes part in the TC and the Netherlands came in. From that time on there is no change of donors except that individuals from the same donors are changed’.

⁴⁸ DIP CU Project Manager, Interview September 22 , 2010

⁴⁹ At present only one of the positions is filled; a second is being recruited

⁵⁰ Monitoring is a continuous function that uses the systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds. OECD (2002a. p.27) defines monitoring and evaluation as follows. Evaluation is the systematic and objective assessment of an ongoing or completed project, program, or policy, including its design, implementation and results. The aim is to determine the relevance and fulfillment of objectives, development efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors (p. 21). In juxtaposing these two definitions, it is immediately evident that they are distinct yet complementary. Monitoring gives information on where a policy, program or project is at any given time (and over time) relative to respective targets and outcomes. It is descriptive in intent. Evaluation gives evidence of why targets and outcomes are or are not being achieved. It seeks to address issues of causality. Of particular emphasis here is the expansion of the traditional M&E function to focus explicitly on outcomes and impacts.

⁵¹ Programs and projects with strong monitoring and evaluation components tend to stay on track. Of particular emphasis is the expansion of the traditional M&E function to focus explicitly on outcomes and impacts. When we

refer to evaluation in the context of an M&E system, we are not solely referring to the classical approach of determining attribution as embodied in the after-the-fact assessment of projects, programs or policies. Impact evaluations do (or at least try to) address attribution. But we are viewing evaluation in a much broader context as a continuously available mode of analysis that helps program managers gain a better understanding of all aspects of their work—from design through implementation and on to completion and subsequent consequences.

⁵² The description of the expected Mx&E framework has been taken from the DIP program document and validated during interviews with DIP CU and partners.

⁵³ Interviews with DIP CU

⁵⁴ From OECD DAC 2007 –M&E - It takes strong and consistent political leadership and will—usually in the form of a political champion—to institute such a system. Bringing results-based information into the public arena can change the dynamics of institutional relations, budgeting and resource allocations, personal political agendas and public perceptions of governmental effectiveness. Strong vested interests may also perceive themselves to be under attack. There may also be counter-reformers, within and outside the government, who actively oppose such efforts.

⁵⁵ Interview with UNDP Monitoring and Evaluation Officer, Sept 2010

⁵⁶ UNDP M&E officer currently receives reports via DIP CU as the expert in the field. The UNDP M&E officer flags the need for details, such as disaggregating data and providing a detailed description of the results (e.g., outcomes of trainings, etc). She provides specifics and detailed support such as what columns in the form should be filled in, that specific names of newspapers in which public campaign articles are published or the annual targets, etc. are given. The M&E officer also helps at the planning stage by revising the plans in the light of the SMART indicators (because planning is a good M&E tool). The UNDP M&E officer sends comments to the CU (not directly to the IPs). The CU reviews the comments and discusses them with the IP staff

⁵⁷ 17m birr of total 36m birr were contributed to DIP. This unexpectedly high contribution is partially a result of exchange rate fluctuations.

⁵⁸ Please find below the budget transferred to REACCS and dire dawa branch since 2008.

Data on the amt of Money (ET Birr)Transferred to Regional counterparts from DIP Budget by year

Region	2008	2009	2010
Tigray RS	111,266	147,136	82,240
Amhara RS	112,750	141,740	359,102
Oromia RS	124,455	346,123	247,425
SNNP RS	94,410	220,994	520,097
Ben. Gumz y RS	-	31,436	103,136
Gambella RS	-	66,615	185,681
Harari RS	-	60,830	-
Dire Dawa Branch	-	-	47,790
Total	442,881	1,014,874	1,545,471

⁵⁹ In Hawassa, this department is part of the Regional Executive branch

⁶⁰ The main delay in fund release had to do with the CC approval of FEACC's AWP. This, however, was also due, in part to the need for FEACC to make revisions to its AWP, hence contributing to the CC's delay in granting approval.

⁶¹ Of 27 million birr budget: 13 million birr is from GoE, 13 million birr from DIP, and 1 million birr from PSCAP.

⁶² X amount has been spent on equipping the new office and purchasing vehicles.

⁶³ Special emphasis was given to how to enhance EIO's capacity to protect and promote the rights of vulnerable populations: women, children and people with disabilities vis-à-vis administrative neglect or abuse.

⁶⁴ In attempt to make more efficient use of funds, UNDP procurement team decide to combine the procurement of FEACC and EIO's case management systems. This has led to numerous problems with the vendor causing a delay in implementation of over 18 months.

⁶⁵ MTE Team met with ECDD, which is registered a local charity and prohibited to do advocacy work on the rights of PWD. ECDD provides EIO with trainers to mainstream PWD throughout the civil service, carry surveys of buildings related to access for PWD, and assisted the EIO to revise its complaint intake form to includes questions on PWD to ensure it is sensitive to this constituency and to collect statistics on PWDs and maladministration.

⁶⁶ EIO reports to parliament's legal and administrative affairs standing committee. EIO has already submitted a proposal to HoPR with regards to salary increments for the staff. DIP CU should continue to communicate with EIO on the on EIO staff remuneration levels to better understanding the likelihood to retain UNVs after DIP ends in order to ensure their contributions are sustained.

⁶⁷ In FY 10, due to the increase in the exchange rate, DIP is covering 34million birr of a total budget of 56 million birr. Regional and City Councils receive more than half of DIP's annual funding

⁶⁸ Although the HopR/RCs sub program document has indicated 5 outputs in its Results and Resources Framework matrix has 7 outputs, and numerous sub outputs. During its AWP, HOPR considered its sub outputs as outputs and came up with 16 "intended" outputs. For the purposes of the MTE, the Team will review progress against the five sub program outputs, while taking into consideration any other significant achievements made towards the overall IP outcome.

⁶⁹ MTE team learned in Hawasa state the RC provided certain well-functioning Zonal and Woreda councils with office equipment to incentivize public service delivery.

⁷⁰ These three consultants are on UNDP short term service agreement (SSAs) for one year periods.

⁷¹ Only Dire Dawa Office of the AG does not report to its City Council.

⁷² The Auditor General's Capacity Enhancement Project (ACE) that supported the OFAG and ORAGs of Benishengul and Amhara. DIP was intended to be a continuation of this support.

⁷³ Ireland supported the ORAG of Tigray as part of its wider support to that region

⁷⁴ Through its Protection of Basic Services (PBS) program, which continues to provide assistance to the OAGs?

⁷⁵ Some of the lessons learned included: importance of tailored needs assessment for each OAG; design needs to be internally driven; need for mutual accountability; importance of leadership in determining success of program; need for the assistance to be part of the broader institutional framework (parliament, CSOs, media); retention/attraction of quality staff; training needs to be well timed and targeted; procurement needs to be utilitarian and the use of program funds needs to be transparent; and system of peer review essential to track program progress

⁷⁶ SSA team-2 M&E officers, Finance officer, two Program Officers—one focus on DIP planning, the other on implementation of the program with ORAGs.

⁷⁷ It is to be noted that the HOF is also the primary institution that represents the 'Nations, Nationalities, and Peoples' of Ethiopia. Each nation is represented by one representative, and a group with an additional one million population will be represented by one more. The members are elected by the state Legislative Councils although direct popular election is also possible as per the constitution. Some of the members also held seats in the Legislative Councils of the Regional States. Although States are not directly represented in the HoF, in practice to date, the members have taken note of state interests seriously in all their deliberations. Consequently, while constitutionally it was not envisaged to be a house of states, it has evolved into becoming exactly that over the years

⁷⁸ In attempt to make more efficient use of funds, UNDP procurement team decide to combine the procurement of FEACC and EIO's case management systems. This has led to numerous problems with the vendor causing a delay in implementation of over 18 months.

¹ The Public Sector Capacity Building Program (PSCAP) is a 5 years, multi-million-dollar umbrella program with financial contributions from the World Bank, DFID, Ireland, and Canada. The main counterpart of PSCAP is the Ministry of Capacity Building (MCB) and the program has six main components: Civil Service Reform, District-level Decentralization, Justice System Reform, Tax System Reform, Urban Management and Development, and Information and Communications Technology.