AFRICAN ASSOCIATION FOR PUBLIC ADMINISTRATION AND MANAGEMENT (AAPAM)

ASSOCIATION AFRICAINE POUR L'ADMINISTRATION PUBLIQUE ET LE MANAGEMENT (AAAPM)

TRANSFORMATION OF PUBLIC ADMINISTRATION IN AFRICA

Editors:
George K. Scott
Malcolm Wallis

TRANSFORMATION OF PUBLIC ADMINISTRATION IN AFRICA

EDITORS

George Scott, Secretary General African Association for Public Administration and Management (AAPAM), Nairobi, Kenya

Malcolm Wallis, Cape Town, South Africa

AFRICAN ASSOCIATION FOR PUBLIC ADMINISTRATION AND MANAGEMENT

TRANSFORMATION OF PUBLIC ADMINISTRATION IN AFRICA

Edited by George K. Scott and Malcolm Wallis

Includes Bibliographical References
ISBN:

Published by African Association for Public Administration and Management (AAPAM)
132 Fuchsia Close, Gigiri
Nairobi, Kenya.
P O Box 48677, 00100
E-mail: aapam@aapam.org
Telephone: 254 20 2629650

Graphics and Cover Design:
Domark Printing Works
P.o Box 7053 -00200, Nairobi
Tel: 020 8000 330
Email: domarkprinting@gmail.com

Contents

Foreword

This publication is drawn from reviewed papers presented during the 37th AAPAM Roundtable Conference held on 29th February to 4th March 2016 in Lusaka, Zambia under the theme "*Transforming Public Administration and Management (PAM) to contribute towards the Agenda 2063 within the context of the Sustainable Development Goals*".

During the conference, it was noted that the transformation of public administration into an effective, coherent, representative, competent and democratic instrument for implementing government policies and meeting the needs and aspirations of the African people is critical. It was agreed that Africans need to deliberate, explore and propose concrete interventions towards transforming public administration and management in the continent.Transformation of the public sector is central to the realization of African Union Agenda 2063 within the Agenda for Sustainable Development.

This book covers experiences of Africa in relation to the conference theme. It discusses cardinal aspects of transformation within the context of Agenda 2063 and Sustainable Development Goals (SDGs). Since public administration is the epicenter of service delivery, transforming it is a pre-requisite to development hence the importance of collectively joining hands in propelling transformation in the public service.

I would like to sincerely thank Prof. Malcolm Wallis and Dr. George Scott for editing this book. In the same vein, I applaud the AAPAM Secretariat for facilitating the production of this book.

Furthermore, I appreciate the AAPAM Executive Committee, Council, members and entire fraternity for their continued formidable support towards the betterment of this great Association.

I hope that this book will be of immense value to every reader and the knowledge gained from it will contribute to the transformation of Africa.

Dr. Roland Msiska

AAPAM President.

Acknowledgement

On behalf of the African Association for Public Administration and Management (AAPAM), I would like to appreciate the Government and people of the Republic of Zambia for hosting the 37th Annual Roundtable Conference. Special gratitude goes to His Excellency Mr. Edgar Lungu, the President of the Republic of Zambia for honoring AAPAM with his presence during the opening ceremony.

Similarly, we are grateful to Dr. Roland Msiska, AAPAM President and former Head of Public Service and Secretary to Cabinet -Zambia for his tireless efforts in ensuring a successful hosting of the conference.

I am also grateful to my co-editor Prof. Malcolm Wallis for his resourcefulness in the production of this book. He has been a key resource person in AAPAM publications including serving as the Chief- Editor of the African Journal for Public Administration and Management (AJPAM) since 2014.

Likewise, I acknowledge the authors whose papers are featured in this volume. We recognize that a lot of research and work goes on in the production of any quality paper hence we salute all the authors for sharing with us their wealth of knowledge.

Similarly, I recognize the secretariat for diligently working on this book. Special gratitude goes out to Ms. Jessica A. Omundo and Mr. Clifford Ogutu for their commitment in ensuring this book has been produced.

Further, I echo our appreciation to the entire AAPAM fraternity for their commitment and continued support over the years. Lastly, we applaud every individual or institution who have supported the production of this book.

Dr. G. K Scott

Secretary General-AAPAM.

About the Editors and the Authors

The Editors

George Scott

George Kojo Scott is the current Secretary General of the African Association for Public Administration and Management (AAPAM). He has previously served in the Public Service of Ghana in different capacities including Chief Director (Permanent Secretary) in the Ministry of Environment, Science & Technology and the Ministry of Aviation. He also was for many years a part-time lecturer of Post-Graduate Course in Public Administration and other training programs at the Ghana Institute of Management and Public Administration (GIMPA). George Scott has authored three books; co-edited three recently published AAPAM books; and contributed widely in internationally accredited journals. Scott holds Ph.D. (Development Studies); Master's degree in public administration (MPA); Post-Graduate Diploma in Public Administration and Diplome D'Etudes En Langue Francaise (DELF) of the French Ministry of Education.

Malcolm Wallis

Prof. Wallis has over forty years' experience of teaching, researching and consulting in the field of public management with particular reference to Africa. He has generated several publications. He continues his long association with the African Association of Public Administration and Management (AAPAM) in an editorial capacity and is currentlyresearching on marginalization, exclusion and participation in Africa. In 2011, he received the AAPAM Gold Medal Award in recognition of his contribution to Public Administration in Africa.

The Authors

Mataywa Busieka

Dr. Busieka is the Director for International Cooperation Programmes at the Department of Public Service and Administration (DPSA) in South Africa. His main duties are to establish and manage the departmental multilateral, bilateral and institutional partnerships and resources. At the DPSA, Dr. Busieka has and continues to be involved in developing various governance frameworks. Dr. Busieka has also taken up the responsibility of Rapporteur General for several AAPAM Annual Roundtable Conferences and the Conference of African Ministers for Public/Civil Service. He is the author of several journal articles, conference papers, opinion pieces and concept documents for major international conferences.

John-Mary Kauzya

Dr. Kauzya is the Chief of Public Administration Capacity Branch (PACB) of the Division for Public Administration and Development Management (DPADM) in the Department of Economic and Social Affairs (DESA) at the United Nations in New York. He has served in different capacities at the United Nations (UN) since 1999. Prior to joining the United Nations, Dr. Kauzya lectured at Makerere University in Uganda and worked as the Deputy Director of the Uganda Management Institute. He has also worked as an International Consultant/Advisor in many African countries in various fields of Governance and Public Administration. He is widely published with numerous articles and papers on governance and public administration to his name.

Jean-Yves Djamen

Dr. Djamen holds a Ph.D. in artificial intelligence from the University of Montreal (Canada) and a Computer Science Engineer Diploma from the African Institute of Computer Science (Gabon). He has been at the forefront of the modernization of public administration and received several awards for his innovative work. While serving as senior adviser in the Ministry of Public Service and Administrative Reform in Cameroon, he designed the SIGIPES AQUARIUM, a smart system that prevents personal interaction between public service users and public servants, thus limiting opportunities for misconduct. In 2004, AQUARIUM was awarded the United Nations Public Service Distinction Award. Dr. Djamen has authored a book entitled "Governance and Artificial Intelligence, Building an Effective Public Service" where he posits that resources, processes and policies must be aligned to achieve the desired goals.

Happy Mickson Kayuni

Dr. Happy Kayuni is an Associate Professor and former head in the University of Malawi's Political and Administrative Studies Department. He holds a Ph.D. in Political Science from the University of the Western Cape. His areas of specialization include public governance, public sector reform, management, development policy and ethnicity. Dr. Kayuni has co-edited a book and authored/co-authored forty peer reviewed journal articles and book chapters as well as over eighty research/ consultancy reports or conference papers.

Michael Chasukwa

Dr. Chasukwa is a Senior Lecturer and Head of the Department of Political and Administrative Studies, Chancellor College, University of Malawi. He holds a Ph.D. (Development Studies) from the University of Leeds, MA (Political Science) and BA (Public Administration) from the University of Malawi. His research and teaching interests include development cooperation, the political economy of development, institutions, agricultural policies as they relate to land, youth and development, governance, local government and decentralization. He has published in peer-reviewed journals including International Journal of Public Administration, Agrarian South: the Journal of Political Economy, Insights on Africa, Journal of Development Effectiveness, and Journal of Asian and African Studies.

Steve Troupin

Dr. Troupin is a Strategic Projects Officer at the International Institute of Administrative Sciences (IIAS), which is a worldwide federation of member states, schools of administration and academic research centers in public administration. At IIAS, he is, among other things, responsible for strengthening the relations with the United Nations, further developing public administration research in Africa and for the scientific organization of the IIAS Congresses. He notably supported applications of IIAS members states for the 2017 United Nations Public Service Awards. He holds a Ph.D. in Public Administration and has a political science background. He is also a Research Assistant at KU Leuven Public Governance Institute.

Bacha Kebede Debela

Dr. Debela obtained his Ph.D. from KU Leuven, Public Governance Institute. He is an Assistant Professor in the Department of Public Administration and Development Management, Ambo University, and President of the Ethiopian Public Administration Association (EPAA). His main research interests are performance management, sustainable development, policy analysis, local institutions and citizen participation, local governance and development.

Introduction

George Scott and Malcolm Wallis

The publication of books based on the presentations at the Roundtable (RT) Conferences has in recent years become a regular feature of AAPAM 's work to serve its members and contribute to capacity building in the public sectors of African states. It is a tradition which can be traced to the early days of the association when, with the support of the former East African Literature Bureau, a collection of conference papers written and presented under AAPAM auspices in the 1960s and 1970s was published, filtered via the editorship of the late Anthony Rweyemamu and Goran Hyden (Rweyemamu and Hyden 1975). The editors hope that this tradition, pioneered by these illustrious figures over forty years ago, will continue to serve as a way of bringing the work of AAPAM to a wider audience in Africa and beyond.

This volume is based on the 37th Roundtable Conference hosted by the Republic of Zambia in March 2016 which was held at the Mulungushi Conference Centre in Lusaka, an excellent venue that provided an ideal environment for the week's deliberations. As has become the normal practice, the papers which appear here have been through a rigorous process of selection, peer review and subsequent revision by the authors. Some authors chose to publish their contributions elsewhere, a choice which we respected. This had the effect of somewhat narrowing the field, but nevertheless there were still several quality papers remaining deemed as qualifying to appear in this volume.

The Roundtable Theme

The 2016 theme was extremely topical and relevant. It was 'Transforming Public Administration and Management in order to contribute towards the Agenda 2063 within the context of the Sustainable Development Goals (SDGs)'. The aptness of this theme for 2016 is that Agenda 2063 was published by the African Union less than a year before the RT took place whilst the context of SDGs was also a recent initiative, by United Nations. This brief note summarizes the thrust of these two initiatives drawing on key documents. However, there are other discussion papers, commentaries and policy statements (for example, on specific issues or sectors) which should be noted. A recent example is an article by Bakibinga-Gaswaga in 2018 which focuses on the important connections between law and development in relation to sustainable development (Bakibinga-Gaswaga 2018).

This note summarizes the papers presented in Lusaka and briefly places them in the context of recent (mostly post 2016) trends in Africa and the wider world.

Agenda 2063

This initiative, driven by the African Union, has been seen as controversial because of its very clear long-term focus; by 2063 most, if not all, of the current AAPAM role players will not be alive to assess its results. It also has a broad sweep, which means that questions may be raised about its applicability for Africa as a whole. The seven aspirations presented by the document are:

1. A prosperous Africa based on inclusive growth and sustainable development.
2. An integrated continent, politically united and based on the ideals of pan-Africanism and the vision of Africa's Renaissance.
3. An Africa of good governance, democracy, respect for human rights, justice and the rule of law.
4. A peaceful and secure Africa.
5. An Africa with a strong cultural identity, common heritage, shared values and ethics.
6. An Africa whose development is people centered, relying on the potential of all African people, especially its women and youth, and caring for children.
7. Africa as a strong, united and influential global player and partner.

(African Union Commission 2015, p. 2)

Although the document does not have a specific section dedicated to Public Administration and Management, it is clear that there are several directions to which it refers that are of relevance to AAPAM's role. Perhaps the most relevant is the third aspiration which makes several points which are amplified in the document. Some of the most important of these points are: 'the entrenchment of gender equality', 'capable institutions and transformative leadership in place at all levels', 'Corruption and impunity will be a thing (sic) of the past' African Union Commission 2015, p.6), institutions to be serving the people with active participation by citizens reinforced by competent, merit-based institutions, effective and efficient delivery of services by all levels of government which are developmental, democratic and accountable. There is as well a more detailed account of the aspiration to transformative leadership — wide ranging but specifically political, economic, religious, cultural, academic, youth and women fields at continental, regional, national level and local levels (African Union Commission 2015: The last of these is presumed to include provincial where applicable and 'regional' is taken to mean international regions such as West Africa (African Union Commission 2015, pp. 5-6).

However, the other aspirations presented in the agenda are far from being marginal to public administration and management. References are made under various headings to the following: the management of diversity, security and safety (nationally and externally), the need to support African languages (including their

deployment in administration) and rural women's access to productive assets (land, credit, inputs and financial services).

Sustainable Development Goals (SDGs)

This is a United Nations initiative (Agenda 2030) which has gained traction globally in parallel with Agenda 2063. It was, for example, discussed intensively at a major international meeting on local government held in Botswana in 2015 (Commonwealth Local Government Forum 2015) where the then President Ian Khama delivered the keynote speech.

SDGs are the successors to the Millennium Development Goals (MDGs), which emerged earlier as the world ushered in the 21st Century. As with Agenda 2063, the goals cover a great deal of ground. However, there is a strong emphasis on poverty eradication, sustainability in the context of climate change, resilience and the reduction of inequality. Of particular relevance to AAPAM are; the importance of strengthening implementation, environmental management, safe, resilient and sustainable human settlements, gender equality, health for all ages and lifelong learning opportunities for all (CLGF 2015, p. 4).

The International Context

For both these initiatives, it is important to consider them in the light of certain international factors, some of which existed at the time of the 2016 RT while others did not. Perhaps the most salient point is that governments in Africa face an international environment in which external support is either less likely to be forthcoming or may come from rather different sources than might have been expected. In brief, there are two points to be made both of which have emerged quite dramatically since 2016. The first is the 'bad news' one. It is that the Trump administration in the United States of America is not interested in Africa and is headed by a person whose ignorance of the continent is apparent. He is also in disagreement with those who demand action to respond to climate change. His policies are in direct contradiction to much of what the 2063 Agenda and the SDGs are about. The second difference ('the good news') is traceable back to pre-Trump days. What is being observed is a growth of Chinese involvement in several countries. There are signs that this factor will grow in coming years. Whether this involvement can be supportive of the Agenda 2063 and the SDGs remains to be seen in view of the doubts some in Africa and elsewhere have about Chinese involvement.

Governance and Development

It is also good news that a lot of what is contained in these two documents does not necessarily require more finance. In fact, it can be argued, as in the South African case, that improved governance can ensure a more developmental allocation

of scarce state resources by reducing rent seeking, patronage and other forms of corruption (Jonas 2018). South Africa may not be typical of Africa given its economic strength but poor economic performance compared to much of Africa in recent times but there are continued signs of growth in some African economies such as Kenya (World Bank 2018). There are also positive views about Africa from various quarters such as the Executive Secretary of the United Nations Economic Commission for Africa (Africa Report 2018, p. 66).

The challenges facing African states are considerable. As the study of Public Administration frequently shows, laudable intentions, such as those expressed by the two initiatives considered at the Zambia RT, are not enough. What is required is serious implementation which in turn needs a number of factors to be favorable including effective and accountable Public Administration.

The Papers

The paper by **Busieka** is concerned with the core issues of sustainability in Africa and the introduction of charters as an effort to reform public services. He outlines some of the ways in which African states have attempted to reform their systems of governance in order to promote accountability, service delivery and similar matters. There are several national experiences referred to in the paper, with South Africa and Namibia being the main cases he explores. Extensive reference is made to constitutional issues as well as ordinary legislation. He also discusses the African Peer Review Mechanism which is an interesting attempt to use a comparative approach to the reform of governance throughout Africa, and he notes that there are also continent-wide bodies and meetings, such as those that bring together Ministers responsible for public services.

The paper by **Debela and Troupin** is a detailed study of the management of water supplies in Ethiopia, a very important service delivery issue throughout Africa. The authors emphasize the links between this issue and the conference themes and sub-themes. Thus, the study is located in the context of the sustainable development agenda as applied in Ethiopia. The authors have a detailed knowledge of water as a policy issue in Ethiopia but also guide the reader through some of the intricacies of the governance framework with particular reference to the part played by bureaucracy. What is most striking about this paper is that they focus on coordination and show in detail how Ethiopia has tried to get to grips with an issue which has been a major concern of African governments for some time. The authors take care to point out that there are no easy ways of resolving these problems. The paper is well supported by graphs and numerous references.

Debela and Troupin contribute a second paper on water in Ethiopia, which is focused on the local government sector within the Oromia region of the country. They place a strong emphasis on the SDGs within which water supplies feature very strongly. Some of the strengths and weaknesses of local government in Ethiopia are discussed using a wealth of data collected by a research team set up with the assistance of Belgian institutions and expertise. The paper's theme throughout is

what the authors see as the triple bottom line (economic, social, environmental/ ecological); they highlight the need to find the right balance between these three variables and the difficulty of doing so. The paper contains numerous references to other research and to official documents. The value of the paper is enhanced by its account of the realities affecting the practical application of the SDGs.

Djamen's paper is based on detailed understanding of the recent history of Public Administration in Africa and the current imperatives related to sustainability and development. He reminds us that service delivery has been a thorny issue for many countries, the net result being inadequate services for the public. The essence of his paper is that mere wishful thinking (or even commitment) will not take us far in the direction we need to go. He draws attention to some necessary and sufficient precepts that require attention, interestingly using mathematical models to do this while suggesting the continued relevance of classical theorists such as Fayol and Taylor. In line with systems thinking in general, he points to the need to eliminate any weak links in the management chain. He also places considerable emphasis on the application of technology, an area of growing importance for the study and practice of public administration. The paper is well supported by several references.

Kauzya addresses the issue of sustainable development by examining both the global agenda and the realities of African states. Unsurprisingly, given the author's involvement in the United Nations, the analysis benefits by a variety of insights out of which arise a balanced view of what has been achieved, what might be achieved, and actions best avoided. The paper enriches our discussion by providing us with a framework against which to assess how progress is and is not being made in Africa. Many of the ideas he presents are ones close to the experience of African states such as the continued need to take African states more seriously rather than going for solutions which some might term radical, but which are tantamount to creating more problems than they are likely to solve. The paper looks in depth at what the SDGs imply for such public service responsibilities as service delivery, policy making and implementation and human resource management. The paper is a valuable addition to both academic study and the practice of Public Administration in Africa, a quality it shares with the other papers in this collection.

Kayuni and Chasukwa write in some detail about the experience of Malawi, tracing the history of the country's governance from the presidency of Hastings Banda, the first president of independent Malawi, through to the present day. The story they tell is one of varied but not always successful initiatives in which political control has regularly stood uncomfortably alongside reform measures such as decentralization, performance management and contracting out. This is another feature of the Malawi experience is not atypical but is a worldwide phenomenon. The 'cashgate' corruption scandal, which implicated senior public servants in financial misconduct on a large scale, is noted as representing the fragility to which the state has been found to be vulnerable. In this and in other ways, the reform process has been, as the ingenious and amusing title implies, *deform* rather than reform. The paper is backed up by reference to new public management thinking, and systematic research using both interviews and relevant documentation.

Bibliography

Africa Report (March 2018) (interview by Mark Anderson).

African Union Commission (2015) *Agenda 2063 The Africa We Want*, (popular version). Addis Ababa, AU.

Bakibinga-Gaswaga, E (2018) 'Implementing Agenda2030 for Sustainable Development in Africa. Is it Time to Shift the Paradigm on Law and Development?' *European Journal of Law Reform*, vol 20, issue 1 Robert Seidman Memorial Issue.

Commonwealth Local Government Forum (2015) *Local Government 2030: Achieving the Vision*, CLGF, London.

Jonas, M (2018)'Locating state capture within a broader theory of change', *New Agenda*, Issue 70, third quarter 2018.

Rweyemamu, A, and Hyden, G (1975) *A Decade of Public Administration in Africa*, East African Literature Bureau, Nairobi.

World Bank 2018 (https://www.worldban.org/en/country/krnya/overview).

The African Charter: the Transformation Tool for Public Service and Administration in Africa

Matawya Busieka

Abstract

In their measured wisdom, African ministers of public service and administration have adopted, and the African Union has subsequently validated, this wisdom and ratified the African Charter on Values and Principles of the Public Service and Administration (hereinafter referred to as "the Charter") as a framework for the transformation of African public administration. The main purpose of the Charter is to define the principles and general rules governing African public services. The Charter also serves as a policy framework for Africa's public service administrations and source of inspiration for developing, strengthening and updating national codes of conduct with respect to transparency, professionalism, and ethical standards. Although the main provisions of the Charter apply specifically to the public service and their employees, other stakeholders like the citizen, the government, and civil society have vested interest.

Key Words: African Charter, Administration, Transformation, Public Service and Reforms

This contribution examines how the Charter locates, as a central thrust, the need to adapt the different public services in Africa to the changes that African countries are experiencing. More importantly, the paper interrogates how the Charter can and indeed should play a catalytic role in the transformation of African public administration. The paper investigates the Charter's mettle in nudging African governments towards embracing new technologies, quickly adapting to changing global governance patterns and more importantly in vesting countries with sustainable capacities to address the treble debilitating realities of poverty, inequality and unemployment.

The methodology is essentially an analysis of the Charter based on careful review of the relevance of its chapters to the emerging African Governance Perspective on building state capability. The paper commences with an analysis of the expected transformational levers of the Charter punctuated, as it were, with reference to implementation initiatives in selected countries. The value, utility and challenges posed by the Charter's implementation is assessed and outlined. The paper is crowned by recommendations on legislative and regulatory reform based on the exploration and a landscaping discussion. The irresistible conclusion is arrived at that the Charter is indeed a ground-breaking innovative continental framework that will enhance public administration transformative processes currently at play across the continent.

The Charter's Implementation Nuggets in Selected Case Studies

It is important to point out that most of what is outlined in the Charter is common practice for most African Union member states. Latib (2010, p. 2) is of the view that even though member states claimed to have written the Charter's 'values and principles' in national Charters there was no adequate information to confirm these claims. However, anecdotal evidence ventilated through the Ministerial Conference dialogue point to the fact of proliferation of "service charters" at country level (The Experts Workshop on the Charter: 2007). Some countries have even travelled the extra mile to require of every ministry or department that they develop service charters as a show of commitment to render the acceptable standard of services to the people within a given sector as in South Africa (Government Gazette 1997; Batho Pele 1997).

South Africa

Irrespective of the terms used to describe the institutions created, the critical requirement is that those institutions should promote accountability and be politically and structurally independent within their respective spheres of competence to act without fear of retribution (The Constitution: Chapter 9). In the *White Paper on Transforming Public Service Delivery (Batho Pele)* Government Gazette 18340, 1 October 1997) the South African government committed itself to honouring eight principles in service delivery similar to those outlined in the

Charter, including the following: Service standards: citizens are to be informed of the level and quality of public services they will receive to promote awareness. There is commitment which essentially creates an obligation for bureaucrats to make information available to citizens, including full information about the public services they are entitled to receive. The value of openness and transparency opens avenues for service users to be told how national and provincial departments are run. The other value plank is consulting service users on the level and quality of services they receive from service-delivery agents.

These reform efforts complement the objectives of and are in synchrony with the Charter and are to that extent an indicator that domestication of this AU instrument will present minor challenges. A further effort toward internalizing of the Charter is seen in the formal launch of a service Charter by the Minister of Public Service and Administration in September 2013. In many respects this Service Charter is a true replica of the continental Charter.

Namibia

The Namibian law (Swarbooi 2007) contemplates high levels of integrity, professionalism, and efficiency. Besides outlawing divided loyalty and conflict of interest, it spells out grounds for bringing cases of misconduct against a public servant. Among other things the Namibian law prohibits public servants from: performing of acts that are prejudicial to discipline and good administration, disobedience of lawful instructions, engagement in private business affairs without due authorization and public criticism of government or any of its agencies. Other prohibitions related to use of official position to further personal interest or to advance the cause of a political party, misuse of public property, divulgence of official secrets for personal gain, consumption of alcoholic beverages while on duty and acceptance of bribes and gratification.

The inclusion of personal misconduct in the Namibian law is rather curious. Under this provision, misconduct has occurred where a staff member "conducts himself or herself in a disgraceful, improper or unbecoming manner causing embarrassment to the Government or to the Public Service or, while on duty, and is grossly discourteous to any person". The incorporating of personal misconduct as against those done while on duty is rather curious and to the extreme.

The South African Public Service Commission, in its *State of the Public Service Report* (2005, p. 23) states as a principle for effective service delivery that services must be provided impartially, fairly, equitably and without biasness. It is, therefore, imperative to indirectly incorporate the basic principle of just actions which should be open to public scrutiny. This aspect of public service delivery can only be sustained if society has access to information relating to the quality and the quantity of the services provided.

The implications of the principles concerning public administration in South Africa are obvious. It implies that administrative actions have to comply with the Constitution, 1996, which is, as determined in section 2 of the Act "the supreme law of the Republic; law or conduct inconsistent with it is invalid, and obligations imposed by it must be fulfilled". It could, therefore, be argued that government is obligated in terms of the Constitution, to determine and acknowledge the needs of society and ensure that those needs are satisfied. Similarly, in Namibia, the law (Section 2, 1994) states inter alia:

> There shall be a Public Service for the Republic of Namibia which shall be impartial and professional in its effective and efficient service to the Government…and in the prompt execution of Government policy and directives so as to serve the people of the Republic of Namibia and promote their welfare and lawful interests.

Customer Relations and the Charter

It would seem as if the Charter has adequately addressed issues bordering on customer relations in its normative provisions. The Charter appears to be ambiguous in establishing links between this issue and the other aspects of the code – such as the establishment of ethics and integrity infrastructure. A noticeable absence of any measure for enhancing professional ethical standards was identified in spite of the emphasis on "customer satisfaction". Fortunately, a number of African member states such as Botswana, Namibia, South Africa, Swaziland, Kenya and Uganda have identified improved customer service orientation as a nucleus of their civil service reform programmes (Charter Colloquium 2007). All said and done; however, it is advisable for African countries to benchmark their reform initiatives by using the Charter as the reference point to achieve synergy and unity to strengthen shared values as espoused by the African Union.

A Localized Approach to Domestication

National circumstances often set constraints and determine the principles and foundations applicable to a national setting. Any intervention strategy must, as a consequence, address the varying conditions in countries throughout the continent (UNDESA 2005). Establishing supportive interventions, within a context of governance and public administration diversity, requires recognition that frameworks must be driven from the country level and include the perspectives of different stakeholders. The process for establishing intervention strategies and the methodologies to be utilized is as crucial as the content of any proposed intervention (Latib 2010).

Changing global and national conditions make it difficult to define the generic principles or codes for public administration across different contexts. Public administration may not be universal in its effectiveness, responsiveness, or quality or behavior. At a continental and regional level, the drafting and adoption of a public service code or charter is often perceived to be an essential instrument in ensuring that countries initiate public administration change processes that would allow them to achieve higher standards of public administration practice. In so doing, a code or charter seeks to construct a direct relationship between the application of particular values and standards, and the ability of the country's public administration system to respond to the socio-economic conditions and challenges confronted (Iberia Charter 2003).

In order to be effective, the Charter's management principles, procedures, policies and practices that form the basis of a public service structure must all be placed in an appropriate context within the institutional framework in which they must function. Requirements deriving from history, traditions, socio-economic and political context of each country are determining factors as regards the specific components of any generic model (Manuel 2007). Moreover, the quality of the different national public or civil service systems within Africa varies considerably.

Because of diversity of experience and contexts, there is much to suggest that the principles and foundations of good public administration must be derived from the cumulative experiences and insights of public administration in different countries at various stages of development (UNDESA 2005). By implication, evaluative research on the effectiveness of public administration must be focused at the national level, before the resulting data and information can be collated at the continental level. A country-level (bottom-up) approach to establishing the foundations and standards for public sector effectiveness does not negate a continental commitment to some core principles, as reflected in the adoption of the Charter. The Charter and the codes provide a basis for evaluative national studies and a framework within which data may be collated. The need to establish the foundational principles and codes relevant to a country, however, suggests that a more focused country-level approach and methodology for implementation could serve to highlight national opinions and expectations of public administration.

The practices and approach embodied in the African Peer-Review Mechanism (APRM) (Base Document, 2003) carry both the application of standardized codes and a bottom-up country approach that emphasizes localized processes for defining the standards or criteria that could be used to judge a country's performance (APRM Guidelines 2003). Rather than placing emphasis on imposing certain standards, the APRM emphasizes participation in evaluating a country's governance performance. Learning from and complementing the APRM process suggests a shift away from the pure application of a charter to varied country circumstances. As with the APRM, however, such an approach would still seek to be informed by global and continental commitments to particular standards, as is espoused in the Charter.

Whilst at the national level such prescripts may be embodied in binding legislation and regulations, as illustrated in the case studies above, the matter becomes more complex when established as a framework at the continental level. Amongst the matters to be considered at the continental level is the relationship between the established codes (or charters) and country-specific experiences, the framework for implementing the standards and codes and the mechanism for monitoring and evaluation (The Charter Colloquium 2007). In recognizing that the application of global principles and codes to varied national contexts has limitations, it would be necessary to introduce an approach which builds on local experiences as a basis for constructing further continental supportive interventions. To establish a bottom-up country approach to the implementation of the charter, countries would be encouraged to conduct self-assessments on the "application of principles and codes to enhance public sector capacity effectiveness" (3rd APRM Report 2013).

The Value Assessment and Utility of the African Charter

In understanding the benefits and limitations of charters, it is also crucial to understand the value and limits of standardized principles and codes approaches to establishing public administration effectiveness. A standardized principles approach is to adopt a common set of codes believed to be fundamental to the development of effective public administration across national Governments contexts. One of the most straightforward examples of this approach is the long-held tradition that good public administration is built on practices that ensure efficiency, effectiveness and responsiveness. Whilst all the principles appear relevant, they often negate the fact that, in practice, there are trade-offs which render objective assessment of the application of the principles impossible (Caiden 1981).

The main purpose of the Charter is to define the principles and general rules governing African public services with the express objective of building state capability (Latib 2010, p. 2).

The Charter also serves as a policy framework for the public service administrations of all-African countries and a source of inspiration for the development, strengthening or updating of national codes of conduct with respect to transparency, professionalism, and ethical standards. Although the main provisions of the Charter apply specifically to the public service and their employees; four parties are involved namely: the citizen, the customer, the government, and the employees.

Many charters adopted across the continent often fail to move to a stage of full acceptance as an effective instrument of the AU (Balogun 2003). The reasons for this impasse are complex and varied but do point to the need to focus substantial attention on the utility of a charter or a similar framework as an instrument to support public administration effectiveness across African countries. Yet moving a collectively established charter away from being an instrument of gentle persuasion to an instrument to enforce certain principles and codes is fraught with risks (Balogun 2003). Not only will this require enhanced capacity for monitoring deviations from the code, but it would require that the enforcing institution be able to institute relevant disciplinary measures.

Under the general provision, the Charter seems to focus on the activities of professional public service, to the exclusion of others. In reality though, the public service is influenced by other external factors, such as the political elites and the politician's view of how the public service should function. The overall benefit to participating countries would be the peer-support they would receive from other countries within the AU and the general benefits that can be derived from a transparent process of further establishing strategies for improving its public administration capacity.

Importantly, the Charter's greatest asset is that it moves beyond the narrow corruption confines and seeks to empower public officials. Through emphasizing the importance of creating an atmosphere conducive to hard work, the Charter has already created a shift. Ensuring that proper recruitment systems are in place; evaluation systems for assessing promotion exist; and generally projecting the view that hard work pays off, will create motivated public officials. Without guiding codes and standards that measure and benchmark impact, it is of no consequence that Botswana has a Performance Management System which among other features requires government officials to develop and implement strategic plans, and to employ measurement systems to track their progress and outcomes (UNPAN 2006).

The practical applicability of the Charter is vividly explained by Balogun (2010, p.7) who opines that the Charter should be viewed as "holistically" serving the interests of 'civil society, "the customer", the government, and the officials.' This assertion is important, since it informs the Charter's implementation and enforcement processes. Civil society is a key element given its propensity to exert pressure on governments to ensure effective service delivery. The "customer" or citizen, using Balogun's terms has direct interface with the public official and as a result is directly dependent on the service provided by the public official. The government is dependent on the public service to provide quality service; whilst public officials in turn depend on government to ensure that they are treated equitably, with respect and provided with, *inter alia*, condition conducive for work and adequate remuneration. Consequently, interdependent relations are established and for the system to succeed, everyone has to do their part.

A key exercise in encouraging countries to embrace the Charter is to find out what sort of impact implementation of the Charter will have on their domestic systems and processes. Following discussions on the Charter at the 5th Conference of Ministers of Public/Civil Service, member states agreed to update the Charter by 'going deeper' and enriching the review process by sharing country perspectives on the reform process (Addis Ababa Declaration: 2005). At the same time, the Conference requested the AU Commission to work closely with the NEPAD Secretariat in the updating of the Charter and its adoption by the policy organs of the African Union. It was expected that the collective continental and individual country experiences would, in turn, infuse in the Charter a rich mix of country practices that would supply useful information for the Charter drafters to anticipate implications regarding implementation at country level.

It is perhaps important to indicate that the Charter is intended to be a useful

instrument for the modernization and professionalization of the systems of public management and individual public service employees in the countries of Africa. Not to be treated as a set of standards, but rather the Charter is a point of reference intended to contribute to a common language related to the public service in Africa that fully considers the characteristics, cultures, history and traditions of each country. There is a recognition that a professional public service is part of the institutional system that catalyses the progress and welfare of the society. The design of public service systems will have an impact not only on the efficient functioning of governments, but also on the elements that affect the quality of democracy in the African continent.

Balogun (2010, p.2) posits that even though a Leadership Code is necessary, it cannot, for example, guarantee the successful implementation of anti-corruption programmes. He argues that if a society is thoroughly corrupt, it will take more than a leadership code to redeem it. The enactment of such a code is no guarantee that every actor – or even the leader – will abide by the Code. On the other hand, an Employee's Bill of Rights instead of a Leadership Code, he argues, will highlight issues such as conditions of service, and professionalism.

Whilst the Charter has been accepted by several member states – at the 7th Ministerial Conference 19 countries signed a commitment to ratify the Charter but at the time of writing only seven (7) halfway to the required threshold of fifteen (15) countries have formally deposited the requisite instruments of ratification to the African Union. This sluggish response happens in the context of scant information on the Charter's usefulness and effectiveness as an instrument for building public administration capacity effectiveness. At this stage a comprehensive review is being made of progress toward implementation of the Charter by AU member states (SOPSA 2014). Establishing the baseline is a critical step because not only will it identify risks and uncertainties around implementation, but it will guide the discussion on which model or process to use. Once the baseline information from the comparative implementation analysis is presented, responsible ministers and other stakeholders will be in a better position to appreciate the value of the Charter to national systems.

It is important to bear in mind that the legal and policy implications of implementing the Charter will depend on the historical and socio-political context of each country. In many cases, legislation, codes and training institutions already exist and, therefore, the Charter will only be necessarily to fill in the gaps and strengthen current initiatives. In cases where no such legislation, codes or training exists, the Charter provides a benchmark for these cases. As a result, what must be remembered is that the Charter must gel with existing national initiatives and consequently the legal and political implications of implementation are dependent on national developments in the field of public service reform.

The general implications on human capacity development of implementing the Charter are best encapsulated by Balogun (2010, p. 16-17) when he writes:

> The implementation of the Charter (read "African Charter") has wide-ranging human capacity-building implications. Acquainting all stakeholders with their responsibilities under the Charter entail exposing them to new ideas and best practices – in governance – customer service orientation and total quality management, interpretation and application of legal texts, and revitalization and professional ethos and practices. … For the human capacity-building programmes to have the intended impact, the training institutions (which are currently in a sorry state) need to be revitalized. Specifically, they need massive infusion of financial and material resources. Above all, the instructors at these institutions need to be highly motivated and exposed to new training techniques.

The training imperative can be a time consuming and, as noted, an immensely expensive process, but the benefits will inevitably outweigh and justify the cost. Once again it is important to emphasize that human capacity initiatives may already exist in certain countries and that the Charter provides a guideline for countries to gauge their progress. Often times effect cannot be given to the core principles of charters, treaties, conventions, etc. because the necessary support structures are not in place or the programme lacks resources or the political environment does not foster democracy and the rule of law (Khan 2007). For example, detailed progressive anti-corruption legislation exists, with all the protection and safeguards for whistle-blowers, but the judiciary is not independent or has inadequate resources for proper investigations to secure successful convictions of guilty officials. Similarly, if there is no media freedom, unethical practices may not be exposed.

The point is that a public service may have a customer pledge, a code of conduct, the necessary training and legislation, but may still not be fulfilling its duty. Reform of the public service cannot take place in isolation. There must be a commitment to develop a society imbued with ethics, morality, democratic values and legality for the public service to fulfill its duties. Only when morality, ethics, obedience to the rule of law are internalised by our leaders and businesspeople, will we be moving in the right direction that derives true value from the Charter.

Charter Implementation Challenges

Balogun (2003) identifies integrating the Charter's general and substantive provisions with parallel measures as a key challenge but mitigates its effects in suggesting that matters falling within the purview of the Charter have at one time or the other engaged the attention of African states, meaning the Charter will not encounter onerous orientation obstacles but rather a soft-landing spot during domestication and implementation processes. The second critical challenge resides in the manner the Charter was adopted. Whilst the Charter has been adopted by

Ministers and is acknowledged by many countries as indeed Balogun attests to, it has failed to garner the crucial grassroots' support component required to deliver the mandate of building effective and efficient public administration capacity in Africa.

The Charter is arguably the most comprehensive Service Charter of Public Service that has emerged at a multilateral level in Africa. Its specific value is deemed to be the fact that it establishes obligations for all parties involved in establishing public administration effectiveness. Whilst comprehensive, the key acknowledged weakness was that, although it recognizes the need for a mechanism to monitor and support implementation, it relies on the good-will of affected countries for detailed implementation. The resultant reality is that very few countries have actually embodied, in a very direct manner, the codes into their public administration systems. The lethargic uptake on ratification betrays the low-level ownership and buy-in by member states.

Whilst asserting flexibility within the detail, universalization or regionalization of standards and practices has the tendency of not acknowledging that the nature, behavior and effectiveness of public administration are highly dependent on the circumstances in which it operates. Cultural differences and different stages of development act to shape the orientation and performance of public administration systems. Cross-national comparisons suggest that governments are at different points in embracing or moving away from standardized public administration models. Countries like South Africa (Chapter 10 of the Constitution 1996) have chosen more decentralized models, in the sense of allowing each ministry to tailor its systems to their operational imperatives. Such a state of affairs, where governments have made different choices and taken different paths, also poses an application challenge for principle and code rigidly standardized across nations.

Policy and Legislative Recommendations

During the Charter drafting process, the question of whether to bestow the Charter with legal binding force or elaborate general set of principles came out sharply. The legality proponents won the day and the Charter was clothed with a legal character binding on member states with a follow-up mechanism (Latib 2010, p.2). In international legal parlance, a treaty, charter or convention is a binding agreement between states who are party to the agreement (Shiman undated). The treaty, charter or convention, becomes binding once it has been signed and ratified (UN-HABITAT 2003). The domestic and international law arenas are separate regimes and the latter will never apply domestically unless the law has been adopted. This is merely the starting point, since most writers feel that ratification is merely the beginning (Hopkins 2002).

Ratification is simply an agreement by states of a certain core set of principles and values. The next important step is to determine how the laws will be applied and this requires a certain degree of domestication. Hopkins (2002), therefore, maintains that there are two incorporation issues. The first deals with the state's obligation to

the rest of the community, in this case African Union community, whilst the second deals with the state's obligation to its citizens and the extent to which international law is incorporated into national law and applied by the judges.

Christof Heyns and Frans Viljoen (2001) have noted, in the context of human rights treaties that "…two aspects degrading the influence of the treaty system are particularly striking". The first is the fact that the international system has had its greatest impact where treaty norms have been made part of domestic law more or less spontaneously (for example, as part of constitutional and legislative reform), and not as a result of norm enforcement (through reporting, individual complaints or confidential enquiry procedures). Although in the context of human rights, their comment is still relevant.

Domestication of the Charter "as part of constitutional and legislative reform" is more likely to give concrete effect to its substantive application at national level.In the case of South Africa, for example, the values espoused in the Charter should be incorporated in the White Paper (2017) on the Transformation of the Public Service. In so doing, the values and principles enshrined in the Charter will distill into legislative and regulatory instruments for the transformation of the public service and administration. The department of public service and administration in South Africa is well-positioned to implement this reform agenda granted the central role it played in the drafting and ultimately ratification of the African Charter.

Conclusion

The domestication and implementation of the Charter among African member states will no doubt go a long way in addressing some of the continent's developmental deficits especially in the area of ensuring state capability. Highlighting professionalism and ethics in the conduct of public affairs should incrementally improve real and steady rises in productivity, resulting in the elimination of developmental backlog under which some African member states have operated for several decades.

Even though the Charter has not been ratified by the requisite 15 countries to assume the formal stature of an AU instrument, other avenues exist at a continental level to enforce certain of the ideals, objectives and principles encapsulated in the Charter whilst simultaneously complementing and supporting the Charter's principles. The Charter provides a framework for an efficient, ethical public service and endeavors to protect all stakeholders. Many African countries have sought to deal with some, or all of the issues elaborated in the Charter by using a variety of approaches and instruments (The Charter Workshop 2007). A more comprehensive research and analysis, already underway (SOPSA 2014) will determine the extent to which African countries have calibrated the Charter's principles and values in the domestic reform agendas. In certain cases, it is not unusual to find that all the relevant requirements have been met, but unethical practices still occur.

Bibliography

African Charter on Democracy, Elections and Governance (ACDEG, 2012); Adopted in Addis Ababa, Ethiopia, on 30 January 2007: Entered into force on 15 February 2012.

African Governance and Public Administration Programme: May 2008: Pretoria, South Africa.

African Union Declaration: July 2010, Kampala, Uganda.

African Union Declaration: 31st January 2011, Addis Ababa, Ethiopia.

African Peer Review Mechanism (APRM) Secretariats Guidelines (2003) for countries to prepare for and to participate in the African Peer-Review Mechanism.

Balogun, M J (2000) 'Integrity in an Ethically Cloudy Setting: Repositioning the African Public Service for Critical Battles in the Anti-Corruption War,' *revised text of a paper presented at the CAPAM Biennial Conference*, Cape Town, South Africa, 15-18 October.

Balogun, M J (2003) 'The African Public Service Charter: Implementation Modalities, Capacity-Building Implications and Regional Follow-Up Mechanisms', *Principal Regional Adviser*, United Nations Economic Commission for Africa, at p 11.

Batho Pele Handbook (2007) DPSA, South Africa.

Busieka, M (2007): Service Delivery Review: Vol. 6 No 2, DPSA, South Africa.

Caiden E G (1981) 'The critic of charters, Ethics in the Public Service: Codification Misses the Real Target', *Public Personnel Management Journal,* vol 10, Issue 1.

Camerer M (2006) 'Measuring Public Integrity', *Journal of Democracy,* vol 1, no 17, pp 153-165.

Concept paper on the State of the African Public Service (SOPSA): September 2013.

David, S *Human Rights Perspective* [Online]: Available at: http://www1.umn.edu/humanrts/edumat/hreduseries/tb1b/Section3/hrglossary.html

Ditlhake, A (2005) '*Legislative and Operating Framework for Civil Society- Regional Overview'*. Gaborone, 14-16 August.

Ekurhuleni Declaration, (October 2008), Johannesburg, South Africa.

Hendricks SJH (2006) 'Acting Director-General, South African Management Development Institute (SAMDI), South Africa', *Visionary Leadership for a High-Performance Workforce*. Public Service Convention, Gaborone Botswana 14-15 August.

Heyns, C & F Viljoen (2001) 'The Impact of United Nations Human Rights Treaties on the Domestic Level' *Human Rights Quarterly,* vol 23, 2001, pp 483-535: John Hopkins University Press.

Indigenous Peoples, the UN and Human Rights. [Online]. Available at: http://www.ohchr.org/english/about/publications/docs/indileaflet2.doc.

Hopkins, J (2002) 'The Effect of an African Court on the Domestic Legal Orders of African States', *African Human Rights Law Journal,* vol 2, , pp 236-237.

Keller, E (2007): 'Africa in transition: Facing the Challenges of Globalization', *46 Harvard International Review*.

Khan, N (2007) 'The African Public Service Charter – Policy and Legal Implications', *unpublished paper presented at the SADC Experts Workshop on the African Charter*, July, Johannesburg, South Africa.

Kobia, M (2011) 'Capacity required for implementing of the African Charter for Values and Principles of public service and administration', *paper prepared for 7th CAMPS* 26 April 2011.

Latib, S (2010) 'Working with the Possible: The Draft African Charter on the Values and Principles of Public Service and Administration', *Open Society Institute: African Governance and Monitoring Project* (AfriMAP) 400 West 59th Street, New York.

Latib, S (2005) 'Towards a Framework for Public Service and Administration Capacity', *unpublished paper presented at the 5th Pan-African Conference for Ministers of Public/Civil Service,* 12-15 December 2005, Addis Ababa, Ethiopia.

Levin, R (2008) 'Developing the Public Service and Administrative Capacity of State in Africa', *paper presented at the 6th Conference of African Ministers of Public and Civil Service,* October 2008, Johannesburg, South Africa.

Manuel, J (2007) 'Strategies for the implementation of the Ibero-American chart of public service and administration', *paper presented at the Experts' Workshop on the African Charter*, July 2007, Johannesburg, South Africa.

Mbeki T (1998) 'The African Renaissance Statement of Deputy President', *Thabo Mbeki SABC*, Gallagher Estate, 13 August 1998.

Mills, A (1999) 'Ethics Goes Global: The OECD Council Recommendation on Improving the Ethical Conduct in the Public Sector', *Australian Journal of Public Administration*, June 1999, vol 58, Issue 2. Mozambique: Agencia de Informacao de Mocambique (Maputo). 15 June 2007. Available at: http://allafrica.com/publishers.html.

New Partnership for Africa's Development (Nepad) African Peer Review Mechanism (APRM)' ['The Base Document'], Assembly of Heads of State and Government, 38th Ordinary Session of the Organization of African Unity, 8 July 2002, Durban, South Africa, AHG/235 (XXXVIII), Annex II, paragraphs 2 and New Partnership for Africa's Development, 2001, Abuja, Nigeria.

National Development Plan (2011): Vision 2030, Pretoria, South Africa: November 2011.

Open Government Partnership (2012), Articles of Governance: Addendum on Country Eligibility, April 16, 2012, Washington DC.

Pan-African Programme on Governance and Public Administration (2003) Stellenbosch, South Africa

Report of the Secretariat (2000) 'Background and synopsis of the draft Charter for the Public Service in Africa', *presented to the Group of Experts on the United Nations Programme in Public Administration and Finance*, Fifteenth session, 8-12 May 2000, Rabat, Morocco.

Report of the UNDESA (2005) Secretariat on 'Bottom-up approaches and methodologies to develop foundations and principles of public administration: the example of criteria-based organizational assessment', *presented at the Fourth Session of the Committee of Experts on Public Administration*, 4-8 April 2005, New York.

Swarbooi, B (2007) 'An overview of implementation and domestication of the Charter in Namibia', *presented at a SADC Experts Seminar on the African Charter*, July , Misty Hills Johannesburg, South Africa.

State of the Public Service Report (2005) 23, Office of the Public Service Commission: Pretoria, South Africa.

The African Charter (2011) for the Values and Principles of the African Public Service and Administration as ratified by the African Union Summit on January 2011.

The 7th Conference of African Ministers for Public/Civil Service, May 2010, Nairobi, Kenya.

The Constitution of the Republic of South Africa (1996) Chapter 9.

The Ibero-American Charter (2003) for the Public Service adopted by the 5th Ibero-American Conference of Ministers for Public Administration and State Reform on the 26th – 27th June 2003, in Santa Cruz de la Sierra, Bolivia.

The Stellenbosch Declaration (2003) and the report of the 4th Pan-African Conference of Ministers of Public Service, held in South Africa, 4-7th May 2003.

The Windhoek Declaration (2001), adopted at the 3rd Pan-African Conference of Ministers of Public Service, held in Windhoek, Namibia, on the 5-6 February 2001.

Third Report of Implementation of the African Peer Review Mechanism; South Africa (2011)

UNDESA (2005) 'Secretariat on 'Bottom-up approaches and methodologies to develop foundations and principles of public administration: the example of criteria-based organizational assessment'. Paper presented at the Fourth Session of the Committee of Experts on Public Administration (New York, 4-8 April 2005) United Nations Department of Economic and Social Affairs: Division for Public Economics.

White Paper (1997) on Transforming Public Service Delivery (Batho Pele) Government Gazette 18340, 1 October 1997.

White Paper (draft 2017) on the Transformation of the Public Service and Administration: Discussion Documents developed by the Department of Monitoring and Evaluation: The Presidency: Republic of South Africa.

Comprehensive Public Service Transformation in Africa for Effective Integrated Implementation of the 2030 Agenda for Sustainable Development: Lessons from Experiences Elsewhere

John-Mary Kauzya

Abstract

This paper provides a synopsis of the 2030 Agenda for Sustainable Development and the 17 Sustainable Development Goals adopted by world leaders in September 2015. It outlines the key challenges of the 2030 Agenda and argues that for these challenges to be addressed and the agenda to be implemented to achieve the SDGs in African countries, there will have to be transformation of the public services and development of their capacity to deliver services equitably and effectively. The paper further argues that transforming the public service in Africa will need a transformational leadership even if transactional and even bureaucratic leadership are still necessary as well. The paper further emphasizes that the reform efforts in Africa's public service are not yet completed and will, therefore, be part of the transformation process to ensure an effective mix of reform for efficiency and effectiveness and transformation for values. The paper also gives some aspects of what a transformed public service would look like considering the 2030 Agenda, arguing that the characteristics of the transformed public service should be viewed in light of putting people at the center of the Public Service operations and leaving no one behind in the provision and consumption of services. Basing on lessons from other countries, the paper puts emphasis on the need for promoting creativity and innovation, continuous learning, research and critical thinking, future orientation in the Public Service and collaboration between the Public service on one hand and think tanks, universities, management development institutes and human resource managers.

Keywords: Sustainable Development, Leadership, Transformation, Governance and Public Service.

Introduction

The deadline for achieving the Millennium Development Goals (MDGs) agreed by World leaders in New York in September 2000 during the Millennium Assembly of the United Nations (United Nations General Assembly Resolution A/RES/55/2 of 18 September 2000) came and passed at the end of December 2015. The work ahead for every country and the international community is to implement the 2030 Agenda for Sustainable Development (2030 Agenda) and achieve the Sustainable Development Goals (SDGs). (United Nations General Assembly Resolution A/RES/70/1 of 25 September 2015).

The 2030 Agenda was agreed and adopted by world leaders meeting in the United Nations Summit for the Adoption of the post 2015 Development Agenda on 25th September 2015. Containing 17 SDGs and 169 targets, the 2030 Agenda has replaced, and is building on the achievements of the MDGs to guide development efforts by all countries of the world for the next 15 years beginning from January 2016. Governments, key actors and stakeholders are looking at ways to achieve a more effective balance and integration among the policies and strategies, guiding the economic, social and environmental pillars of sustainable development. They are also searching for practical tools and means of implementation needed to achieve sustainable development. The key question this paper is focusing on in this respect is: what changes, (or to be dramatic) what transformation in the public service in Africa will it take to make the public service effectively implement the 2030 Agenda for Sustainable Development and achieve the SDGs?

One of the perquisites for achieving SDGs is sound good governance supported by, among other things, a capable public administration and/public service. Some lessons learnt from the implementation of the MDGs illustrate that an inadequate public administration/public service in terms of institutional, and human resources, including transactional and transformational leadership capacities, leads to insufficiency or even absence of policies, and strategies at the national level as well as to their weak implementation causing poor delivery of public services that would be vital to the achievement of global commitments such as the SDGs. Building a capable public administration/public service becomes a critical objective in situations where public institutions are not able to improve and accelerate the operational capacity for public service delivery and the development of a country in general.

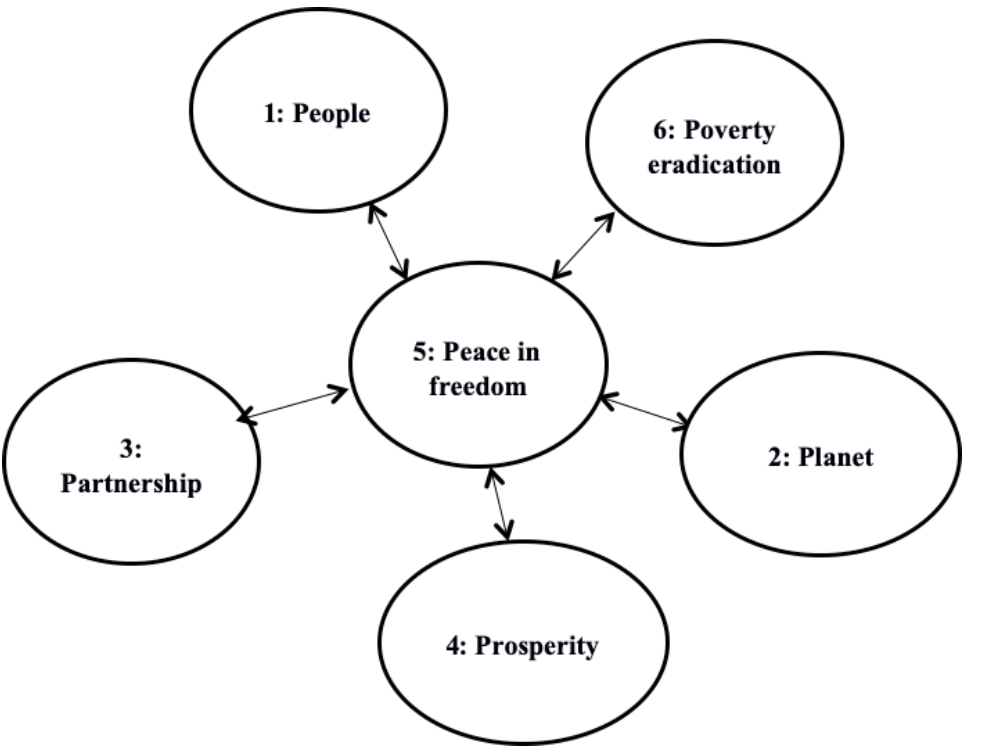
The question of what it will take to implement the 2030 Agenda for Sustainable Development and achieve the SDGs is, in this paper, discussed from the standpoint of the need to transform and develop public administration/public service capacities and capabilities to achieve sustainable development. Given socio-politico-economic development challenges related to the implementation of this ambitious, extensive, comprehensive, inclusive and universal agenda, which the world leaders who adopted it called a plan of action for people, planet and prosperity, doing government as usual, doing public administration as usual; delivering public services as usual in Africa will not produce the desired results.

There must be drastic and comprehensive changes or transformation in the public service to support the implementation of the 2030 Agenda.

The 2030 Agenda for Sustainable Development and the SDGs

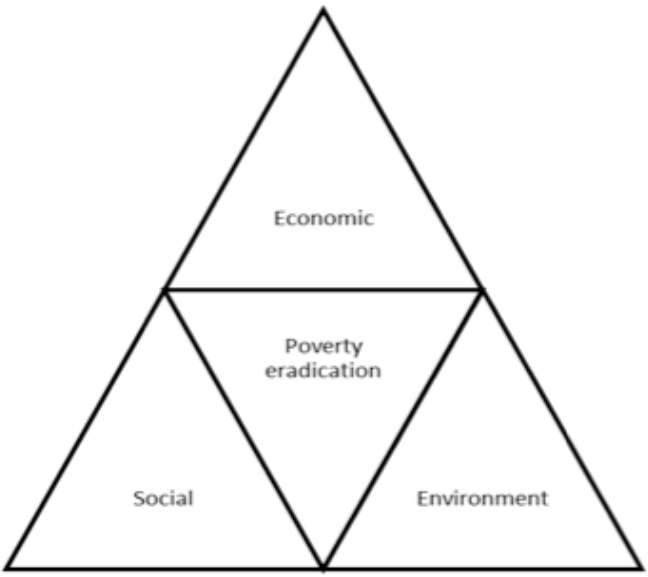
Let us recall here the proposed 2030 Agenda for Sustainable Development and its 17 SDGs. The preamble of the 2030 Agenda points out five basics which we have expanded to six: People, Planet, Prosperity, Peace, Partnership and Poverty eradication. The 2030 Agenda for Sustainable Development is made for the prosperity of the people and planet and calls up on partnerships and collaboration from all to engage in its implementation. Without peace prosperity is not achievable. Without poverty eradication sustainable development is impossible. In the presentation we will refer to these as the six Ps of the 2030 Agenda for Sustainable Development; the central one being the P for the "People" because the 2030 Agenda for Sustainable Development is made by "we the people" for the "people" and will have to be implemented with full engagement of the people.

Figure 1: The six Ps of the 2030 Agenda for Sustainable Development



The 17 goals are around three pillars (social, economic, and environment). However, given the recognition that poverty eradication is the biggest challenge facing the world, in this paper I take poverty eradication as a fourth pillar as indicated in the diagram following.

Figure 2: The Dimensions of Sustainable Development



The United Nations General Assembly Resolution A/RES/70/1 of 25 September 2015 noted that; "the Sustainable Development Goals and targets are integrated and indivisible, global in nature and universally applicable, considering different national realities, capacities and levels of development and respecting national policies and priorities. Targets are defined as aspirational and global, with each Government setting its own national targets guided by the global level of ambition but considering national circumstances. Each Government will also decide how these aspirational and global targets should be incorporated into national planning processes, policies and strategies. It is important to recognize the link between sustainable development and other relevant ongoing processes in the economic, social and environmental fields".

Sustainable development is understood to refer to three dimensions i.e. economic, social, and environment development. In addition, it is agreed that poverty eradication remains the biggest of the development challenges and that without eradicating poverty in all its forms, sustainable development cannot be achieved. In many African countries the issues related to poverty have been on the agenda since the days of achieving political independence. Therefore, eradicating poverty is indeed a historical and formidable challenge for Africa. But there are several other challenges along the path of implementing the 2030 Agenda.

Key Challenges in Achieving Sustainable Development

African countries are going to be confronted with various challenges of different nature and varying magnitude which they will need to address in order to effectively implement the 2030 Agenda for Sustainable Development and achieve the SDGs: The challenges will vary according to the socio-politico-economic conditions of each country including levels of development. It is therefore difficult and may not even be desirable to try to enumerate all possible challenges countries will face as if all countries are the same. This paper will point out the basic ones which will be the core and therefore likely to be faced by all countries irrespective of the conditions of the country. They are: (i) How to eradicate poverty in all its forms, (ii) How to achieve social sustainability, (iii) How to achieve environmental sustainability, and (iv)How to integrate the three pillars of sustainable development and mainstream them into coherent development policies and strategies. These basic challenges point to a critical question: What are the development policy and strategy implications at national and local levels that the implementation of the 2030 Agenda has generated? The policy and strategy implications are related to the four basic challenges and will require a transformed public service to be addressed. This paper will thus focus on the challenge of transforming the public service for Sustainable Development.

Figure 3: Key Challenges

The challenge of how to eradicate poverty: Poverty eradication is the greatest global challenge facing the world today and an indispensable requirement for sustainable development. The number of people in the world now living in extreme poverty has declined by more than half, falling from 1.9 billion in 1990 to 836 million in 2015. Despite this reduction in global poverty more than 40 per cent of the population in sub-Saharan Africa still lived in extreme poverty in 2015 (MDG Report 2015). This goes to emphasize that the challenge of eradicating poverty is still huge in Africa. It concerns inequality, inequity and suffering all the indignities of being regarded as poor and hopeless. So, basically the very first challenge confronting sustainable development is how to eradicate poverty. Poverty eradication can prove persistent and testing especially where economic growth is accompanied by growth in inequalities. Where this happens, people who become less poor remain disgruntled because they turn their attention to the very rich. Thus, the problem turns into the issue of the gap between the rich and the poor rather than poverty as such.

The challenge of how to achieve social sustainability: Social sustainability can be a very ambiguous and huge undertaking because it covers almost all aspects of human life. Even poverty itself is a big social issue. To deal with ensuring social sustainability one has to address issues related to equity and equality, social cohesion, social inclusion, shelter, education, health, youth engagement and employment, engaging and protecting the elderly, gender and advancement of women in social economic and political life, migration, population and demographic growth and dynamics, social diversity, etc. Each of these is a huge topic in itself and would require elaborate policy and strategic actions to address it.

The challenge of how to achieve environmental sustainability: Sustaining the environment such that current generations do not create environmental conditions that will be untenable for the future generations is complex and it touches very much on issues of poverty eradication as well as on those related to social sustainability. This is captured by the World bank Group which observed that;

> Achieving and sustaining environmental sustainability is a challenge, especially with the emerging threat of climate change. And Africa is doing well in limiting CO2 emissions and ozone-depleting substances, yet forest cover is shrinking, and most countries struggle to meet targets on water and sanitation. To improve access to water and sanitation, countries must concentrate efforts in rural areas and low-income groups, as urban-rural income disparities in access are holding back progress.

There are challenges also of how to integrate and streamline the three pillars of sustainable development in national policies and strategies and mainstream them into national and local development policies and strategies persists. The UN General Assembly resolution clearly states:

> The challenges and commitments contained in these major conferences and summits are interrelated and call for integrated solutions. To address them effectively, a new approach is needed. Sustainable development recognizes that eradicating poverty in all its forms and dimensions, combating inequality within and among countries, preserving the planet, creating sustained, inclusive and sustainable economic growth and fostering social inclusion are linked to each other and are interdependent." (United Nations General Assembly Resolution A/RES/70/1 of 25 September 2015).

It is understood that each pillar being treated alone is likely to be unsuccessful. But even if, to some measure, it succeeded it would not be sustainable because any shortfalls in one pillar easily causes faults in the others. For example, the struggle against poverty by agriculturally dependent rural people can easily degrade the environment (for example depleting forests and vegetation cover and causing severe soil erosion and eventually flooding). Addressing issues of the environment without addressing issues of poverty would not yield sustainable positive results.

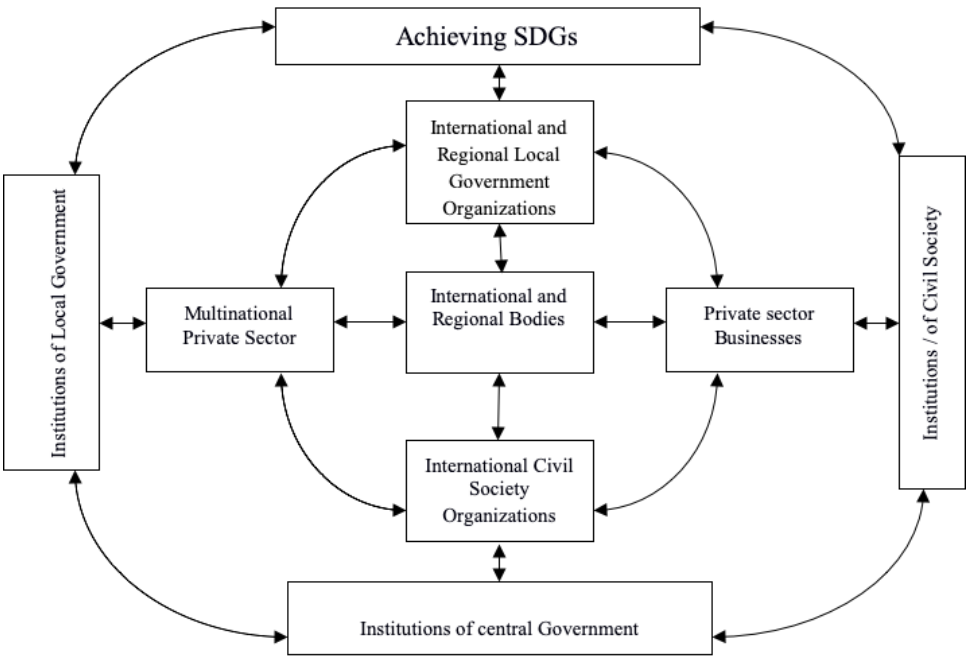
The Role of Public Sector institutions in Addressing the Challenges of Implementing the 2030 Agenda for Sustainable Development

The State is a critical player in the socio-politico-economic development of any country. Therefore, it is worthwhile to interrogate the role of the institutions of the state in implementing the 2030 Agenda for Sustainable Development and achieving the SDGs. This time around (unlike with the MDGs), the Sustainable Development Goals contain a goal (16), which includes effective, inclusive and accountable institutions. However, the State is not the only player in this. In other words, the interrogation should be formulated with three tags: What should the state do to successfully implement the 2030 Agenda for Sustainable Development and achieve SDGs? What should civil society do? What should the private sector do? And how can they collaborate and create synergy to ensure integration and harmony in sustainable development?

Such interrogations must be directed at the global, regional, national, local, and community levels. At community level there may be need, in certain situations and countries, to look at the role of traditional institutions which often have a bearing on the performance and behavior of societies. Understanding the role of institutions in sustainable development must be discussed and understood by looking at institutions at global level (for example, the United Nations, the World Bank, the International Monetary Fund (IMF), etc.), at regional level (for example the European Union, the African Union, and other regional integration bodies), at national level in terms of central government and public sector institutions, at local level in terms of local governments where governance systems are decentralized, and at community level in terms of community-based organizations. Any of

these levels acting on its own will not achieve sustainable development. One of the challenges related to developing institutions concerns how to ensure that all of these levels are integrated and working in synergy. Diagram four summarizes the framework for interrogating the role of institutions in sustainable development in an integrated way, considering all the sectors at all levels and globally.

Figure 4: Framework for Interrogating the Role of Institutions and their Integration in Sustainable Development



Source: *Adapted from one designed by the author and published in Ordinally &Shabbir Cheema (ed.); Reinventing Government for the Twenty First Century: State Capacity in a Globalising Society (Kumaran Press, Inc, Bloomfield, CT, USA ,2003 page 185)*

Achieving SDGs is placed at the Centre because we believe that whether it concerns poverty eradication, addressing social problems, economic problems and even saving the environment, ultimately the real results should be seen at community level in terms of achieving SDGs. A call for achieving sustainable development should include examining the institutional arrangements and capacities at each of these levels and in each of these sectors to assess the extent to which the institutions are appropriate to support the planning, implementation, monitoring, and evaluation of the achievement of sustainable development in an inclusive and integrated manner leaving no one behind.

Government and Public Administration Institutions Critical to Achieving the SDGs

First and foremost, there needs to be an effective State for sustainability of any socio-politico-economic activity, let alone achieving SDGs. Countries which have seen their States crumble have witnessed severe suffering and can never hope to achieve SDGs without rebuilding their State and public administration/public service institutions. The most obvious way of grasping the importance and role of Government systems and institutions of the State in achieving SDGs is to look at what happens to a country/society when its state institutions get destroyed. It is good that the framers of the 2030 Agenda for Sustainable Development right from the Rio+20 summit, which took place in Rio de Janeiro, Brazil in June 2012, recognized that good governance is critical for sustainable development. A capable state and an effective public administration/public service are indispensable for sustainable development. A capable, intelligent and effective State will work with actors in the private and civil society sectors to redefine and agree upon its mission and mandate as well as the challenges these actors are intended to concern themselves with.

In addition, the aspirations of the entire country in terms of socio-politico-economic development and the challenges that stand in the way to the attainment of these aspirations are analyzed, diagnosed, discussed and agreed through consultations and participation of a cross section of the population. At the same time, the sharing of responsibilities and means of collaboration and participatory action among all sectors (public, private and civil society sectors) are determined. In this way, the missions of the State will be defined or redefined, understood and agreed by all the other actors. When the definition of missions is done in a participatory way, involving all sectors, chances become greater for each governance actor to know what others are doing and how collaboration should be approached. This also provides a reference point for the state to focus on what it can and must do.

It is equally noteworthy that the capability, intelligence, and effectiveness of the State need to be seen at the various levels and in the various institutions of the State. The legislature must be capable, intelligent and effective in its representative, legislative, and oversight functions as far as the 2030 Agenda for Sustainable Development and the SDGs are concerned. The Executive must be capable, intelligent, and effective in its integrated policy and strategy formulation and implementation, service delivery, and performance control functions. And the Judiciary must be capable, intelligent and effective in the administration of fair accessible and equitable justice to all. Likewise, all other institutions established by the State whether for public investment (such as Public Enterprises) or for accountability (such as Ombudsman) must be capable, intelligent and effective in the functions for which they are established. In brief, as goal 16 of the SDGs clearly spells out, there must be effective, inclusive, and accountable public institutions to drive the implementation of the 2030.

One critical public institution in this regard is the public service. The next section of the paper focuses on the role of the public service as a central component of public administration in the implementation of the 2030 Agenda for Sustainable Development and the achievement of the SDGs.

The Role of the Public Service in Implementing the 2030 Agenda and Achieving SDGs

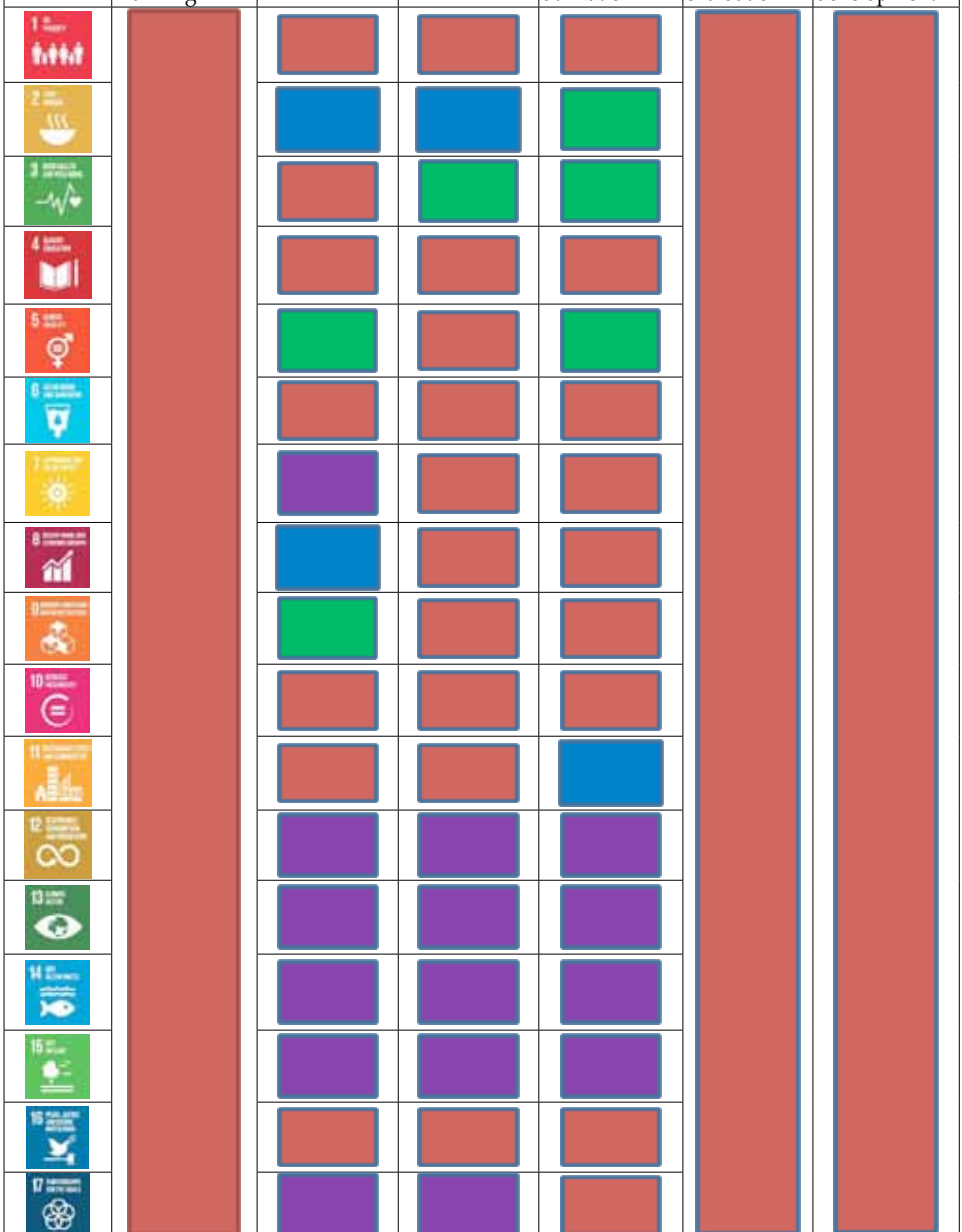
Transforming the public service for effective, inclusive and accountable implementation of the 2030 Agenda for Sustainable Development and the achievement of SDGs implies first and foremost reviewing the public service role in the implementation of the Agenda. Then the nature and quality of the public service that is required to effectively play this role can be determined so that the transformation is driven by clear objectives. There are many things the Public Service in every country will do to implement, or to facilitate the implementation of the 2030 Agenda and achievement of the SDGs.

This paper singles out six generic ones which we consider as the most critical. These are: (i) policy and strategy planning, (ii) providing services, (iii) developing infrastructure development, (iv) resource mobilization and utilization, (v) monitoring and evaluation, and (vi) institutional and human resource capacity development. Some of these may be outsourced while others could result in severe regrets on the part of the public service if outsourced to private operators. Others could be partially outsourced in a collaborative arrangement between the public service and private operators. In this, collaboration becomes an important feature of the public service of the future. For example, service provision and infrastructure development can be outsourced and produce effective results if the outsourcing is very well supervised.

However, it would be a bad idea for a government to outsource policy and strategy planning. Capacity development and monitoring and evaluation can be partially outsourced. There are several combinations of collaboration between private and public-sector operators through which such outsourcing arrangements can be undertaken. The issue to take into consideration is that government may outsource anything else but not its responsibility. This means that outsourcing itself requires some critical competencies and talent on the part of government or public service if it must produce the desired results. Such competences include but are not limited to, coordination, monitoring, evaluation, professionalism, integrity, ethical conduct, communication, etc. As had already been noted well before the 2030 Agenda was conceived;

> Public sector organizations are central to the delivery of sustainable development. Every aspect of their role – from education to environmental services, and from planning to social care – shapes how people live their lives. If public sector bodies do not take on this leadership challenge, citizens may find themselves cut off from sustainable lifestyles". (Helen Clarkson, Forum for the Future February 2010).

Table 1: The Role of the Public Service in Achieving SDGs

Integration of the 2030 Agenda and Sustainable Development Goals						
	Policy & Strategy Planning	Providing Services	Infrastructure Development	Resource Mobilization & utilization	Monitoring and evaluation	Institutional & HR capacity development
						
Conducive Environment: (Rule of law, justice, respect for human rights, law and order, inclusion, security of person and property, professionalism, ethics, integrity, transparency, accountability, leadership: (Key: Red =Critical, Blue = Very important, Green = Important, Purple = Fairly important)						

Source: Author

Table 1: illustrates that the public service is expected to provide the bedrock on which all operations of all actors are anchored which, when not provided, the whole effort of implementing the 2030 Agenda gets jeopardized. This bedrock is the rule of law and justice, observance of human rights, law and order, security of person and property, leadership, professionalism, transparency, accountability, ethical conduct, and integrity. All this goes to say that the public service is a critical instrument for state action in the implementation of the 2030 Agenda and achievement of SDGs. It is also a critical backbone for the action of all the other actors and stakeholders besides the government. The diagram also illustrates that the public service will play a key role in integrating the 2030 Agenda and SDGs in national policies and strategies.

Linking Public Service Delivery to Achievement of Sustainable Development Goals

The delivery of Public Services (Public service broadly understood to include: services such as education, health, peace, security and safety, law and order, justice, water, energy, information, diplomacy, environment protection, housing, refuse and garbage collection, sanitation, licensing, taxation and financial mobilization, poverty eradication, etc.) is generally taken as a key function of government, even in the most private sector ideologically oriented countries. Behind the delivery of such services are institutions, policies, laws, rules, regulations, strategies, infrastructures, which are also put in place by governments. The effectiveness of any government lies in the extent to which services of this nature are delivered with equity, responsiveness, inclusion, and accountability. Looking at the 17 SDGs, literally each of them will require effectiveness of service delivery to be achieved.

Table 2: Showing SDGs and Services Linked to Them

Goal 1	End poverty in all its forms everywhere: The delivery of all services, health, education, infrastructure, information, law and order, justice, etc. contributes to fighting poverty in all its forms.
Goal 2	End hunger, achieve food security and improved nutrition and promote sustainable agriculture: Public Services linked to this include agricultural policy, land policy, agricultural extension work, research, food security policies, food safety services, etc.
Goal 3	Ensure healthy lives and promote well-being for all at all ages: Public services linked to this include: health services in general, health policy, health insurance, primary health care, maternal health, immunization, medical research, hospitals, health clinics, pharmaceutical, maternity, all public health services, etc.
Goal 4	Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all: Public services linked to this include; education policies, education infrastructure including school buildings, etc. kindergarten centres, primary schools and other schools up to university, teacher training, etc.
Goal 5	Achieve gender equality and empower all women and girls: Public services linked to this include: gender equality policies, girl child education, maternal health care, women land and property sensitive laws, etc.
Goal 6	Ensure availability and sustainable management of water and sanitation for all: Public services linked to this include: provision of clean and portable water, refuse collection, sanitation services, etc.
Goal 7	Ensure access to affordable, reliable, sustainable and modern energy for all: Public Service linked to this include: energy policy, electricity provision (e.g. lighting cities and villages, heating and cooling, energy research, especially for renewable energy) etc.
Goal 8	Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all: Services linked to this include: education services to develop a skilled employable population, economic and employment policies (we bear in mind that in many African countries the Public Service is the biggest employer), labour laws, etc.
Goal 9	Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation: Public services involved include: industrialization policy, developing infrastructures including roads, railways, telephone links, internet infrastructures and ICT policy, research promotion, etc.
Goal 10	Reduce inequality within and among countries: Public services linked to this include: diplomacy, external trade promotion, etc.
Goal 11	Make cities and human settlements inclusive, safe, resilient and sustainable: Public services linked to this include: urban planning, urban services including urban transport, refuse collection, housing, etc.
Goal 12	Ensure sustainable consumption and production patterns: infrastructural , production, processing and policy service .
Goal 13	Take urgent action to combat climate change and its impacts: Services would include policy planning, regulation, research, etc, in all areas that concern climate change.
Goal 14	Conserve and sustainably use the oceans, seas and marine resources for sustainable development.
Goal 15	Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss.
Goal 16	Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels.
Goal 17	Strengthen the means of implementation and revitalise the global partnership for sustainable development.

The Need for a Transformed Public Service

It is clear that the work of the public service, especially the delivery of public services, is critical to the implementation of the 2030 Agenda and achieving the SDGs. This makes it imperative that every government be equipped with adequate comprehensive capacities that ensure the delivery of public services. The reality however, as the world grapples with the implementation of the 2030 Agenda for Sustainable Development many governments in Africa are still short of the requisite capacities for effective delivery of public services. Yet at the same time, in light of the criticality of effective delivery of public services to the achievement of SDGs, governments are expecting the Public Service to provide more and better quality of services. As if this was not difficult enough, more and better services are expected to be provided with fewer resources. Doing more with less is being taken at a much higher level. Success will require a comprehensive transformation of the public service.

This makes transformation and development of the capacities for the delivery of public services a critical need that must figure prominently on the strategies for implementing the 2030 Agenda for Sustainable Development. While public sector capacity development has been on the agenda of many governments and development partners both national and international, the implementation of the 2030 Agenda has heightened its importance. Moreover, it is necessary that the whole concept and practice of capacity development be recast to align with the imperatives of the 2030 Agenda. This calls for a deep comprehensive transformation of the Public Service. A number of questions need to be raised and answered.

The first question that arises is: What transformation must the Public Service undergo to be able to effectively play the critical role of implementing or facilitating the implementation of the 2030 Agenda? The second one is how can the transformation be made? And the last one is whether there are examples from elsewhere that can provide lessons learned and some inspiration.

The Transformation that the Public Services Must Undergo

Change in the public service is not a new phenomenon. Public service reform programs have been a feature of many countries for some time. However, public service reform has tended to focus on bureaucratic efficiency and results. We recall the three Es of management efficiency (Effectiveness, Efficiency, and Economy). In many respects the pursuit of bureaucratic perfection, where it succeeded, meant that government information management kept information more or less closed in, restructuring made different government units work in silos, and in general the government bureaucracy remained highly hierarchical.

Public service reforms thus were inward looking. Public service reforms in many Africa countries have not make significant improvement despite the fact that many resources have been spent on them. The services did not even master bureaucratic effectiveness let alone efficiency or economy. Therefore, Africa's public service

leaders must realize that as they embark on the task of transforming the public service for achieving the SDGs, they are starting with a big deficit of first accomplishing the job of reforming the services to make them effective and efficient.

In this light, the transformation of the public service in African needs must be constituted by a combination of accomplishing the reforms that have been on-going to have effectiveness and efficiency in service delivery and a significant shift to integration, openness, citizen focus, creativity, innovation, information and communication technologies, public value, focus on outcomes, all facilitated by an empowering human resource management capacity that effectively embraces and harnesses diversity while identifying and applying highly effective incentives for creativity, innovation, transparency, accountability, ethics, and professionalism (see Figure 5). This will not happen without being engineered and energized by a transformational leadership.

Table 3: The Transformation that the Public Service Needs

Collaborative government, integrated planning and coordinated loans	**A transformed Public Service for the implementation of the 2030 Agenda for Sustainable Development**
Transactional and Transformational leadership across the whole Public service	
Citizen-centered and people-involving service delivery	
Results-focused but more so public value an Transactional and Transformational	
Ethical Collaborative government, integrated planning and coordinated actions	
Creative and innovative	
Adaptive to new technologies, especially ICTs	
Empowering to Public Servants through capable Human Resources Managers	
Continuosly Learning	
Embracing diversity and global in outlook	

The Public Service in many African countries is caught in a situation where it has to seek a balance between the need for perfecting bureaucratic and transactional leadership and the critical necessity for shifting to transformational leadership which is needed to transform the service into an effective machine for implementing the 2030 Agenda not only in achieving the SDGs but also in the values enshrined in the Agenda; including: equity, equality, integration, resilience, collaboration, people-centeredness, future-orientation and others.

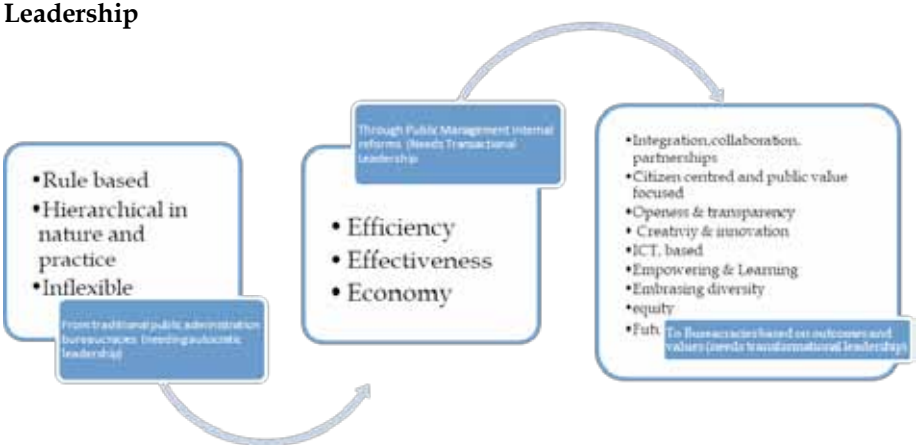
The problem stems from the reality that most public services in Africa have not yet mastered bureaucratic leadership. This can be seen in the way often laws, rules, regulations, procedures, and processes are insufficiently followed or even in

some cases abused giving way to maladministration including corruption which is endemic according to Transparency International (TI) News Feature: Corruption in Africa: 75 Million people pay bribes, 30th November 2015.

There is need in Africa's public service to adopt a multi-pronged public service leadership with transactional and transformational leadership being in the mix. Transactional leadership is necessary to accomplish public service bureaucracy reforms for efficiency and effectiveness while transformational leadership is needed for promoting creativity, innovation, citizen focus, collaboration, integration, future oriented plans, partnerships and a sustained drive for outcomes and values.

While transforming our world by successfully implementing the 2030 Agenda will need strong transformational leadership to give impetus to everything else that is required for success, this cannot be achieved within the context of ineffective, inefficient and opaque bureaucracies in the Public Service. Transactional leadership is still very important.

Figure 5: Movement from Traditional Autocratic Leadership to Transformational Leadership



Helen Clarkson in the Forum for the Future (February 2010) observed that "value and values are closely linked. Seen through the lens of public value, the ethos and values of any public organization, service provider or profession must be judged by how appropriate they are to the creation of value: better outcomes, services and trust. Inappropriate values may lead to the destruction of public value".

Transform the Transformers: Empowering Public Servants through Capable Human Resources Managers

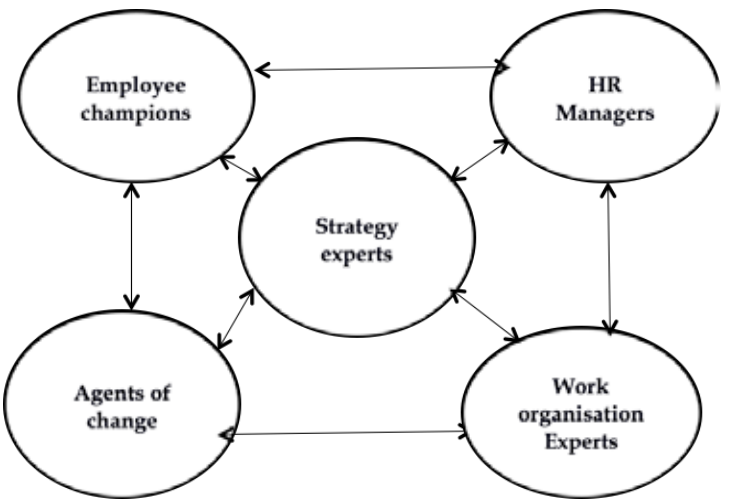
One of the biggest issues concerns the role of human resource managers in the public service in transforming the public service to make it an instrument of transformation. This clearly poses a challenge to human resource managers because it elevates what is expected of them beyond probably what some of them expect of

themselves. The role of Human Resource managers in transforming institutional and human capacities of the Public Service can be summed up in the following four:

- Strategy expert
- Work organization expert
- Employee champion, and
- Agent of continuous change and transformation.

These roles were already recognized by the Africa Public Sector Human Resource Managers Network (APS-HRMnet). What remains problematic is playing the roles effectively.

Figure 6: Empowering and Empowered Public Service Human Resource Managers



Source: Author

Human Resource Managers as Strategy Experts and Agents of Change Management

This paper singles out the roles of strategy expert and change agents because it is in these two roles that if well played can lead to transformation of institutional and human capacities in the public service. Whoever is responsible for human resource management in the Public Service in any country in Africa needs to have at their fingertips the direction Africa is planning to take in light of the 2030 Agenda, the challenges it is facing, and the capacity needs that it requires to overcome those

challenges. Strategic planning is about being realistic in terms of analysis of challenges, problems, as well as in specifying existing and lacking institutional, human, and other capacities. It is also about being optimistic in terms of future projections and outlooks.

Africa needs to look at and listen to itself realistically in order to chart out the needed transformations for its development. "If you want to make the world a better place, take a look at yourself and make a change" (Michael Jackson, "Man in the Mirror"). Africa's fate lies in the hands and abilities of its men and women. As Cassius tells Brutus in Shakespeare's bloody play Julius Caesar, "The fault, dear Brutus, is not in our stars, but in ourselves, that we are underlings" (Shakespeare, "Julius Caesar").

Therefore, those that are charged with managing the transformers of Africa must be given a prominent place around the table where strategies for transforming the public service are formulated. This has not been the case. In most cases strategies for public service reform have been formulated by external international consultants without much involvement of nationals let alone human resource managers. This is a mistake that needs to be corrected. The very first institutional transformation that needs to be made then is to provide a structural arrangement in the public service that institutionally puts human resource managers in positions of strategic planners or at least of participants in the strategic planning process to influence the transformational shifts in the Public service.

Transformation through Creativity and Innovation

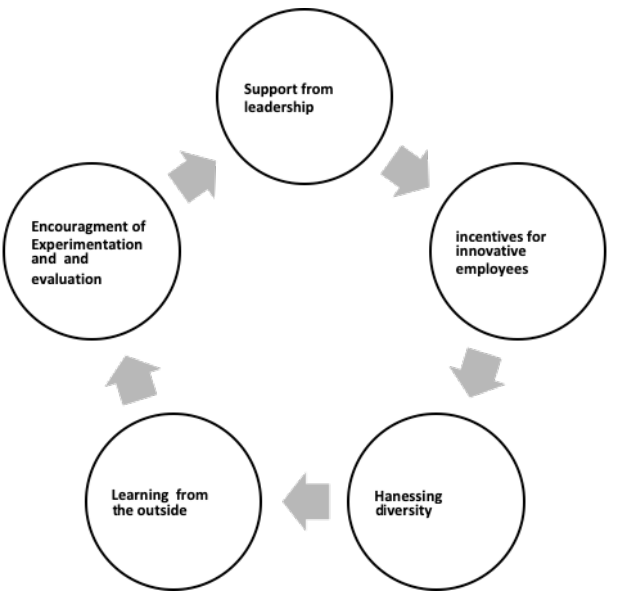
> Governments are increasingly recognizing that they cannot regulate themselves out of the problems they currently face – and that they must learn to look outwards to improve their effectiveness. (Tom Gash: Improving Government Effectiveness: Lessons from Germany January 2016).

Looking outward means also enabling creativity and innovation in the public service to find new solutions to emerging challenges. Different governments, different people in different places in the world, using different strategies are bringing about bold, rapid, applicable management innovations in governments to improve delivery of services and other government functions. From Indonesia where the government "is helping citizens on the street to monitor and verify the delivery of State services (J. R. Maxwell and Adam Schwarz February 2012), through Georgia where a "reform minded government tries to break down silos to speed up government services" (Renee Paradise and Ken Schwartz, September 2011) to Chicago in United States of America where the government is engaging people in the planning and budgeting process – participatory budgeting, (McKinsey Company, Innovation Navigator: Government solutions across the globe(http://www.mckinnovate.com). Governments are certainly under pressure to transform the way they deliver public services. This pressure will increase, especially for the developing world, with the urgency of achieving the SDGs. The transformation

will continue to take place in countries encouraging creativity and innovation in their public services.

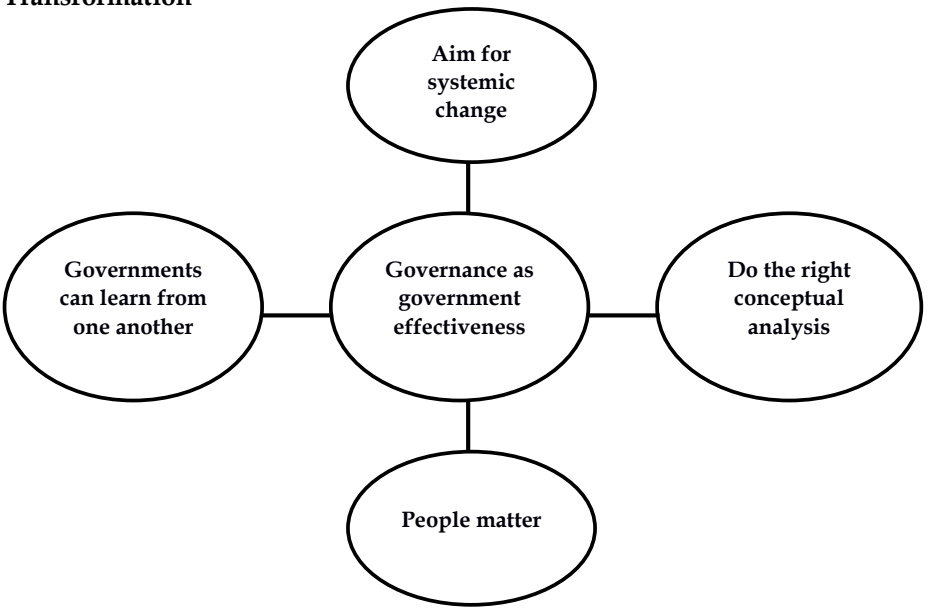
It is clear that creativity and innovation is unlikely to take place, let alone succeed in a context where top leadership does not encourage and support it, where there is or little or no incentive or rewards for individuals who are creative and who come up with useful innovations, where experimentation and evaluation are discouraged, where learning from outside is not encouraged and where the value in diversity of the human resource is not tapped.

Figure 7: Some of the Success Factors for Creativity and Innovation



However, many public service leaders will confess that while most of them aim for promoting creativity and innovation to improve public service performance, it is more easily said that done. One such leader is Tony Blair former Prime Minister of the United Kingdom. In his article "Leading transformation in the 21st Century he outlines some lessons learned and advises that government leaders need to regard governance from the point of view of Governance effectiveness even if other aspects such as transparency and accountability are necessary. He points out that doing the right conceptual analysis, aiming for systemic change learning from other governments, and keeping in focus that people matter is critical in the process of transformation. (Tony Blair, Leading transformation in the 21st Century, October 2012).

Figure 8: Five Lessons Learnt by Tony Blair About Leading Government Transformation



It is very interesting to note that Tony Blair's lesson learned that people matter is echoed in the 2030 Agenda for sustainable development which puts people at the centre of transforming our world. Africa's public service leadership, in transforming the public service, need to bear this in mind.

Conclusion

Transforming the public service is necessary for the implementation of the 2030 Agenda to achieve the SDGs. However, much as desired as it is, it is not going to happen without a lot of input in terms of strategic thinking, efforts in policy and strategic planning and implementation as well as monitoring and evaluation with consultation, participation and engagement of the people including collaboration with private sector and civil society. The focus of the transformation should not be the public service itself. That would be self-service and only inward looking. The focus should be on the people for whom the 2030 Agenda for sustainable development and the SDGs are intended.

Public service leaders need to leverage research and think tanks including universities and Management Development Institutes (MDIs) to ensure that the transformation decisions, policies, and strategies they propose are solidified through correct information and analytical and critical thinking to enable them conduct accurate risk analysis to balance risk and realism. In this they need to harness the potential of technology especially information and communication technology while at the same time bearing in mind that technology itself has got its own challenges they must address. The public service that will deliver on the SDGs will

be future oriented ensuring that the equity pursued includes intergeneration equity. Promoting creativity, innovation and continuous learning need to be a sustained feature in the public service to ensure resilience and continuous improvement.

Bibliography

Armstrong, J Reason (1997) 'Passion in Public Sector Reform', *The Governance Network*, January1997.

Argyris, Chris (1993) *Knowledge for Action – A Guide to Overcoming Barriers to Organizational Change,* Jossey-Bass.

Aucoin, Peter (1990) 'Administrative Reform in Public Management', *Governance*, vol 3.

Aucoin, Peter (1995) *The New Public Management: Canada in Comparative Perspective*, Institute

for Research on Public Policy.

Barlow and Robber (1996) 'Steering not Rowing: Co-ordination and Control in the Management of Public Services in Britain and Germany', *International Journal of Public Sector Management*, vol 9.

Corruption in Africa: 75 Million People Pay Bribes', Transparency International News Feature, available at http://www.transparency.org/news/feature/corruption_in_africa_75_million_people_pay_bribes.

Gash, T (2016) 'Improving government effectiveness: lessons from Germany', *Global Government Forum*, January 2016, http://www.globalgovernmentforum.com.

Maxwell, JR and A, Schwarz (2012) 'Innovation in Government: Indonesia and Colombia', available at https://www.mckinsey.com/industries/public-sector/our-insights/innovation-in-government-indonesia-and Colombia, February 2012.

Ordinally, D & Shabbir Cheema (ed.) (2003) *Reinventing Government for the Twenty First Century: State Capacity in a Globalising Society,* Kumaran Press, Inc, Bloomfield, CT, USA, pp 185.

United Nations: United Nations General Assembly Resolution A/RES/55/2 of 18 September 2000.

United Nations Development Program: MDG Report 2015.

United Nations General Assembly Resolution A/RES/70/1 of 25 September 2015.

Transforming Public Administration and Management through the Audit Model

Jean-Yves Djamen

Abstract

This paper presents a conceptual model that may be utilized to master and accelerate a country's development through its public service. Two important parts of the model are explicated: the first suggests the transformation of public administration by circumscribing all administrations under governance; the second part advocates the transformation of public management by means of technology. The circumscription of an administration under governance is handled in three steps. Firstly, the model supported by the enactment of administrative structures is revealed, from central to local governments through their agencies. A formula is used to show the weight of administrative structures, resulting in the detection of inconsistencies in policies and potential discrepancies between the policy and practice. Secondly, a clear distinction is made between external and internal stakeholders listed along their roles. A second formula is suggested to determine the responsibility of internal stakeholders, resulting in a mathematical means to relate accountability to public servants. Thirdly, missions assigned to stakeholders are listed. A third formula is therefore proposed to unveil the values of missions assigned to internal stakeholders, for accurate detection of the quality of service delivery. This paper also explicates the transformation of public management by means of technology in three steps: automation, digitization, transparency. The aim of automation is to achieve a mechanism that enables stakeholders to comply strictly with the management rules and procedures in force. The purpose of digitization is to preserve and secure the authenticity of incoming information (or data) as well as the integrity of outgoing data. The goal of transparency is to make all the legal instruments available and provide users with necessary information to keep them on the track of their files being handled. As a result, three formulas can be harnessed to respectively determine the degree of automation, digitization and transparency of any government. Eventually, the paper demonstrates that neglecting one of the precepts presented will lead to poor performance in public service delivery.

Keywords: Government, Public Administration, Management , Performance and Technology

Introduction

The transformation of public administration and management in Africa has become an urgent matter in light of poor performance in public service delivery and most importantly, the slow development process in many African countries. The human factor undoubtedly plays an important role in all struggles surrounding public administration and management. The transformation envisaged will take place provided a prominent model for public administration and management is designed to let the stakeholders involved play their assigned roles and bear full responsibilities.

Throughout history, numerous models have been suggested to address public administration and management issues. A decade ago, Ocampo (1998) surveyed and compared three well-known models of reform in public administration and management with the intent to develop a framework for analyzing ideas and experiences in some Organization for Economic Cooperation and Development (OECD) countries. These models are respectively dubbed *reinventing government*, *business process reengineering*, and *new public management*. Many other perspectives are used or suggested by research work in the quest for a suitable model, such as those aimed at reinventing government systems, summarized by Cassini (2007) for OECD countries: (i) administrative decentralization, (ii) liberalization of market and privatization of public enterprises, (iii) emergence of supranational and international administrations. More recently, in an adapted table (elaborating 10 comparative perspectives to illustrate the necessary changes brought about by policy experiments and organizational practices), Robinson (2015, p. 10) summarized three models of public management originated in OECD countries that have influenced (or may influence) public sector reforms in the developing world, namely the *old public administration* (OPA), the *new public management* (NPM) and the *new public service* (NPS).

The above models have extensively (and still) been harnessed in numerous studies about the use of information and communication technology in the public sector, dubbed E-Governance, as recently summarized by Meijer et al. (2018). For instance, Dunleavy et al (2006) proclaim the death of NPM and suggest a digital-era governance (DEG) with three main components: *reintegration* (centralization), *holism* (a citizen-focus one stop shop) and *digitization* (online service). In addition, Fishenden and Thompson (2012) outline a workable framework for government to exploit the emerging technical and commercial environment that is required to deliver DEG. Other studies expand on the relationship between citizen and the government (e.g. Thomas and Steric, 2003).

Before presenting what this paper considers as necessary and sufficient precepts that encompass numerous perspectives harnessed in many research works, we dwell on the latest perspectives summarized by Robinson (Cf. table 1, column 1-4) to show why the current models are not (and may not be) sufficient nor suitable for the envisaged transformation of public administration and management in Africa.

Table 1. Comparing Perspectives: Old Public Administration, New Public Management, New Public Service

Selected Perspectives	**Old Public Administration**	**New Public Management**	**New Public Service**	***Main Concerns***
Theoretical foundations	Political theory, naïve social science	Economic theory, positivist social science	Democratic theory	*Completeness of the suggested model*
Rationality and models of human behaviour	Administrative rationality, public interest	Technical and economic rationality, self interest	Strategic rationality, citizen interest	*Potential behavior of Stakeholders*
Conception of the public interest	Political, enshrined in law	Aggregation of individual interests	Dialogue about shared values	*Interests of stakeholders*
To whom are civil servants responsive?	Clients and constituents	Customers	Citizens	*Categories of stakeholders*
Role of government	Rowing: implementation focused on politically defined objectives	Steering: serving as catalyst to unleash market forces	Serving: negotiating and brokering interests among citizens	*Role or responsibility of stakeholders (and organizational structure)*
Mechanisms for achieving policy objectives	Administering programmes through government agencies	Creating mechanisms and incentives through private and non-profit agencies	Building coalitions of public, non-profit private agencies	*Missions of an organization (including processing)*
Approach to accountability	Hierarchical-administrators responsible to elected leaders	Market-drive-outcomes result from accumulation of self-interests	Multifaceted-public servants guided by law, values, professional norms and citizen interests	*Organizational Structure with potential behavior and role of stakeholders*
Administrative discretion	Limited discretion granted to public officials	Wide latitude to meet entrepreneurial goals	Discretion needed but constrained and accountable	*Role and responsibility of stakeholders*
Assumed organizational structure	Bureaucratic organizations with top-down authority and control of clients	Decentralized public organizations with primary control within agency	Collaborative structures with shared leadership	*Unveiling organizational structure entrenched in enacted law*
Assumed motivational basis of public servants	Pay and benefits, civil-service protections	Entrepreneurial spirit, desire to reduce size and functions of government	Public service, desire to contribute	*Measuring the theory-practice gap*

Source: Adapted from Robinson (2015, p. 10) after adaption from Denhardt and Denhardt (2000, p. 554). Here a fifth column is added to categorize the main concerns of many perspectives.

Why the Current Models Would Not Be Sufficient

With regard to theoretical foundations (Perspective Number 1), *democratic theory seems to be the new trend (NPS) for the transformation of public administration, after previously preferred political and economic theories (OPM and NPM)*. Diverting from political or economic views to solely embrace democratic views would lead to an incomplete model incapable of handling some important aspects of public administration and management, especially where political, social or economic prospects are sought. For example, different categories of stakeholders are involved in the delivery of public services at multiple levels, and as such might develop different approaches about governance matters, while representing the same government (Djamen 2018, pp. 573-575). In this regard, OPM and NPM are not (and cannot be) inconsistent with DEG. For instance, Fessenden and Thompson's Open Architecture (2012) and NPM seem to share similar aims, though they achieve them differently.

As for rationality and models of human behavior (Perspective Number 2), the citizen interest (NPS) should be relevant solely where it ought to be, since public administration and management cope not only with citizen interest, but also with public interest and self-interest. The need here is to properly address the issue of stakeholders in public administration, as well as their potential behavior with a clear distinction between admissible and deviant behavior, in relation to shared values.

Regarding the concept of the public interest (Perspective Number 3), *the most recent model (NPS) is suggesting a dialogue about shared values, in contrast with aggregation of individual interests (NPA) and political movement, i.e. enshrined in law (OPA)*. Nonetheless, the urgent need here should be to address the issue related to how public interest is handled, be it obtained via dialogue or any other means.

With regard to whom civil servants are responsive (Perspective Number 4) *the NPS model suggests that public servants are responsive to citizens, and not to customers (NPA) or clients and constituents (OPA)*. Here, there's a need to clarify the numerous terms used to label the beneficiaries of public service, and also to distinguish between different categories of stakeholders in an organization, since civil servants are not only servants, but are also usually beneficiaries of public service themselves.

About the role of government (Perspective Number 5), it may be "*serving*" (NPS), "*steering*" (NPA) or "*rowing*" (OPA), depending on which level of granularity it operates, which task is at hand, etc. However, a local government may not necessarily act as a central one. Public servants may also dictate the way their governments react. For example, the current technology trends suggest that some beneficiaries require more online services, while some governments are still relying on paper documents as a regular means of communication (Cf. different hypotheses developed by Thomas and Steric 2003 for Georgia). Moreover, all stakeholders' roles should be defined by the same token, so as to accurately circumvent public service delivery mishaps.

Concerning mechanisms of achieving policy objectives (Perspective Number 6), *achieving policy objectives within the framework of the new mechanism is about building coalitions of public, non-profit private agencies (NPS), whereas former approaches were aiming at creating mechanisms and incentives through private and non-profit agencies (NPA) or by administering programmes through government agencies.* There is once again a need to circumscribe and consider all categories of stakeholders alongside their roles and responsibilities.

The new *approach to accountability* (Perspective Number 7) *relates to multifaceted public servants guided by law, values, professional norms and citizen interests (NPS), in contrast to market-driven-outcomes that result from accumulation of self-interests (NPA) or hierarchical-administrators responsible to elected leaders (OPA).* Unfortunately, this new approach of accountability needs to be reassessed, as public administration by nature cannot depart from hierarchical stances nor be transformed without a mechanism to control human behavior.

Vis-à-vis administrative discretion (Perspective Number 8), *the NPS suggests that it is needed but must be constrained and accountable, while previous models suggest wide latitude to meet entrepreneurial goals (NPA) or that limited discretion be granted to officials (OPA).* Yet, any stakeholders vested with a management endeavor should be accountable for their public administration and management actions, notwithstanding their rank or level of responsibility.

In relation to assumed organizational structure (Perspective Number 9), *the new model suggests collaborative structures with shared leadership (NPS) where former models suggested decentralized public organizations with primary control within agencies (NPA) or the bureaucratic organizations with top-down authority and control of clients (OPA).* In fact, a mechanism should be sought to automatically unveil the structure's model embedded in the law enacted, and also safeguard the declared or envisaged organizational structure. The same mechanism could be used for comparison purposes.

In reference to assumed motivational basis of public servants (Perspective Number 10), *the new model suggests that it is a public service and the desire to contribute to society, while the previous models cherished entrepreneurial spirit, desire to reduce the size and functions of government (NPA), or pay and benefits, civil service protections (OPA).* In the absence of a mechanism that can measure motivational move of humans, these assumptions can only be realized in theory but not in practice; especially when the practice departs from the initial or declared policy.

The above review shows that new reforms are usually introduced at the expense of the existing systems, whereas existing thoughts should be harnessed. Moreover, in the absence of a solid framework, new perspectives will always arise to invalidate existing models or lead to a shift, depending on a country' specific polity. As a result, the transformation of public administration and management will never generate the expected results, if the current trend persists.

Thus, the transformation envisaged should rather rely on a mechanism capable of tackling public administration matters from the beginning (i.e. when the law is enacted) to the end (when the service is delivered), through management matters (i.e. when a task is being executed). In fact, as shown in table 1 (column 5), the main concerns arising from the suggested perspectives stick around governance matters related to organizational structure (including stakeholders, objectives...) and human involved (i.e. their behavior, interest, role, responsibility, actions or inactions).

Public Administration as an Administration Under Governance

To transform public administration for betterment would require considering it as susceptible to governance, and effectively dealing with it as under governance. An administration is under governance when it is somehow structured with clear objectives, including not only individuals in office, but also resources allotted to ensure its managerial autonomy (Damen 2008). In this regard, the public administration transformational process may not vary from one country to another as long as public policies are enacted, although each country polity generates an idiosyncratic public administration model.

Three main entities can always be harnessed in any given law enacted for public administration purposes, including (but not limited to) creating or organizing the functioning of administrative units. The paper refers to these entities (Damen 2008, Damen 2018) as the tryptic *structure-actor-mission* where *structure* stands for an administrative body; *actor*, for the individual in charge; and *mission*, for the goal allotted or the objective to attain, well-represented by the tasks or actions executed during the course of a specified or defined period. The tryptic *structure-actor-mission* (also referred to as *structure-actor-tasks*) is the common point between all government areas, no matter their level of granularity, no matter the polity.

Deriving administrative structures and government matrix from public policies

Each country's public administration model subsumed a government matrix that can be harnessed for governance purposes. The main techniques used to unveil or infer such a model are the basic structures suggested in Henry Fayol's transversal *functions* and Frederick Taylor's vertical *operational tasks*. All other techniques are a combination of the above that represent more or less complex structures such as *decentralization*, *network*, *pyramids*, etc.

A country's public administration model is built upon the various instruments enforceable at national level (such as laws, decrees, orders, decisions, circulars…) or enforceable at multi-states level (such as treaties, charters, conventions, memoranda, agreements, pacts…). The tryptic *structure-actor-mission* is very relevant because the associated matrix can be automatically derived from the law enacted. Moreover, the said matrix can be used not only to prepare the replication of any type of governance in the machine, but also for the detection of hidden flaws or discrepancies, including (to name a few) structural inconsistencies in public policies, ill-defined or conflicting missions, gaps between the policy enacted and

the practices, etc. In fact, the government matrix is horizontally made up of entities representing the *structure* (and/or the *actor*); and vertically by those representing the *mission* (or *tasks*). A matrix cell (i.e. *structure-mission* or *actor-mission*) bears both a theoretical value of general tasks (as derived from the enacted law) and a real value that can be computed. A concrete example is presented in Damen (2011, p. 20-26). It then becomes possible to determine the weight (Wgt) of the related administrative structures, vertically and horizontally, from central to local configurations. Another important fact subsumed in public policies (enacted) is related to governance stakeholders, especially about their roles and responsibilities.

Governance Stakeholders and Their Role and Responsibilities

A governance stakeholder plays a role, has an interest or derives wellbeing from the management of the business of an administration under governance (Djamen 2008, p. 42; Djamen 2018, p. 574). Internal stakeholders work within the administration under governance: the governing authority and the staff. The governing authority, a natural person in charge of the management of the business, is the main management officer of the organization, to whom overall missions have been assigned. The staff (or internal personnel) is made up of a group of internal stakeholders hierarchically attached under the responsibility of the governing authority.

The role of the *governing authority* is to perform the missions assigned, in compliance with regulations in force, and supervise the specific missions assigned to the internal personnel. The managerial approach constitutes the core of the role of the governing authority. The role of the *staff* is to perform cross-sectorial or vertical specific and specialized missions. The technical approaches should be the sole duties of the internal personnel. The normal behavior of a staff member is to perform specific mission assigned in compliance with the regulation in force and good practices.

The governing authority and the internal personnel are the sole internal stakeholders. All other participants should be considered externals, including the highest (or supervising) authority (i.e. stakeholders empowered to make appointments, evaluate or take disciplinary actions against the governing authority). Other categories of stakeholders include beneficiaries (recipients of the services provided by the administration under governance), suppliers (or service providers), connected administrations (i.e. body corporates which either produce deeds for an administration under governance, or are recipients of deeds produced by the said administration) and other external stakeholders such as aid donors[1]. External stakeholders have therefore no responsibility in the management of the business of a circumscribed administration under governance, where internal stakeholders are meant to execute tasks and actions towards the attainment on governance objectives.

Indeed, the governing authority bears the full responsibility of the management of

1 See also https://www.linkedin.com/pulse/seven-categories-stakeholders-well-structured-jean-yves-djamen?published=t

an administration under governance, from which that of each staff member can be deducted mathematically. The responsibility (*Imp*) of internal stakeholders is given by the following formula (Djamen 2008, Djamen 2018, p. 579):

$$Imp(AG, p_1) = 1$$
$$Imp(AG_{ij}, p_n) = (Imp(AG_i) - \sum Imp(fdAG_i, p_m)) / Nb(fdAG_i, p_o) / (p_n - p_p)$$

Because the total and full management of the business of an administration under governance is incumbent on the governing authority, the responsibility of the said authority is 100% (or 1). The corresponding administrative structure, namely the administration under governance considered, has the equivalent weight (*Wgt*), that is, 1:

$$Wgt(ADM, p_1) = 1$$
$$Wgt(ADM_{ij}, p_n) = (Wgt(ADM_i) - \sum Wgt(fdADM_i, p_m)) / Nb(fdADM_i, p_o) / (p_n - p_p)$$

With regard to the organizational structure (Cf. Djamen 2018, pp. 575-577), the responsibility of a stakeholder *AG* located in depth P_n is equal to that of the line chief AG_i located in depth P_p subtracted from the total amount of responsibilities of stakeholders directly related to AG_i but located in depth p_m ($m > n$) divided by the number of stakeholders directly related to AG_i in depth p_o ($o \leq n$) divided by the difference between depths AG_i and AG_{ij}. In this respect, while determining the responsibility of internal stakeholders, the governing authority bears a total amount of (100%) responsibility, from which that of each staff member can be deducted (Djamen 2008, p.124). The same reasoning applies to the weight of administrative structures. In fact, the responsibility of an internal stakeholder is equivalent to the weight of the structure she/he is running; hence above the formula determining the weight (Wgt) of administrative structures similar to that of the responsibility (Imp) of stakeholders.

Knowing the Governance Missions of Internal Stakeholders

Governance missions can be described as a set of tasks or actions whose successful performance under the responsibility of the governing authority leads to meeting expected governance targets (Djamen 2008). Governance missions are generally recorded in various written documents defining the nature of the tasks to be performed as well as the ability and the way to carry them out. Any given governance mission has a value that can be determined by the means of a mathematical formula. In fact, governance missions can be viewed as a set of roles and responsibilities entrusted to internal stakeholders, or a set of loads carried-out by an administration under governance. More precisely, the overall missions assigned to the governing authority are furthermore split up or specialized to map the organizational structure. Thus, a simple equation could be used for automatic determination of the value (*Val*) of an enacted mission. Hence, the following equation with *n* varying

from *1* to the number of missions assigned to *AG: Imp(AG)* = $\sum Val(M_n)$; which is equivalent to the number of missions assigned to ADM: *Wgt(ADM)* = $\sum Val(M_n)$. The determination of missions' values is detailed in Djamen (2008; 2018, pp. 580-581).

Public policies may subsume inconsistencies (or generate discrepancies) that are very difficult to detect before their implementation or enforcement. Inconsistencies and discrepancies in policies can range from conflicting missions to misinterpretation, including unbalanced tasks vested to internal stakeholders. One of the biggest challenges an organization faces is ascertaining that policies designed are free of any discrepancies prior to their enactment (by the highest authority). Sound policies lay the foundation for the determination of roles and responsibilities of internal stakeholders, and therefore the increase in their performance.

Public Management Through Technology

The main objective of designing public administration through the tryptic *structure-actor-mission* is to end up with sound policies that are enforceable and bear no inconsistencies, pending the practices.

The next step consists of reproducing the associated governance matrix in the machine so as to follow or sustain any given stakeholders' reasoning about governance by the means of three main perspectives: *automation*, *digitization* and *transparency*.

Automation Prospects

The aim of automation is to achieve a mechanism including all the governance automatism, thus enabling the internal stakeholders to comply strictly with the management rules in force. The automation prospects subsume the computerization of hitherto manual procedures, the integration of automated procedures and electronic data processing.

In this regard all management rules and procedures (defined by the regulations in force) should be known by the management team, so as to create a one-to-one correspondence with an automated system, where every element of the set of management rules is paired with one element of the set of system functions. This process leads to the determination of the degree of automation of public administration management rules. Therefore, situations where management rules are not automated (i.e. only manual operations) are easily detected. However, the automation of the management rules does not necessarily guarantee accurate delivery of public service. All concerned stakeholders must effectively play their role.

Static Digitization Prospects

The static digitization aims at preserving the authenticity (and security) of the information provided or generated by external stakeholders (i.e. *producers*) and considered in the processing of automation prospects. This process leads to the setting up of one or more databases referred to as initial data or static data. Static digitization prospects include static digitization *(i.e. the management of hard copy documents generated by producers)*, static extraction *(i.e. the handling of electronic data generated by producers)*, and static authentication *(i.e. the checking by internal stakeholders of the veracity of some information originating from producers)*.

All documents generated by the *producers* and considered on the automation prospects' entry should be digitized in a harmonized system made available to internal stakeholders for authentication purposes. In this regard, each organization should know its *producers* in order to consolidate its *virtual governance network* (Djamen 2008). The degree of static digitization can be determined by the same token.

Dynamic Digitization Prospects

The purpose of dynamic digitization is to secure and preserve the integrity of data handled in the automation prospects. Such data, referred to as dynamic, generally help to re-trace the trend of modifications in governance data handled by internal stakeholders. The data can therefore be used (without alterations) by external stakeholders (i.e. *consumers*). The dynamic digitization prospects encompass the dynamic digitization *(i.e. the conversion into electronic data of hard copy documents issued)*, dynamic extraction *(i.e. the handling of electronic data generated)* and dynamic notification *(i.e. the availability of data generated to consumers. In particular, security and confidentiality factors should be taken into account)*.

Dynamic databases (dynamic digitization and dynamic extraction) and their use (notification, archives, etc.) by external stakeholders should be reviewed regularly. Each participant organization in public administration should therefore know its *consumers*, so as to enhance its *virtual governance network*. The degree of dynamic digitization can be determined in order to, inter alia, detect situations where external stakeholders (i.e. the *consumers*) use documents issued, whereas no virtual governance network has been set up.

Static Transparency Prospects

The purpose of static transparency is to make available all the legal instruments governing an organization. Such instruments generally help stakeholders to be aware of the compliance or non-compliance with the legal provisions in force at the time when the processing was being achieved. The static transparency prospects embrace the text editing feature *(i.e. laws and regulations converted into electronic information data)* and a search engine *(i.e. for free access to operating legal instruments regarding security and confidentiality)*.

Therefore, the various laws and regulations integrated in the implementation of automation prospects should be regularly questioned in public administration regarding their availability to stakeholders. As a result, the degree of static transparency can be determined based on the volume measurement inherent in the legal instrument in force, and their accessibility, making it possible to know when all the laws and regulation digitized are made available to stakeholders concerned.

Dynamic Transparency Prospects

The purpose of dynamic transparency is to provide *consumers* with information keeping them on the track of their files being handled by internal stakeholders. The dynamic transparency prospects incorporate the dynamic extraction *(i.e. extraction from data banks set up by automation prospects of relevant electronic data concerning the consumers)*, the dynamic digitization *(i.e. how hard copy documents generated are converted into electronic data)* and the dynamic information *(i.e. how the consumers freely keep track of their files being handled by internal stakeholders)*.

All processing steps should be available to all interested consumers in public administration. The degree of dynamic transparency is easily measurable by means of the virtual governance network. It is, therefore, straightforward to detect situations where none of the processing steps have been integrated in an automated system, i.e. making for the impossibility for consumers to be able to follow a single step of the processing of their files.

Conclusion

This paper has presented the necessary and enough precepts needed to understand human intelligence related to public administration as well as the reproduction of the related public management in the administrative machine following the technology trends.

The tryptic *structure-actor-mission* is used to handle all public administration matters, whereas *automation*, *digitization* and *transparency* are used to handle all reasoning prospects related to public management, including multi-level reasoning prospects. Adding more perspectives is not relevant in the transformational process.

However, experience (Djamen 2008) shows that leaving any precepts out in the quest for the transformation of public administration and management would lead to an incomplete model, further increasing the gap between policies and practices, which is the main plague of public administration and management in Africa.

Bibliography

Casini, L (2007) '*Models of public administration: Comparative analysis of administrative organization*', *Center for Administrative Innovation in the Euro Mediterranean Region & Formez*, http://unpan1.un.org/intradoc/groups/public/documents/caimed/unpan028187.pdf.

Denhradt, R B and Denhardt, J V (2000) 'The new public service: serving rather than steering', *Public Administration Review*, vol 60, no 6, pp. 549-559.

Djamen, J Y (2018) 'Exploring a new model of public administration in a digital age: automation, digitization and transparency', *Atlantis Press: Advances in Social Science, Education and Humanities Research*, vol 191, *Asian Association for Public Administration Annual Conference* (AAPA 2018), pp. 571-587. doi:10.2991/aapa-18.2018.54.

Djamen, J Y (2011) '*Professionalism and the promotion of the implementation of the public service charter in the public sector in Africa: role of human resource management, facilitation factors, inhibition factors and strategic actions*'. United Nations, APS-HRMnet and the Federal Democratic Republic of Ethiopia. Addis Ababa, Ethiopia. http://unpan1.un.org/intradoc/groups/public/documents/un-dpadm/unpan044912.pdf

Djamen, JY (2008) *Gouvernance et intelligence artificielle : Bâtir une administration performante*. Afredit, Yaoundé, pp 258.

Dunleavy P, Margetts H, Bastow S, Tinkler J (2006). 'New Public Management is Dead - Long live Digital-Era Governance', *Journal of Public Administration Research and Theory*, vol 16, issue 3, pp. 467-494.

Fishenden J, Thompson M (2012) 'Digital government, open architecture, and innovation: why public sector IT will never be the same again', *Journal of Public Administration Research and Theory*, vol 23, issue 4, pp. 977-1004.

Meijer A, Bolívar M P R, and Gil-Garcia JR. (2018) 'Introduction: From E-Government to Digital Era Governance and Beyond - Lessons from 15 Years of Research into Information and Communications Technology in the Public Sector', *Journal of Public Administration Research and Theory*, pp. 1-6. Special Online Edition. https://academic.oup.com/jpart/pages/egov_vi.

Ocampo, R B (1998) 'Models of Public Administration Reform: New Public Management (NPM)', *Asian revue of public administration*, pp. 248-255. https://www.pravo.unizg.hr/_download/repository/Romeo_Ocampo_Models_of_Public_Administration_Reform_New_Public_Management%5B2%5D.pdf.

Robinson, M (2015) *From Old Public Administration to the New Public Service: Implications for Public Sector Reform in Developing Countries*. UNDP Global Center for Public Service Excellence #08-01, Block A, 29 Heng Mui Keng Terrace, 119620 Singapore. http://www.undp.org/content/dam/undp/library/capacity-development/English/Singapore%20Centre/PS-Reform_Paper.pdf

Thomas JC, Streib G (2003) 'The New Face of Government: Citizen-Initiated Contacts in the Era of E-Government', *Journal of Public Administration Research and Theory*, vol 13, issue 1, pp. 83-102.

Examining Transformation of the Public Machinery in the Context of Public Ethical Values in Malawi: Reforms or Deforms?

Happy Mickson Kayuni and Michael Chasukwa

Abstract

Public administration is pivotal to the effectiveness and efficiency of public institutions in terms of delivering goods and services. Public administration in Africa is riddled with numerous challenges that prevent it from discharging its mandate to the expected standards. Some of the challenges include politicized bureaucracy, weak administrative structures, few well-trained qualified bureaucrats, inadequate financial resources, low public support and external pressure. Based on empirical data collected through a mixed research design of qualitative and quantitative research methodology, this paper seeks to examine the dynamics of transforming Malawian public administration into a strategic instrument of delivering goods and services driven by public ethical values. Anchored by the New Public Management theoretical framework, the paper argues that public sector reforms in Malawi have the potential of transforming the public administration into vibrant machinery when there is deliberate effort to incorporate public ethics values in the operations of bureaucrats. The chapter establishes that in the current public sector reforms in Malawi, the aspect of public ethical values is mere rhetoric and lip-service as evidenced by widespread lack of professionalism and massive financial scandals in the public machinery. Furthermore, the chapter establishes that public authorities entrusted with championing public sector reforms are limited by several factors including disjointed approach in the implementation of reforms, conflicting interests of development partners, a weak financial base and technocratic conceptualization of reforms and historical legacies to push for public ethics values agenda. The paper concludes that public ethical values need to be at the center-stage of the initiatives taken under the banner of public sector reforms in Malawi if the public machinery is to be effective, efficient and responsive to the public.

Key Words: Ethics, Malawi, New Public Management, Public Sector Reforms and values,

Introduction

The public sector is critical to delivering public services in both developed and developing countries. The public sector is also a strategic instrument for attaining high legitimacy of the state in the eyes of the national and external actors. The importance of public sector generates interest in making it vibrant such that its performance should always be remarkable. In this regard, sloppiness in performance of the public sector is a major concern to both political elites and technocrats. Public sector reforms are implemented to address problems hindering effectiveness and efficiency of the public sector in meeting the expectations of the people as far as delivery of public services is concerned. Public sector reforms have taken different forms using different tools.

However, Hood (1991) argues that New Public Management (NPM) is a new public management for all seasons. NPM is fundamentally linked to megatrends in the public sector related to attempts to slow down or reverse government growth; the shift toward privatization and quasi-privatization and away from core government institutions; the development of automation, particularly in information technology; and the development of a more international agenda, increasingly focused on general issues of public management, poky design, decision styles and intergovernmental cooperation (Hood 1991, p. 3). The idea of NPM being a new public management for all seasons has been criticized for glossing over some key contextual and theoretical issues. On the theoretical front, Hood (1991, p.3) himself observes that NPM as a public sector reform too for all seasons is criticized for the contradiction between 'equity' and 'efficiency' values.

Our interest here falls within the theoretical underpinnings of NPM as a tool for public sector reforms. We acknowledge the robustness of NPM as an important tool to guide public sector reforms if they are to be meaningful and achieve the intended results of improving efficiency and effectiveness of the public sector. However, we question the assumption that NPM reforms will automatically lead to enhancement of public sector ethical values. This is evident in the lack of deliberate effort by governments to have NPM reforms specifically linked to ethical values. Thus, it is not surprising then that governments rarely emphasize the element of ethical value in NPM motivated reforms.

NPM reforms mainly focus on the external structures and their related practices but the internal element of ethical values is largely ignored not only in literature but also in practice. Almost all related studies on public sector reform and professionalism or ethical values tend to question the viability of NPM from a western perspective. Extremely few studies, such as Webb (2010) have provided empirical evidence from an African perspective. In this case, there has been a gap in theoretical and empirical contribution from the region. In Malawi, several studies have analyzed the role of NPM reform on the public sector (Tambulasi and Kayuni 2007, Tambulasi 2009, Tambulasi 2010, Kayuni 2010).

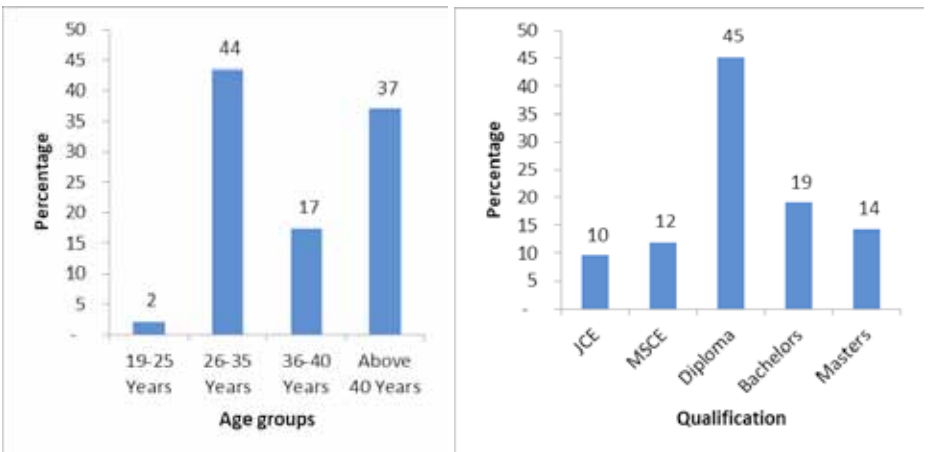
However, these studies did not extend their analysis to specifically examine the role of these reforms on the development of professionalism and ethical values in the public sector. More importantly, these studies were mainly focusing on certain elements within the decentralization process of local government assemblies and not necessarily the mainstream public sector institutions. This chapter interrogates the assumption that NPM enhances professional development and ethical values by exploring the public sector reforms in Malawi. Through this systematic analysis, this fills an important theoretical and empirical lacuna from an African perspective. Among other things, the study traces, explores and critically analyses the 'making of an ethical and professional public administrator' in Malawi.

Methodology

The study focused on four public institutions in Malawi: Ministry of Health, Ministry of Local Government, Department of Public Sector Management and Department of Public Sector Reform (in the Office of the President and Cabinet). The selection of these institutions was since the Ministry of Health had been in the forefront to embrace the reforms under the donor funded Sector Wide Approach where issues of Locum and Service Level Agreements have been key. The study relied on quantitative and qualitative methods to collect data from the selected institutions at national and district level of the above-mentioned government agencies. In this case, 23 key informant interviews were conducted with several government officials at management level position as well as a survey with public officials. Key informant interviews were important for gathering narratives and insights were helpful to explain the quantitative data generated through the survey. Some of the biographic information of the respondents (age and academic qualification) of the survey relevant to this study is presented in the figures below.

Figure 1: Bio-data of Respondents

a) % Bar chart for age of respondents b) % Bar chart of respondent's qualification



Source: Authors' survey (2016)

New Public Management and its Context in Africa and Malawi

New Public Management Concept

Just like other countries in the region, the Malawi Government recognizes the critical role that the public service plays in national development. Malawi has over the years been embarking on several public sector reform programmes to make the system more efficient and corruption free. The most recent reforms were guided by New Public Management (NPM) models and practices. Specifically, NPM is a managerial reform model that has internationally been adopted as a prescription for the public sector reforms. This model emerged in the late 1980s and early 1990s as a response to the perceived inadequacies in the traditional public administration approach (Hood, 1991; Hughes, 1998; Pollitt and Bouckaert, 2004; Tambulasi 2009).

The building blocks of NPM hinge on the implementation of private sector managerial and organizational forms in the public sector (Hood, 1991; Pollitt 2000; McCourt, 2001. The rationale is that private organizations are more efficient and effective as compared to the public organizations hence the adoption of private sector managerial and organizational forms will enhance public sector service delivery (Ferlie et al, 1996; Christensen and Laegreid 2001). Specifically, public sector organizations are being subjected to values, practices, principles and ideas that are applicable in the private sector (Osborne and Gaebler, 1992) to make them more efficient, effective and provide value for money (Turner and Hulme, 1997, p.106). With the globalization process brought into the equation, the application of the NPM paradigm is currently pervasive in both developed and developing countries (McCourt, 2002; Turner, 2002; Hope and Chikulo, 2000). It is therefore against this backdrop that NPM is regarded as 'inevitable' (Osborne and Gaebler, 1992), a 'public management for all seasons' (Hood, 1991), 'a magic key that will fit any door' (Tambulasi 2010) and an 'example of globalization at work' (United Nations 2001). It is this theoretical model that forms the foundation of analysis for public sector reform in Malawi being proposed in this study.

Ethics and Reforms

Along the NPM reforms, adoptions of public sector ethical values have also been highlighted as essential in Africa. For example, during the African Public Service Ministers' meeting on the occasion of the Third Pan African Conference of Public Service Ministers held at Windhoek (Namibia) on 5th February 2001, reaffirmed its earlier commitment made at the Second Pan African Conference held at Rabat from 13th -15th December 1998, to enhance professionalism and ethics in the public service in Africa. According to the released Charter for Public Service in Africa "the fundamental values of a public service employee shall be based on public service rooted in professionalism and ethics" (DPMN 2003, p.1). In relation to ethics, the Charter states that "Ethics shall mean a sound culture based on ethical values and principles". In other words, the elements of ethics are mentioned as:

A public service employee shall perform his/her duties properly and efficiently and display professional discipline, dignity, integrity, equity, impartiality, fairness, public-spiritedness and courtesy in the discharge of his/her functions, notably in his/her relations with his/her superiors, colleagues and subordinates, as well as with the public (DPMN 2003).

This Charter for Public Service in Africa has become the guiding document for all ethical and professional codes on African public service institutions including Malawi. The Malawi public service recently developed its own Service Charter which is based on the African charter. The assumption in most of the public sector reforms is that these professional and ethical values are being enhanced. However, this assumption has not been adequately explored.

In 2002, the Malawi government embarked on Public Sector Management Reform Programme (PSMRP) whose objectives were to:

1. Develop a public sector which is visionary and mission oriented and has the inherent ability to effectively deliver quality services.
2. Develop an affordable, highly motivated, productive, professional and result oriented public service by the year 2010.
3. Create an 'entrepreneurial public service' that would conform to public expectations for value, satisfaction and relevance, and
4. Reshape and revitalize the public service and transforming it to attain a truly client orientation with continuous improvement of services.

The outcome of PSMRP includes several reform actions which have variously been applied such as Decentralization, Downsizing and Rationalization, Contracting out (Public Private Partnerships), and Performance Management. The current overarching Malawi development policy document, the Malawi Growth and Development Strategy (MGDS II) commits itself to public sector reforms by mentioning that the "Government will therefore among other things, strive to…enhance implementation of Public Sector Reform programmes… *and* implementation of public sector reforms will continue" (MGDS II 2011, p. xx).

Public Sector Reforms in Malawi

Crude elements of public sector in Malawi date back to the colonial era whereby the British Government established administrative and political structures and systems to run Malawi as a Protectorate in 1891. The colonial public sector faced resistance from the traditional ruling authorities because of the alien administrative systems that were being introduced and power changes to the advantage of the new masters. The resistance ignited the colonial public sector to be coercive in order

to stamp authority as new rulers. The design of the colonial public sector was also exploitative given that the main interest of the colonial masters in Malawi was that of resource extraction to administrative units that were thought to be productive particularly, Zimbabwe and Zambia (Libby, 2014; Boeder, 1984).

Development of fully-fledged public sector with national administrative and political structures was in 1964 when Malawi attained full self-government status. What was key in the domestically owned public sector was its alignment to the aspirations of the natives that had fought for independence. Designing public sector and recruiting personnel were controversial issues as evidenced by the 1964 cabinet crisis that was partly due to implementation of the 'Africanization project' of the public sector in Malawi. In the 'Africanization project', natives with compromised academic qualifications got jobs in the public sector (Raftopoulos and Savage, Gyimah-Boadi, 2004). The cabinet crisis had an impact on the design of the public sector as Dr. Banda, the ten President, wanted to have a tight grip over public administration in order to avoid having critical public servants occupying key public positions, just as the 'rebel ministers' in the Cabinet crisis. Other critical issues influencing the designing of public sector in Dr. Banda's one-party regime emerged in the early 1980s with the implementation of Structural Adjustment Programme of World Bank and the International Monetary Fund and late 1980s with the end of the Cold War.

The colonial and one-party regime public sectors in Malawi were similar in that all had an element of oppression. Thus, the public sector was used as an instrument of suppressing opposing views as well as violating the rights of people. Scholars consider the nature of post-colonial African public sector as a legacy of the colonial administrative systems. In this regard, Alemazung (2010, p. 64) observed, "The colonial ruling style of oppression of the colonial administration that was imposed on African states by the new African nationalist rulers was not based on the choice, consent, will and purpose of the African people." The element of using force as a means of getting obedience from the subjects was highly prevalent in both colonial and one-party era public administrations. One major difference between the colonial and post-colonial public sector in Malawi lies in the developmental consciousness. Whilst the colonial public sector largely aimed at extracting and externalizing resources, the public sector in post-colonial era was development-oriented towards local population. The shift in focus was inevitable because the new political masters had to deliver their independence campaign promises to the local population.

The foregoing indicates that public sector reforms in Malawi can be traced back to the colonial era. Faced with resistance by the local environment, the British government re-aligned the crude public sector by moving from direct to indirect rule whereby local chiefs were incorporated into the governance structures for smooth administrative (Erik, 2011; Power, 1992). The changes in the political landscape subsequent to attainment of self-governance status in 1996 also facilitated public sector reforms.

The dawn of multi-party politics in 1993 marked another series of public sector reform initiative. Primarily, public sector reforms were made in the spirit of decentralization in order to transfer power and resources from high level administrative and political structures to local units that happen to be closer to people. Decentralization, as a strategy of re-organizing the public sector, aimed at enhancing the democratic values. It was imperative to re-organize the public sector to reflect the democratic principles espoused in Article 3 of the Local Government Act 1999; "The objectives of local government shall be to further the constitutional order based on democratic principles, accountability, transparency and participation of the people in decision-making and development processes." It is worth noting that decentralization is the pinnacle of public sector reforms in the multiparty democratic Malawi. Thus, decentralization is designated as the vehicle for achieving efficiency and effectiveness in public administration as well as enhancing improvement of delivery of public services.

It should be noted that this was before 1993 when Malawi had its referendum to re-introduce a multiparty system, which had been abolished by Banda. The new government implemented many other public-sector reforms with the support of various donor partners, such as the World Bank, the International Monetary Fund (IMF), USAID, GTZ just to mention a few (Tambulasi, 2010, p.174). The reforms were enshrined in the Civil Service Action Plan of 1996 and the Public Sector Management Reform Programme 2002-2006 of 2002, and included the following: institutional rationalization and realignment with policy and legislative framework; re-organization of ministries (functional reviews) to create autonomous agencies (authorities); viable human resource management practices; conditions of service; performance contracts scheme; privatization; outcome-based budget and financial management systems; decentralization; outsourcing/contracting out; user fees; information communication technology; and economic management (Government of Malawi [GoM], 1996, 2002). Although the overall reform initiative bundle was called the 'Public Sector Management Reform Programme' (Kamanga, 2002; GoM, 2002), it can be seen from the above list that these are typical New Public Management reforms.

The efforts to improve delivery of public services have also incorporated Public Service Charters as a public service reform initiative. More importantly, the Charter is also perceived as another way of trying to improve the ethical and professional obligations of the public servants. For instance, in the "Code of Conduct and Ethics for the Malawi Public Service", it is stated that public servants "shall set clear standards of performance that customers (the public) can reasonably expect (Government of Malawi 2013, p.12). Malawi Government launched National Public Service Charter Programme in 2010 building on the pilot work in Ntchisi District Council, Salima District Council and Blantyre City Council.

The pilot phase was supported by DFID, GIZ, EU Non-State Actors Programme, Irish Aid and the Danish Institute for Human Rights. The broad and regional context of the National Public Service Charter is that Malawi signed and ratified the 2011 African Charter on Values and Principles of Public Service and Administration

of African Union as such the programme is a way of domesticating the regional instrument. The National Public Service Charter aims at increasing participation of local populations in service delivery and enhancing accountability of duty-bearers to taxpayers. The Service Charter provides for a framework whereby the Government and the citizens enter into an agreement on the quality of services expected from Government and offering the citizenry the power to take Government institutions to task if they do not deliver according to what is stipulated in the Service Charters (MHRRC, 2011. A Service Charter is a social contract guiding the interaction between duty-bearers and rights-holders. It is envisaged that the introduction of a service charter should always be based on sound reasons; for example, that citizens are more critical of the quality of services and that they impose or demand higher standards during interactions between citizens and public sector departments and agencies (MHRRC, 2011, p.8). The National Public Service Charter Programme is coordinated by the Public Sector Reform Management Unit in the Office of President and Cabinet hence giving an indication of the high value that is attached to Service Charters as part of public sector reforms initiatives.

Despite the hype with Service charters as a public sector reform initiative, it is only a few institutions that have developed their own service charters. Apart from those district councils that developed their service charters during pilot phase, Ntcheu District Council, Dedza District Council, Luchenza Municipal Council and Zomba District Council are some of local councils that have developed service charters with support from Concern Universal and Irish Aid. The use of the service charters by the public is limited because of the lack of awareness by the general public on the existence of the service charters. This is despite the claim that service charters are developed using participatory approaches that get input from the grassroots. In this regard, service charters seem to be an 'elitist' affair because the concept is yet to get entrenched in local public life. One major observation is that service charters are developed and implemented as a project (with donor funds) such that their sustainability is a problem beyond project lifespan.

Public sector reforms in Malawi have a new lease of life with the establishment of the Public Service Reforms Commission. To show his political commitment to revamping public service, the President, Peter Mutharika, appointed a Public Service Reforms Commission on 23 June 2014. The Public Service Reforms Commission is chaired by the Vice President and is composed of individuals with experience in the private and public sector as well as civil society. There is little doubt that the Public Service Reforms Commission has been entrusted with a huge task of charting the roadmap for an effective and vibrant public service in Malawi. The exercise of public service reform has been a serious matter going by pronouncements made by officials: "Reforming the public service is not a matter of multiple choice. It must be done and will be done" (Right Honourable Saulos K. Chilima, Vice President of the Republic of Malawi). "This train has left the station. It is not going back. It will only stop on the way to drop unwilling passengers and pick up new passengers on our reform journey." (Commissioner Thom Mpinganjira, member of Public Service Reforms Commission). "There is an overflow of political will to the reforms" (Right Honourable Saulos K. Chilima, Vice President of the Republic of Malawi).

However, a glance at the terms of reference makes our case strong; the NPM driven public sector reforms in Malawi pay less attention to ethical values. The TORs are silent on bringing ethical values in the public sector as part of the reforms that have to be undertaken.

Views of Key Government Employees on The Reform Process and its Implications for Promotion of Ethical Values

Factors Initiating the Reform and its Implications on Promotion of Ethical Values

For ethical values to be highly valued in the public sector, one of the issues to be concerned with is the driving force for reform. If the reform is initiated from within the system with proper understanding of the challenges encountered, it has the potential to promote ethical values. However, it becomes a problem if the process is seen to be largely influenced by factors that are not necessarily directly connected to the actual operation of the sector.

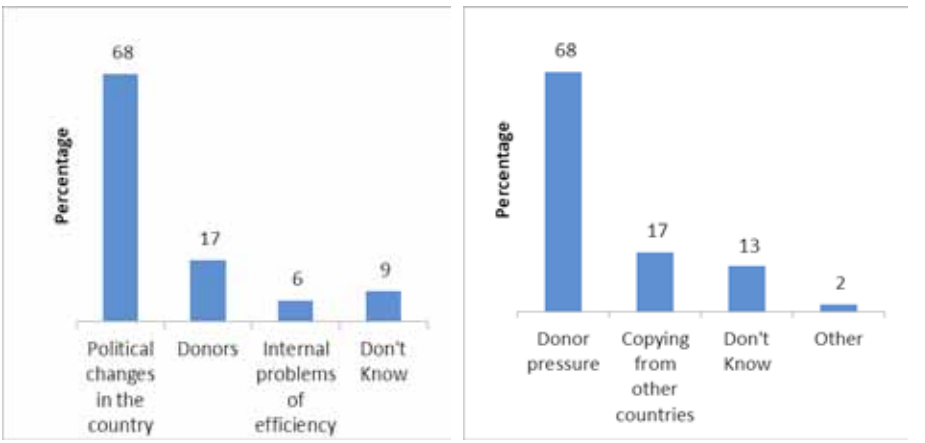
In relation to internal factors for reforms, most of the interviewees mentioned that since 1994, the reforms in Malawi have not been really driven by the quest to address the problems that the civil service is facing but they feel that it is mainly a political move by successive governments to establish themselves and gain political mileage. One official mentioned that:

When government wants to become popular with the people, it identifies itself with anything that happens to be within reach or that which is perceived by many people to be a problem. Public sector reform is something that previous governments have always wanted to act upon just to justify to its stakeholders that it is working for the good of the country (Interview with senior official DHRMD, Lilongwe, 02/07/14).

Similarly, when asked about the external factors that have led to the reforms, most of them felt that it is actually the donors who have been exerting pressure on the government to accept these reforms. In this case, they mentioned that successive governments have not demonstrated keen interest to fund reform processes, but it is actually donors who have consistently provided funding for most of the reform initiatives.

Figure 2: Internal and External Factors Facilitating Public Sector Reforms

a) Internal *b) External*



Source: Authors' survey (2016)

One area which donors were said to have provided a lot of funding is decentralization process. One district council official in Dedza district mentioned that:

> Donor had much influence. For instance, decentralization initiative was the idea which came up with German government through GTZ. Germany pumped in a lot of resources in districts councils…without them, it is unlikely that progress could have been made (Interview with Dedza District Council official, 29/07/14).

Based on these findings, it is clear that the motive for these reforms may not augur well with the principles for the development of ethical values which are meant to be inwardly initiated and appreciated. According to the views of the interviewed civil servants, as much as successive governments have done a lot in relation to reforms, the driving forces have not been well appreciated and this may have an implication for the long-term sustainability of ethical value dissemination within the sector.

Reform Areas that have Implication on Promotion of Ethics

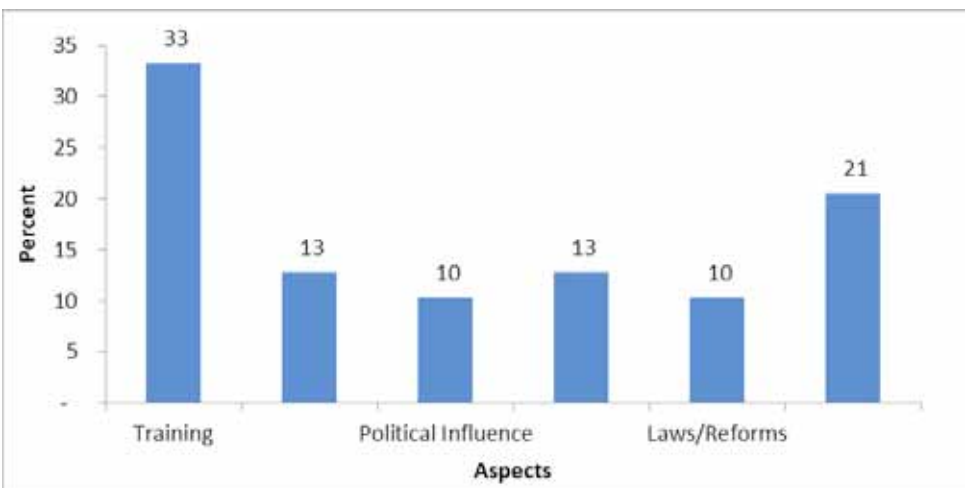
Despite the general view that the factors which contributed to implementation of reforms in the country are not in tandem with the conventional approach to the development of ethical values in the public sector, indications are that the reform package may positively influence ethical values. What strongly emerged from respondents in both the survey and key informant interviews is that in general, there is an agreement that the objectives of the current reform programme is meant to facilitate promotion of ethical values in the sector. For instance, 71% of the

respondents in the survey strongly agreed or agreed with the statement that the current reform programmes' objectives are also meant to enhance ethical obligations in the sector. Only 14% disagreed with the view that the current reform programme is meant to enhance ethical values.

Based on key informant interviews, those who were of the view that the current reform is not enhancing ethical values mentioned, among other things, the following reasons: politicization of the programme, poor priorities and lack of a proper base for reform. For instance, one senior member from Staff Development Institute mentioned that "most of the reforms that have been happening in Malawi are purely academic in nature…what is lacking is a needs-based reform programme". In this case, the views of these interviewees are that the possibility of fully engaging with ethical values in the public sector may not work due to these challenges.

Respondents in the survey were also asked the question: "Which key aspects of public sector reforms may contribute to the observation of professional and ethical standards in Malawi public administration?" Training featured highly at 33% as an aspect which may ably contribute to the observation of professional and ethical standards in the Malawi public sector. This was followed by incentives and management. The findings are summarized below:

Figure 3: Key Aspects of Reform that may Contribute to Professional and Ethical Standards in Malawi Public Sector

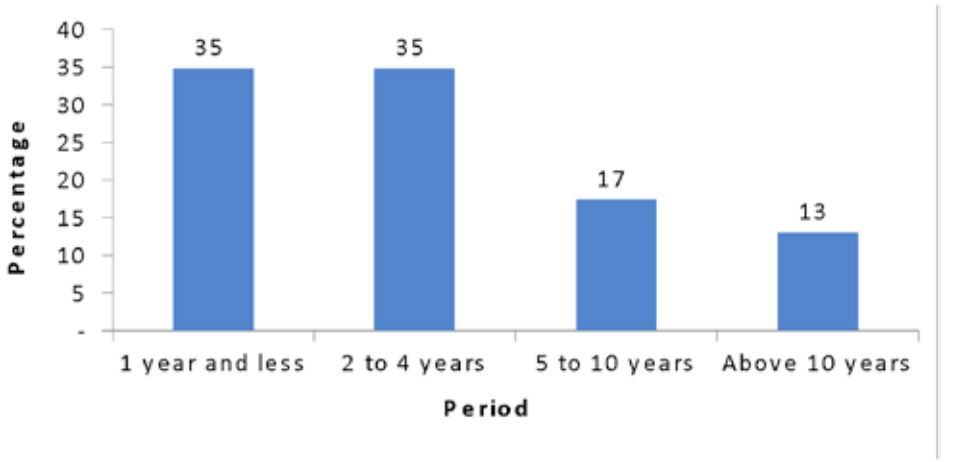


Source: Authors' survey (2016)

Although training was identified as one of the core areas that the public sector needs to focus upon for ease of promotion of ethical values, it seems this is not being taken seriously. For instance, of all the people interviewed almost half (47%) have never attended any induction training. Induction training is essential to inculcate the public sector ethical value in the new employees. It even becomes problematic

when such kind of training is conducted many years after employees have been working in an organisation. As the table below shows, for those who attended an induction course, the majority (65%) of individuals interviewed had stayed for 2 years or more before this opportunity was offered to them.

Figure 4: % Bar Chart of Number of Years Taken by Respondents before Attending an Induction Course



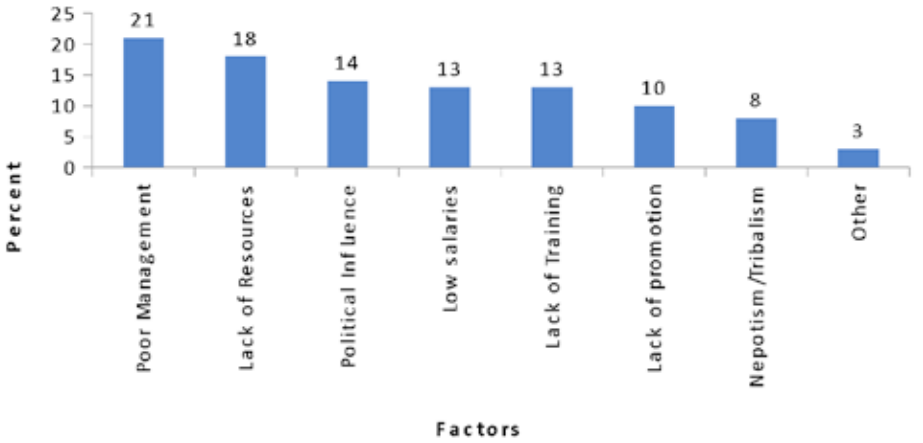
Source: Authors' survey (2016)

A significant number (30%) of respondents had stayed for more than 5 years before attending an induction course. This development raises questions in relation to the capacity of the public sector to effectively adopt the required ethical values. As part of this reform, on 10th July 2006 government issued a memo in which it urged all public servants to take part in induction courses that it offers through its Staff Development Institute (SDI). An excerpt in this memo from the Chief Secretary says:

It has been observed, however, that the attendance of Induction Courses at SDI is not encouraging, even where government has provided financial support for attendance of the courses…from now onwards my office shall closely monitor attendance of Induction Courses at SDI, and strict measures shall be instituted if the situation does not improve (Memo from Chief Secretary, Office of the President and Cabinet, Ref. No. HRMD/SD/03(31))

Supplementing the views raised above the interviewees also highlighted factors which negatively affect their quest to pursue ethical values in the Malawi Public Sector. What featured highly was poor management and followed by lack of resources as indicated in Figure 4.

Figure 4: Factors Negatively Affecting Ethical Values in the Malawi Public Sector



Source: Authors' survey (2016)

For instance, although the Chief Secretary emphasized the need for Induction Course attendance, the problem is that most public sector offices do not have adequate resources to train their staff. In some cases, resources are available but poor management negatively affects such initiatives. However, the same respondents (67%) lauded the training programmes offered claiming that the training of officers in the public sector adhere to and promote professionalism and ethical standards and similar percentage also mentioned that employees will appreciate more reforms which aim at promoting professional and ethical values.

General Overview: Are Ethical Values Being Pursued in this Current Reform?

General view of most respondents is that they are not satisfied with current public sector reforms regarding pursuing the ethical values of the public sector. Although they support the reforms in the manner they have been conceptualized as well as the components that emphasize training, they are of the view that political commitment is not fully forthcoming, and employees have not fully internalized professional and ethical values in discharging their duties. These views are explicitly highlighted in the statements contained in Table 1.

Table 1: Views of Respondents to Statement Relating to Ethics in the Malawi Public Sector

	Statement relating to ethics in the Malawi Public Sector	Strongly/Agree	Strongly disagree/ Disagree
1	The training of officers in the public sector adhere to and promote professionalism and ethical standards.	67%	26%
2	The employees will appreciate more reforms which aim at promoting professional and ethical values.	67%	7%
3	There is political commitment to encourage public sector adhere to and promotion of professionalism and ethical standards.	49%	28%
4	The general reaction of Malawi public sector employees in relation to the reforms aimed at promoting professional and ethical values has been welcome.	41%	32%
5	Public sector employees have internalized professional and ethical values as part of guiding principles in the process of discharging their duties.	36%	27%
6	I am satisfied with progress made in Civil Service in relation to promotion of professionalism and ethical standards	27%	60%

Source: Authors' survey (2016)

The service charters which were hailed by respondents as having the potential to promote ethical values in the public sector have not yet been provided with that opportunity due to managerial and resource problems. Analyzing the three charters available (Malawi Public Sector Charter, Patients and Health Service Providers charter and the District Services Charter), the respondents from the survey felt that these may significantly contribute towards promotion of ethical values in the sector.

Table 2: Ability of Charters to Promote Ethical Standards in Malawi Public Sector

	Charter	Strongly/Agree	Strongly Disagree/Disagree
1	Malawi Public Sector charter	78%	11%
2	Patients & Health Service Providers Charter	36%	26%
3	District Services charter	82%	2%

Source: Authors' survey (2016)

The low rating in the Patients & Health Service Providers charter could be attributed to the fact that most of the respondents were not aware of this charter and its contents. In other words, the failure to fully implement entails that the quest for promotion of ethical values in the public sector is merely rhetorical despite the existence of the potential to make significant positive changes.

Conclusion

Public Sector Reforms in Malawi, as in many developing countries, have been top-down whereby national political elites have to respond to an international agenda or local pressures on the quality of public services. At the international level, donors have a stake in the public service reforms. The reason for donor influence in the tale of public sector reforms in Malawi is that Malawi is heavily reliant on donors as such they would want to have a functional public service so that development aid is not wasted. Where development aid has thought to be wasted as either lack of functional public service systems (as partly the case of the widely reported 'cashgate' scandal), donors have withdrawn or suspended their aid. In other cases, donors deliver aid through other modalities that are thought to be functional.

For instance, following cashgate, British Government (and other donors) suspended budget support and continued with project aid. This top-down approach has to some extent negatively affected the local ownership of the promotion of ethical values in the public sector. Projectized public sector reforms have been the trend— public service reforms being implemented as projects whose vibrancy is limited to the willingness of the donor to carry on with the project and release funds. Many public sector reforms in Malawi have been donor funded; major donors include World Bank, United Nations Development Programme, Department for International Development, Irish Aid, German Technical Cooperation and Danish Institute for Human Rights. Service charters are a good illustration of public sector reforms managed as a project.

Political forces, dominated by the informality around the political 'rules of the game', undermine the prospects of achieving results of public sector reforms as well as promotion of ethical values. This implies that donors in the future will have to understand the interface between formal and informal rules of the game before proposing another set of reforms as ex-ant or post conditionalities. Local political elites may just be playing the game of donors especially when public sector reforms are tied to development aid which the ruling elites are interested in.

Public sector reforms and its promotion of ethical values still suffer from path-dependence. They do not address the core issues but instead address peripheral and remote issues as a matter of window-dressing. Need for reforms that will shake the base of the obstacles to efficient and effective public sector. The paper has demonstrated that to a large extent, political interference hijack well-intentioned public sector reforms. This reiterates our position on the need to understand the political side of public sector reforms because even 'foolproof' and 'rocket-science' public sector reforms will never tick if they do not have political buy-in.

Although, the conceptualization of the current public sector reform is perceived as having the potential to promote ethical values, the paper establishes that in the current public sector reforms in Malawi, the aspect of public ethical values is mere rhetoric and lip-service as evidenced by widespread lack of professionalism and massive financial scandals in the public machinery. Furthermore, the paper established that public authorities entrusted with championing public sector reforms are limited by several factors including disjointed approach in the implementation of reforms, conflicting interests of development partners, weak financial base and technocratic conceptualization of reforms and historical legacies to push for public ethics values agenda. The paper makes a conclusion that public ethical values need to be at the Centre-stage of the initiatives taken under the banner of public sector reforms in Malawi if the public machinery is to be effective, efficient and responsive to the public. It is recommended that reformers need to understand the several dynamics and intricacies to do with improving efficiency in public sector during formulation of reform strategies as well as during the implementation period.

Bibliography

Boeder, RB (1984) 'Malawian Labour migration and internal relations in Southern Africa', *Africa Insight*, vol 14, no1, pp 17-25.

Christensen, T and Laegreid, P (2001) 'New public management: the effects of contractualism and devolution on political control' *Public Management Review*, vol 3, no 1, pp 73-94.

DPMN (2003) 'Charter for the Public Service in Africa', *DPMN Bulletin*, vol X, no 3, May 2003.

Erik, G (2011) 'Indirect Rule and Colonial Intervention: Chiefs and Agrarian Change in Nyasaland, Ca. 1933 to the Early 1950s', *The International Journal of African Historical Studies,* vol 44, no2 *Action*, Oxford University Press, Oxford.

Ferlie E, Ashburner L, Fitzgerald L, and Pettigrew A, (1996) '*The New Public Management in*French, S. 2009. "Critiquing the language of strategic management', *Journal of Management Development*, vol 28, no 1, pp. 6-17.

Gyimah-Boadi, E (2004) 'The Search for a Developmental Public Service in Ghana: Challenges and Prospects', *presentation at the Public Services Commission 7th Annual Lecture*, 19 May, Accra.

Hine, D (2006) 'Codes of Conduct for Public Officials in Europe: Common Label, Divergent Purposes. Public Ethics and Governance', *Standards and Practices in Comparative Perspective Research in Public Policy Analysis and Management*, vol 14, pp 43-69.

Hood C., (1991) 'A Public Management for all Seasons?' *Public Administration, vol* 69, pp 3-19.

Hope, K. R., (Sr) and Chikulo, BC (2000) 'Decentralization, The New Public Management, And the Changing Role of The Public Sector In Africa', *Public Management*, vol. 2, no 1, pp.

25-42.

Hughes, O (1998) *Public Management and Administration: An Introduction*, Palgrave, New York.

Kayuni, H (2010) 'Public-Private Partnership in the Malawian Local Assemblies: The Case of a Failed Reform Package?' in Tambulasi R.I.C (ed), *Reforming the Malawian Public Sector: Retrospectives and Perspectives*, CODESRIA: Dakar, pp. 57-67.

Libby, RT (2014) *The Politics of Economic Power in Southern Africa*, Princeton University Press, Princeton.

Lipsky, M (1997) 'Street Level Bureaucracy: An Introduction', *in Hill M. (Ed.), The Policy Process: A Reader*, London: Pearson Prentice Hall.

Malawi Government (1998) *Local Government Act*. Zomba: Government Print, Lilongwe.

Malawi Government (2013) *Code of Conduct and Ethics for the Malawi Public Service*, Lilongwe.

Malawi Government (2015) *Public Service Reforms Report*, Lilongwe.

McCourt, W (2001) 'The NPM Agenda for Service Delivery: A Suitable Model for Developing Countries?', in McCourt, W and Minogue, M, The *Internationalization of Public Management: Reinventing the Third World State*, Cheltenham: Edward Elgar.

McCourt, W (2002) 'New Public Management in Developing Countries', in McLaughlin K., Osborne, S., and Ferlie, E., *New Public Management: Current Trends and Future Prospects*, London: Routledge, pp. 227-242.

Monfardini, P (2010) 'Accountability in the new public sector: a comparative case study', *International Journal of Public Sector Management*, vol. 23, no 7, pp 632-646.

Osborne, D, and Gaebler T (1992) Reinventing Government: *How the Entrepreneurial Spirit is Transforming the Public Sector*, Penguin Group, New York.

Pettinger R (2004) *Contemporary Strategic Management*. Palgrave Macmillan.

Poister, T and Streib, G (1999) 'Strategic Management in the Public Sector: Concepts, Models, and Processes', *Public Productivity & Management Review*, vol 22, no 3, pp 308-325.

Pollitt, C (2000) 'Is the Emperor in His Underwear?' *Public Management Review*, vol 2, no 2, pp 181-200.

Pollitt and Bouckaert (2004) *Public Management Reform: A Comparative Analysis*, Oxford University Press: Oxford.

Power, J, (1992) 'Individualism is the Antithesis of Indirect Rule': Cooperative Development

and Indirect Rule in Colonial Malawi, *Journal of Southern African Studies*, vol 18 no. 2, pp. 317-347.

Raftopoulos, B, and Savage, T (2005) *Zimbabwe: Injustice and Political Reconciliation,* Weaver Press, Harare.

Ring, P and Perry, J (1985) 'Strategic Management in Public and Private Organizations: Implications of Distinctive Contexts and Constraints', *The Academy of Management Review*, vol 10, no. 2, pp 276-286.

Rutgers, M (2010) 'The Oath of Office as Public Value Guardian', *The American Review of Public Administration,* vol 40, no 428, pp. 428-444.

Tambulasi R and Kayuni H (2007) 'Decentralization Opening a New Window for Corruption: An Accountability Assessment of Malawi's Five Years of Democratic Local Governance System', *Journal of Asian and African Studies,* vol 42, no. 2, pp 163-183.

Tambulasi R and Kayuni H (2007) 'Public Sector Reform in Malawi', in Patel N and Svasand R (eds.), *Government and Politics in Malawi*, Kachere Publishers, Blantyre.

Tambulasi, R (2009) 'All that glisters is not gold: new public management and corruption in Malawi's local governance', *Development Southern Africa,* vol 26, no 2, pp 173-188.

Tambulasi, R. (2010) 'No Key Opens Every Door: The Failure of NPM-Based Performance Contracting in Malawi', in Tambulasi R.I.C (ed), *Reforming the Malawian Public Sector: Retrospectives and Perspectives*, CODESRIA: Dakar, pp 69-79.

Taylor, I and Kelly, J (2006) 'Professionals, discretion and public sector reform in the UK: re-visiting Lipsky', *International Journal of Public Sector Management*, vol. 19, no 7, pp. 629-642.

Turner, M (2002) 'Choosing Items from the Menu: New Public Management in Southeast Asia', *International Journal of Public Administration*, vol 25, no. 12, pp 1493-1512.

Turner, M and Hulme, D (1997) *Governance, Administration and Development: Making the State Work*, Macmillan, London.

United Nations (1999) *Public Service in Transition: Enhancing Its Role, Professionalism, Ethical Values and Standards,* Division for Public Economics and Public Administration, New York.

United Nations, (2001) *World Public Sector Report: Globalization and the State*, United Nations, New York.

United Nations (2006) *Innovations in Governance and Public Administration: Replicating what works*, United Nations, Department of Economic and Social Affairs, New York.

Webb, W (2010) 'Public management reform and the management of ethics Incompatible ideals for the developing state?', *International Journal of Public Sector Management*, vol 23, no 7, pp 669-684.

Transforming Ethiopian Public Administration for Sustainable Development: The Impact of Organizational Proliferation and Policy Coordination on Access to Drinking Water[2]

Bacha Kebede Debela and Steve Troupin

Abstract

This study examined drinking water coordination mechanisms in the post-1990 Ethiopia and its impact on access to drinking water supply. The study finds that Ethiopia has been using a mix of NPM and Developmental State (DS) doctrine; with a new trend since 2005, toward harmonization, integration and alignment, and systematic centralization of authority, but further decentralization of responsibility. Second, the study discovers that inequality to drinking water remains significant. It argues that the post-2005 coordination approach is unquestionably different from the ongoing approaches to strengthen vertical and horizontal coordination in OECD countries and can substantially erode the legitimacy of local government.

Keywords: Ethiopia, Water, Policy, Capacities and Institutions

Acknowledgments

This study has been carried out in the framework of the academic cooperation to development project "Strengthening Institutional Capacity to Support Public Administration and/or Development Management Programmes at Ambo University" between KU Leuven University and Ambo University, financed by VLIR-UOS (Belgium). Thus, authors are grateful for the support of these institutions. The authors also gratefully acknowledge the Ministry of Water Irrigation and Energy for providing useful documents.

2 The earlier version of this paper is presented at 37th AAPAM Roundtable Conference, Zambia, Lusaka, February 29 to March 4, 2016.

Introduction

Access to drinking water is an essential precondition for sustainable development: it contributes to the health of the population, allowing its participation in national development. The UN recognized it in its Millennium Development Goals (MDG) framework and in its sixth Sustainable Development Goals (SDG) (UN 2000, 2015). Similarly, the African Union has recognized it in its 2063 Agenda (African Union, 2013). Notwithstanding the international frameworks, in general, ensuring access to drinking water is increasingly challenging as the population is growing; increasing urbanization, agriculture and industry, and other sectors all competing for water (Axworthy & Sandford, 2012; Pangare & Idris, 2012) and historically significant structural social inequalities (Castro & Heller, 2009).

Ethiopia has recognized the importance of ensuring access to drinking water to improve the well-being of society and socio-economic development. Political commitment is revealed in policy frameworks and plans (FDER, 1995, MoWR, 1999, 2006; MoFED, 2005, 2010, MoWE, 2011, 2013; MoWIE, 2014), and in the subscription to the MDG framework. The Ethiopian Growth and Transformation Plan (GTP) aimed at 100% urban access to drinking water within 0.5 km and 98% rural access to drinking water coverage within a 1.5 km by 2014-15 (MoFED, 2010). The second GTP (2015/16-2019/20) has revised the standard and aims at 85% and 75% access respectively in rural and urban areas (National Planning Commission, 2016). In GTP II, the regime in power is also intended to meet the SDGs. However, empirical evidence on drinking water supply coordination mechanisms and the achievement thereof are scarce. This paper contributes to filling this gap. It also adds to the debate on the SDG agenda.

The paper addresses three research questions. First, how have Ethiopian water supply coordination mechanisms evolved since 1991? Second, has access to drinking water improved since 1991? Finally, can variations of performance be attributed to changes in coordination mechanisms? To answer these research questions, the paper relied on an analysis of policy documents and government data related to access to drinking water and academic literature.

The paper unfolds as follows. The next section develops the theoretical framework. The third section presents the research method. The fourth and the fifth sections deal with the evolution and results of Ethiopian water policies respectively. The discussion section examines whether variations in access to drinking water can be attributed to policy changes. Finally, conclusions and policy implications are drawn.

Theoretical Framework: Specialization and Coordination

Verhoest et al. (2007) points out that governments have different means to fulfill their responsibilities – including drinking water supply: specialization and coordination.

Specialization refers to "the creation of new public sector organizations with limited objectives and specific tasks out of traditional core departments with many tasks and different, sometimes conflicting objectives" (Verhoest et al., 2007, p. 327). Verhoest et al. (Ibid.) differentiate horizontal specialization – "the splitting of organizations at the same administrative and hierarchical level" – from vertical specialization, e.g.: "the differentiation of responsibility on hierarchical levels".

Coordination refers to "the instruments and mechanisms that aim to enhance the voluntary or forced alignment of tasks and efforts of organizations within the public sector. These are used in order to create a greater coherence and to reduce redundancy, lacunae, and contradictions within and between policies, implementation or management" (Peters 1998 in Verhoest et al., 2007, p. 330).

Coordination refers to "the instruments and mechanisms that aim to enhance the voluntary or forced alignment of tasks and efforts of organizations within the public sector. These are used in order to create a greater coherence, and to reduce redundancy, lacunae and contradictions within and between policies, implementation or management (Peters 1998 in Verhoest et al., 2007, p. 330).

Three kinds of coordination mechanisms are distinguished (Bouckaert et al., 2010; Verhoest, et al., 2007):

- Hierarchy-type Mechanisms (HTM), emphasising top down planning, direct control, accountability, and centralization, and usually relying on authority and dominance;
- Market-type Mechanisms (MTM), relying on competition and performance and adopting principles such as competitive tendering and result oriented incentive systems;
- Network-type Mechanisms (NTM), depending on trust and cooperation among actors and operating through initiatives such as joint consultation and decision-making, partnership and information exchange.

Verhoest et al. (2007) distinguish four models of coordination in the public sector as:

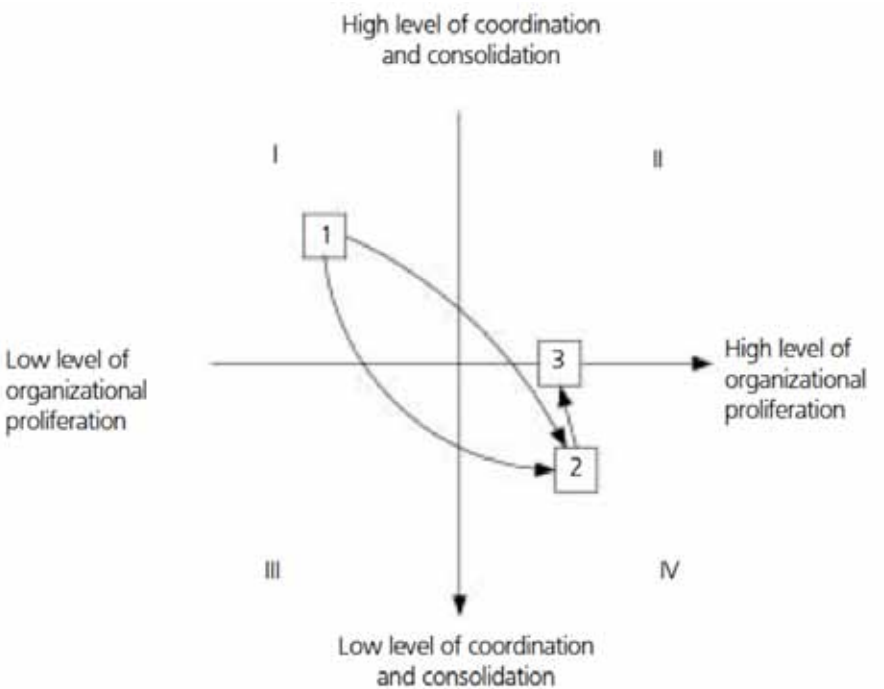
i. High coordination, low specialization: the public sector is composed of a small number of huge ministerial departments, in charge of the design and implementation of policies of different nature;

ii. High coordination, high specialization: the public sector is composed of many organizations which are competent for the implementation of a specific policy, and there is a central point, of administrative or political nature, organizing the division of labour and the interactions among these organizations;

iii. Low coordination, low specialization: the huge ministries suffer from internal fragmentation and competition among units, and can't take advantage of their wide portfolio to streamline policy design and implementation;

iv. Low coordination, high specialization: many single-purpose agencies are in charge of policy implementation, and their wide autonomy leads to redundancy, incoherence, and competition.

Figure 1: OECD Patterns of Evolutions on Specialization and Coordination



Source: Verhoest et al. 2007

Verhoest et al. (2007) observe that, despite local variations, the public sector of OECD countries has generally evolved through three stages:

1. Bureaucracy: policy design and implementation are entrusted to the same ministry, which is generally in charge of several policy fields; HTM ensures coordination;

2. New Public Management (NPM): decoupling policy design from policy implementation, so that there is one organization for each policy filed having a sufficient level of autonomy to provide services. MTM is a typical devise.

3. Whole-of-government approaches. The single-purpose agencies of the NPM became mavericks in the system: unaccountable, uncontrollable and incapable of dealing with cross-organizational issues. Instead of decreasing specialization and rebuilding bureaucracies, OECD countries tried to regain control over the whole system through strengthening HTM, MTM and NTM coordination mechanisms, lowering the autonomy of implementation-oriented agencies.

Methodology

Data were obtained from government documents and academic sources. Data from these sources were gathered through web searching and targeted request from the federal government, i.e. from MoWIE.

A mixed research design approach was used. To examine coordination mechanisms literature on NPM and DDS were reviewed, and water legal frameworks and plans were analyzed.

In particular the drinking water legal frameworks, water sector plans such as Water Sector Development Plan (WSDP), and Universal Access Plan (UAP), Economic Development Plans, i.e. Agricultural Development Led-Industrialization (ADLI), Sustainable Development and Poverty Reduction Program (SDPRP), Plan for Accelerated and Sustained Development to End Poverty (PASDEP) and GTP were analyzed qualitatively.

To evaluate progress on access to drinking water national data for the period 2000-2015 was used. This allowed examining whether or not the policy shift of 2005 has had a positive impact on access rates. However, data at the regional level were only available for the period 2005-2014. This did not allow specifying the before-after comparison. The second data set distinguishes access to drinking water at national and in 9 Ethiopian regions and two city administrations, with a further distinction between urban and rural areas in each. This allowed comparing the difference in access to drinking water between regions and between urban and rural areas.

To identify access to drinking water inequality between regions and urban-urban and rural-rural residences between regions one-way Analysis of Variance (ANOVA) at 0.05 significance level was computed. The 0.05 confidence interval was used for the fact that it is commonly used to measure the mean difference between more than two independent groups in social science (Davis, 2008; Kothari, 2004). One-way ANOVA was used because, including national access data, there were 12 independent observations and only one dependent variable (access). Furthermore, it is assumed the variance between independent groups is homogenous (equal) and importantly population data is used, not a sample. Thus, the assumption in ANOVA that the population from which the samples were taken should be normally distributed is not the concern at all (Davis, 2008; Kothari, 2004).

Regarding access, it *is hypothesized that there is no significant access difference between regions and between residence categories at 0.05 confidence level*. Thus, the hypothesis will be rejected when P value is > 0.05.

Moreover, because ANOVA only tells whether there exists an overall mean difference or not between independent groups, to further discern those that account for mean difference between groups, if any, to test for differences between groups, Analysis of post hoc comparison at 0.05 confidence level was performed (Davis, 2008) using LSD equal variance assumed approach. In this paper, only the result of post hoc comparison, the result of multiple comparisons in a table in the column labelled mean difference (I – J), which have value attended by asterisks, meaning access between groups differ significantly from each other at the 0.05 level of significance is reported (Davis, 2008). SPSS version 20 software was used to compute ANOVA and post hoc comparison.

Specialization and Coordination of the Ethiopian Water Sector

1991-2005: Specialization

Federalization

The Transitional Government of Ethiopia appears had changed the politico-administrative landscape of Ethiopia. The first decentralization wave began under the transitional government. Transitional Charter (No.1 /1991) provided the legal framework for devolving state power (Tewfik, 2010). This was the first attempt to address the longstanding question of self-administration and to build legitimacy by delivering services by the incoming government (Peterson, 2015).

In consequence, the responsibility for drinking water supply was moved from central government to regional governments. At central government, the Ministry of Natural Resources Development and Environmental Protection was responsible for the planning, management, and coordination (Transitional Government of Ethiopia, 1993). However, regions were forced to follow the footsteps of the center, they cascaded Agriculture Development Led Industrialization (ADLI).

Structural Adjustment

From the 1991-1996 the country introduced the Structural Adjustment Program (1991–1996). The principal focus under the Structural Adjustment Programme (SAP) was to realign institutions inherited from past regimes to fit with the newly envisaged politico-administrative system.

During this period the country adopted a neoliberal variant economic policy (Adejumobi, 2007). Private sectors were involved in water sector development (Transitional Government of Ethiopia, 1994) while NGOs were engaged in governance and development activities.

New Public Management

From 1996 to 2005, the country officially embraced the New Public Management (NPM) doctrine (Mengesha & Common, 2007).

The theoretical basis of NPM is largely rooted in public choice theory and influenced by neoliberal economic doctrine. The neoliberals regard the public sector operating under the Keynesian welfare state model as wasteful; inefficient and ineffective (African Development Bank, 2005), and hence argue for a market approach to improve public sector performance (Pollitt, 2007; Pollitt & Bouckaert, 2011).

The NPM approach to managing drinking water supply is a widespread reform program in developing countries since the 1970s (Furlong, 2012; Mukokoma & van Dijk, 2013). However, there are still theoretical and empirical debates on the effect of NPM on drinking water supply in developing countries (Mukokoma & van Dijk, 2013). Notwithstanding the relevance of some elements of NPM, it should be stressed that the market approach to drinking water supply may not work well in the context of Africa in particular, partly because of an underdeveloped market, partly because of increasing inequality and unequal power relations, and also because of historically clientelist tendencies of African states (African Development Bank, 2005).

In Ethiopia, under the NPM motto, multiple stakeholders and many institutions such as government institutions (federal, regional and local), private sector, donors, many local and international NGOs, and the local community were directly or indirectly involved in drinking water supply (MoFED, 2004). Furthermore, under this motto, responsibilities for drinking water were decentralized to local governments. This led to a whole constellation of loosely coordinated actors.

Overall regions and local governments were implementing bodies (MoWR, 2002) and the federal government had significant supervisory power over the regions (UN-DESA & MoWE, 2011).

Federal: Horizontal Specialization

In 1995, the water sector obtained its own ministry, the Ministry of Water Resources (MoWR). MoWR was responsible for formulating water policies and strategies and coordinating and monitoring water sector development and service at the federal level (MOFED, 2004, p.13). The ministry was also responsible for channelling donor funds in the sector to local governments and was mandated to issue water use permits and commission water tariff studies (FDRE, 1995). The Ministry developed many legal frameworks and plans for water supply, which were subsequently adopted by regional and local governments.

Furthermore, the federal government established six other institutions to enhance water resource utilisation (UN-WATER/WWAP, 2006)[3]. Other ministries, including the Ministry of Finance and Economic Development (MOFED), the Ministry of Health (MOH) and Ministry of Education (MOE), were also involved in drinking water supply, often in a disconnected manner.

Regions: Vertical Specialization

Regions were responsible for the overall planning, coordination, and administration of drinking supply of their jurisdiction, in accordance with federal institutional legal frameworks and plans. They were also responsible to provide technical assistance to local government (MoFED, 2004, MOWR, 2005). Like the federal level, many institutions were also involved in drinking water supply[4].

Zones: Vertical Specialization

Through several zonal level institutions, zones were responsible for designing rural water supply schemes, repairing and maintaining water machinery for both urban and rural centers, providing technical and managerial support to local institutions, and managing and supporting multi-district water supply schemes (UN-DESA & MoWE, 2011).

3 Water Works Subsidiary Organizations; Water Works Design and Supervision Enterprise (WWDSE), Ethiopian Water Works Construction Enterprise (EWWCE), Water Well Drilling Enterprise (WWDDE), Awash Basin Water Resources Management Authority, and Water resource development fund (WRDF).

4 The regional level institutions include: The Agriculture and Rural Development Bureau, the Finance and Economic Development Bureau, the Health Bureau, the Education Bureau the Water Works Construction Enterprises.

Local Governments

In the early 2000s, the second wave of decentralization occurred (World Bank, 2013a, 2013b), transferring the responsibility for basic services, including drinking water supply, to local governments (MoWR, 2006, MoFED, 2004). Like the other levels of governments, many institutions were engaged in water services at the local level[5].

In cities/towns, autonomous town water boards were created, reporting to local government administrative councils. In rural areas and small towns, District Water Desks (DWD) were responsible for drinking water supply, including the operation and maintenance of water supply systems (UN-DESA & MoWE, 2011; MoWE, 2013). Both urban and rural local governments adopted plans issued by regional governments and followed general policy frameworks but could consider local contexts. For instance, the urban water boards were authorized to implement contingent water tariff structure and contract out operation and maintenance services and sell or dispose of enterprise assets (UN-DESA & MoWE, 2011).

Private Sector and Non-Governmental Organizations (NGOs)

Many donors, NGOs, and private sectors were engaged in water service supply often in a disconnected manner. NGOs were engaged in sector development, community mobilization and policy advocacy and private sectors participated in water utility construction and maintenance. The role of NGOs, however, was relatively significant; they were involved in right-based policy advocacy.

Coordination Mechanisms

The HTM was dominant, but there were also elements of quasi MTM (contract) and NTM. Coordination instruments include top-down policy design, top-down planning system (e.g. water sector development plans) and a structural instrument (reshuffling competencies) and communications and ordinary contract administration.

2005-2014: Coordination

After the 2005 elections, the government adopted the DDS doctrine along the lines of successfully industrializing countries of East Asia; i.e. China and South Korea (UN Habitat, 2014; World Bank, 2013a) to ensure socio-economic transformation. The sentiment towards the DS, however, was voiced in the aftermath of the 1990s. There were major changes in terms of institutional arrangements and power relations. The regime in power emphasized its commitment to the DDS doctrine

5 The most relevant institutions include District Agriculture and Rural Development offices, District Finance and Economic Development office, District Health office, District Education office**,** Regional water works subsidiary Organizations (engaged in water utility construction)**,** relevant Zonal institutions such as Zonal Finance and economic development office Zonal Health office and Zonal Education office.

in GTP I (MOFED, 2010) and GTP II, but in the later with a slight modification of words "developmental and good governance" (National Planning Commission, 2016, p. 45).

Many initiatives were taken at federal, regional and local government levels to enhance vertical and horizontal coordination, to meet GTPI/UAP targets and to enforce DDS doctrine without significantly changing water sector legal frameworks. Furthermore, there were no changes in the number and type of stakeholders that were engaged in drinking water supply at all levels of government.

Developmental State Doctrine

The concept and practice of DS exist in many sources although not explicitly stated (Leftwich, 2000, p. 157). Japan is considered as the first DS case, referring back to the undemocratic period of the Meiji era (Bolesta in Bekele & Regassa, 2012). Scholars trace back the concept to the 20th Century but agree that the concept is well developed in the 1980s following the seminal work of Chalmers Johnson's (Bekele & Regassa, 2012) and successful development experiences of East Asian countries (Leftwich, 2000, Turner et al., 2013, Bekele & Regassa, 2012).

In the context of Africa, it is increasingly used since the 21st Century (Bekele & Regassa, 2012; Edigheje, 2010). It seems that African countries are also influenced by the works of DS scholars. For example, Joshi (2012) opined that DS "is particularly well suited to enable the transformation of a poor, underdeveloped society into a prosperous one" (Joshi, 2012, p. 355).

According to Zenewi (2006), DS is different from liberal, weak and predatory/ exploitative states. He describes DS as a strong state that is committed to state-lead macro-economic planning, being relatively insulated from internal and external pressure (autonomous/independent), with absolute interventionist mentality (different from other types of interventionist states) not only to regulate, guide, and shape, but also to monitor and control the economy to maximize the interest of society through undermining socially wasteful rent-seeking activities and patronage networks, and promotion of fairness and social equity.

DS can be characterized as a state dedicated to development and that seeks legitimacy by development results (Bekele & Regassa, 2012). Leftwich (2000, p. 380) notes the distinguishing characteristics of DS is "their institutional structures and developmentally driven political objective." Among others, Leftwich, characterizes DS as (1) one party rule for over 30 years, whether the state is democratic or not, (2) state dominated by a dedicated and relatively incorruptible elite, (3) such elite having significant relative autonomy over other forces, (4) and capable of insulating the state from external influence, and (5) a state that puts restrictions on mass media and civil societies to weaken pressure from within.

The Economic Commission for Africa (UN ECA, 2011) promotes the democratic DS (DDS) doctrine. It particularly recommends the Malaysian DS approach, a model

taking a middle position between the neo-liberal open economy and a centrally planned system. The African Union (2014), in its Agenda 2063, also promotes DDS doctrine.

Vertical and Horizontal Coordination: WASH

In this framework, the government focused on strengthening both vertical and horizontal coordination notably through the introduction of an overall framework – Water Sanitation and Hygiene (WASH) – for procurement, management and reporting with which all players have to comply.

The regime in power has relied on the 2005 Paris declaration which emphasizes vertical and horizontal coordination among all actors at all levels to implement WASH program (FDRE, 2013; 2014, Water Aid, 2013c). The EU WASH programme support to catalyze inter-sector integration and dialogue on WASH, and to put in place coordination structures across the water, health, and education sectors (Water and Sanitation Program, 2011), is also used as a springboard to strengthen interest in harmonization, integration, and alignment to supply drinking water. To this end, among other things, Operational Manual for the Consolidated WASH Account (CWA) and WASH Implementation Framework (WIF) were developed, and Memorandum of Understandings (MoUs) were signed between all major actors of the field (public, and NGOs), except by the private sector, to institutionalize the WASH structure.

In general, the MoUs signify one system for planning, budgeting, financial management and procurement, information, monitoring and evaluation, and reporting. All partners are expected to "report their progress and budget utilization to the relevant WASH coordinating body at their respective levels" (FDRE, 2014, p. 16).

The organizational arrangement for WASH implementation was flexible and run from federal to local government (FDRE, 2013; MoWE, 2011). However, the deeper perspective shows the WASH structure emphasize a strong connection between federal government and local governments and community. This is because the WASH structure at national, district and community levels were mandatory and WASH funds that were deposited in a single Consolidated Wash Account (CWA), opened by MoFED, follow through these structures. Governments were expected to allocate matching funds and facilitate the participation of other actors in joint efforts, such as meeting and workshops (FDRE, 2014). International donors were expected to deposit funds to the CWA (MoWE, 2011, FDER, 2013) and donors such as AFDB, DFID, UNICEF, and WB have started to deposit contributions to the CWA (FDER, 2014).

At the federal level, the line ministry was restructured twice, ultimately becoming the Ministry of Water Resource, Irrigation and Energy (FDER, 2010; 2013). New institutional arrangement further increased the mandate of the ministry. A WASH

steering committee was established, composed of representatives of MOFED, MoWIE, MOH, MOE, international donors and NGOs (MoWE, 2013). Furthermore, there was a WASH coordination office at the MoWEI. Comparable structures are presumed to exist at regional level.

At the local level, WASH committees were established, encompassing all relevant stakeholders: public (water, education, agriculture and women's affairs), and non-profit actors. These actors were responsible for the management of WASH programs. Three levels (district, village, and community) were distinguished, the lower level reporting to the higher one (Water Aid, 2013b, 2013c; MoWE, 2011).

Therefore, the WASH structures and second stage decentralisation in general not only has streamlined relevant institutions to supply drinking water but also has created a command and control chain linking the federal government to the grassroot level. In other words, the federal government not only used local decentralisation to enhance drinking water supply and its legitimacy but also to reduce regional power and connect federal, state machinery with society to control citizens at grass root level (Snyder et al. 2014; Peterson, 2015). The deep-rooted top-down political culture and Marxist-Leninist oriented ruling party leaders since the time of armed struggle against the Derg's regime have also appeared to play a significant role (Peterson, 2015; Di Nunzio, 2014).

Recentralization

Although local governments remain responsible to supply drinking water efficiently and effectively, (MoWR, 2006, MoWE, 2013) in some regions, the authority of local government council over urban water boards and district water desks (DWDs) was overtaken by regional water bureaus and zonal water offices respectively. In Oromia National Regional State, for instance, the local water agencies of the largest cities were made accountable to the regions and zones instead of local government administrative councils (Oromia National Regional Government, 2005 see also MoWE, 2013). Instead, local governments were expected to coordinate NGOs and private sectors. The implication is that the responsibilities of local governments were increased without a substantial increase of authority to supply drinking water.

NGOs

Although NGOs are partners of the WASH program and as such represented in all WASH structures and committees (MoWE, 2011), their position has been seriously challenged. In 2005, the government lost the elections in urban centers, including in many rural areas where the party seemingly confident to get the vote (Lefort, 2012). As a reaction, the government has officially embraced the DS doctrine. In this framework, the government issued new Charities and Societies Proclamation (FDER, 2009) significantly limiting the leeway of NGOs active in Ethiopia. Those NGOs which obtain more than 10% of their funds from external sources were

prohibited from engaging in rights-based policy advocacy. Local NGOs were particularly weakened, on grounds of national security imperatives, the need to avoid further dependence on donor funding, and to ensure accountability of NGOs towards people rather than external agents.

Moreover, although they were not obliged to deposit financial contributions to CWA, they were forced to integrate, align, and harmonize their activities with government programmes and policies and work in partnership with government at all levels and report their financial contribution to WASH (MoWE, 2011; Water Aid, 2013b, 2013c).

Private Sector

The private sector has never been strong in Ethiopia, partly because of socialist economic policies until 1990. In the outset, the private companies are at an early stage of development and have low capacity (WaterAid, 2013b, 2013c). Like the non-profit sector, the involvement of private sector institutions has been severely limited after the 2005 elections. Although formally involved, like the NGOs, in the WASH structures, they were not allowed to directly participate in the decision-making process.

To summarize, since 2005 there has been a strong interest to strengthen both vertical and horizontal coordination of drinking water supply. However, it appears that vertical coordination was more strengthened than horizontal coordination. HTM was further strengthened, although there were elements of MTM and NTM. There were tendencies towards systematic recentralization of authority, but further decentralization of responsibilities for drinking water supply using top-down management instruments (plans, and financial management) and structural instruments (reshuffling competencies, committee structures) than systems of information exchange and collective decision. Noteworthy is that the synergy among the actors was not developed well. This partly explained by the underdeveloped drinking water supply Management Information System, lack of water sector monitoring frameworks and database until 2011, and multiplicity of institutions involved (UN-DESA & MoWE, 2011), inadequate institutional capacity at all levels and lack of mutual trust among actors at all levels.

The discussion above shows the Ethiopian water sector has followed a comparable pattern with what Verhoest et al. (2007) observed in OCED countries; greater specialization first and attempts at regaining overall control over public sector afterward. However, in Ethiopia, it should be noted that trigger to invest in coordination mechanisms since 2005 were not so much of actual performance problems than an overall will to tighten control over the Ethiopian society.

2016-: What's Next?

Many questions remain unanswered despite officially pronounced economic growth. Five warrant attention. There has been little progress in terms of socio-economic

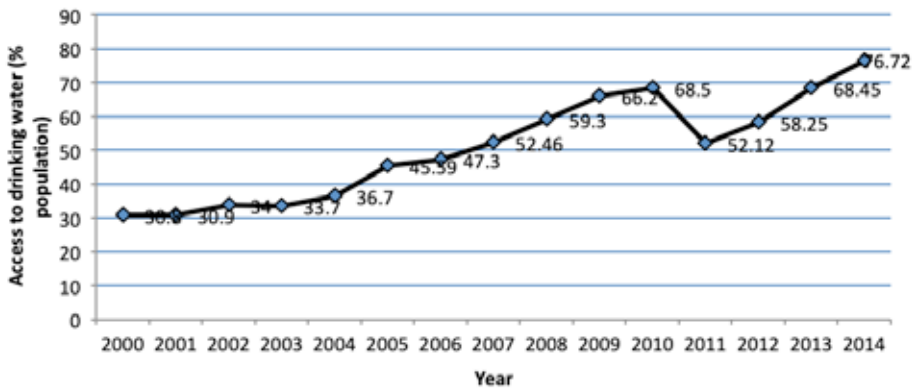
transformation. Second, it is unclear whether required institutional capacity and arrangements are in place to activate the DDS doctrine in spite of continuous capacity building programmes (Bekele & Regassa 2012). Third, there are potential risks of political instability because of "opposition and anti-government groups" (GRIPS, 2009, p.116). Fourth, because of the country's traditional hierarchical and autocratic political culture and clientelism, the practice of decentralized governance has not emerged (Hagmann & Abbink, 2011; Paulos, 2007). Fifth, there are also questions whether the constitution foresees DDS doctrine (Bekele & Regassa, 2012). Thus, these open questions may jeopardize the essence of sustainable development and governance in general and drinking water supply in particular.

Evolution in Access to Drinking Water

National Access to Drinking Water: Before and After Developmental State Doctrine

Notwithstanding the inconsistency in performance data, official performance reports show national access to drinking water has improved continually but not linearly since DDS doctrine was endorsed. Figure 2 shows the national access to drinking water trend since 2000.

Figure 2 : National access to drinking water (2000-2014, %)[6]

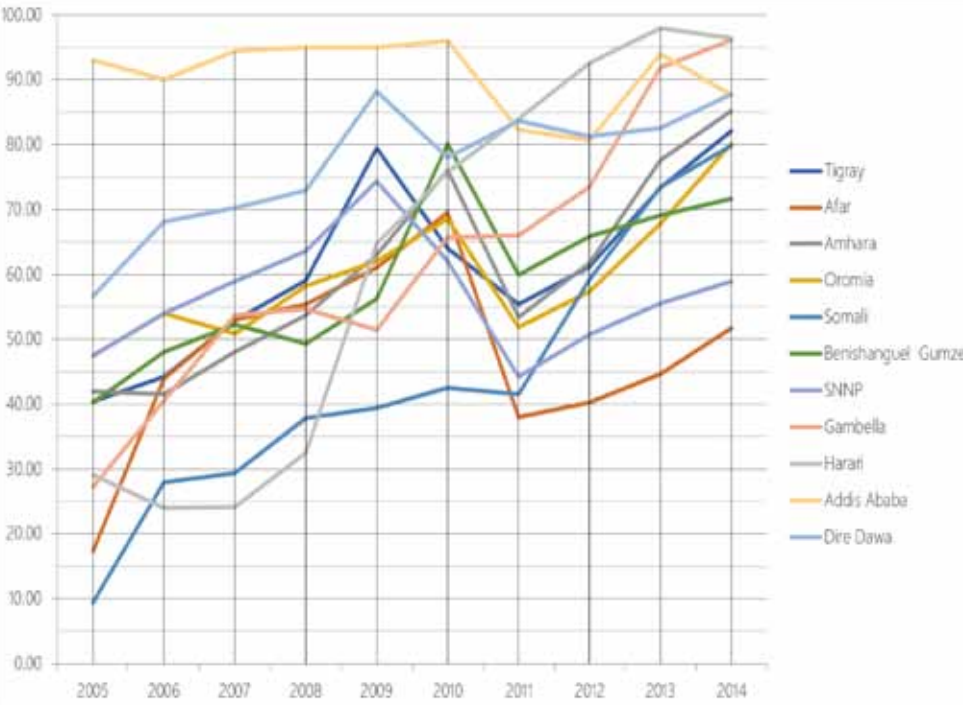


Sources: 2000-2004 (MoFED 2004), 2001 (WSDP 2002), 2002 (UN-Habitat 2014), 2005-2014 (MoWR et al. 2014)

6

Figure 2 indicates that national performance has improved from 30.8 % in 2000 to 76.72% in 2014. From 2000 to 2005, this improvement was modest, from 30.8% to 36.7%, and between the 2005-2014 access rates rose up to 76.72%. Access rates surprisingly dropped in 2011, from 68.5% to 52.12%, before shifting to a positive trend again (UN Habitat, 2014).

Figure 3: Access to Drinking Water per Region (2005-2014, % Population)[7]



Sources: 2000-2004 (MoFED 2004), 2001 (WSDP 2002), 2002 (UN-Habitat 2014), 2005-2014 (MoWR et al. 2014)

Access to Drinking Water by Regions

Figure 3 shows the evolution of access rates per region, for the period 2005-2014. It indicates, first, a significant initial inequality among Ethiopian regions, with access rates varying from 9.4% in Somali to 93% in the capital, Addis Ababa.

Over the period 2005-2014, this inequality is reduced. In 2014, Afar had the lowest access rate (51. 71%), and Harari the highest (96.46%).

Figure 3 moreover indicates that the surprising drop in national access observed in 2011 is mainly due to the Amhara, Benishanguel Gumze, Afar and SNNP regions and, to a lower extent, the Oromia, and Tigray regions and Addis Ababa city administration. The regions of Somali, Gambella, Dire Dawa and Harari were

7

spared.

A one-way analysis ANOVA) is performed on this data set. The ANOVA results on Table 1 indicate that access to drinking water differs significantly between regions ($F(11, 119) = 5.732$, $P<0.05$).

Table 1: ANOVA Results for Differences Between Regions

Access	Comparison	Sum of Squares	Df	Mean Square	F	Sig.
Region–Region	Between Groups	16319.423	11	1483.584	5.732	.000
	Within Groups	27953.707	108	258.831		
	Total	44273.130	119			

Source: Authors

A one-way post hoc comparison shows the difference is primarily because of significant access difference between many regions (see Annex 2). Note that significant access difference was not observed between Tigray, Amhara, Oromia, SNNP, Harari and Benishanguel Gumze regions. On the other hand, access to drinking water in Addis Ababa was significantly different from all regions except Dire Dawa City Administration.

Urban Versus Rural Access

Figure 4 shows the evolution in access rates in urban and rural areas of Ethiopia, aggregated at national level.

Figure 4 – Evolution of Access Rates, Urban Versus Rural (2005-2014, % of Population)[8]

Sources: 2000-2004 (MoFED 2004), 2001 (WSDP 2002), 2002 (UN-Habitat 2014), 2005-2014 (MoWR et al. 2014)

8

As can be seen from Figure 4, in 2005 urban centers (82%) were far better off than rural areas (38.66%) in terms of access to drinking water. By 2014, this gap had significantly decreased. This is mainly due to an impressive growth in rural areas (95.2%, from 38.66% to 75.48%); the access rate in cities having not significantly progressed (2.7%, from 82% to 84.21%; cf. Annex 1).

Annex 1 shows there were differences in access growth rate between regions by residence category. For instance, in 2011 in Gambella, one of the disadvantaged regions, access to drinking water in urban areas was 80.29 %, whereas that of Tigray; one of the better off regions, was 68.69%. In rural areas, the figure for these regions for the same period was 63.58% and 52.27% respectively.

In general, access growth rate was highest in rural areas, especially in disadvantaged regions such as Somali (1344.6%), Gambella (469.6%) and Afar (226%) (see annex 1). For example, in 2013 and 2014 access to drinking water in rural areas was greater than urban areas in Tigray, Amhara, and Benishanguel Gumze regions although there is a difference in standard (i.e. the standard for urban areas is 20l/p/d and that of rural is 15l/p/d).

Concerning access growth rate in urban areas, Somali had an increase of 211.8%, followed by Harari (180.7) and Dire Dawa (41.1%). A decline of 27.1%, 14.2 % and 5.7% in growth rate was observed for Benishanguel Gumze, Amhara and Addis Ababa. It should be noted that the increase in growth rate in Harari was attributed to low access in 2005 because of the dry up of Haramaya Lake (raw water source) and change of raw water source in 2010.

The trend shows rural–rural, and urban-urban inequalities between regions and within regions have reduced overtime. The inequality is reduced partly because of an increase in growth rate in rural areas and a decline in growth rate in urban centres in some regions.

But ANOVA-results in Table 2 indicate that there were significant inequalities between regions, both in urban ($F(11, 12) = 2.109$, $P<0.05$) and rural ($F(10, 109) = 2.207$, $P<0.05$) areas. Thus, the hypothesis is rejected.

A one-way post-hoc comparison illustrates access to drinking water in rural areas in Somali differs significantly from all regions, and Afar from Dire Dawa (see Annex 2). It also indicates that access in urban centers in Tigray and afar was significantly different from Addis Ababa; Amhara and Oromia from Somali and Harari; and Harari from Amhara, Oromia and Addis Ababa. Compared to all regions and national urban average, access to drinking water in urban areas in Benishanguel Gumze, SNNP, Gambella, and Dire Dawa regions was not significantly different. There was also no significant difference between Addis Ababa and Dire Dawa.

Table 2: ANOVA Results Rural-Rural versus Urban-Urban Rural Access Rate

Access	Comparison	Sum of Squares	Df	Mean Square	F	Sig.
Rural-Rural	Between Groups	6749.170	10	674.917	2.207	.023
	Within Groups	30274.483	99	305.803		
	Total	37023.653	109			
Urban-Urban	Between Groups	6280.716	11	570.974	2.109	.025
	Within Groups	29786.470	110	270.786		
	Total	36067.186	121			

Source: Authors

Discussions

Examining the evolutions in specialization and coordination of the water supply sector, it is observed that Ethiopia appeared to follow a comparable pattern as in OECD countries. In the first instance, many specialized organizations emerged. Following the 2005 election and the official endorsement of DDS doctrine, significant efforts were undertaken to coordinate water sector actors.

Analyzing the evolution in access rates to drinking water is identified that there was an overall impressive progression at the national level with a temporary interruption in 2011, a significant reduction in inequality among regions, and rural areas progressively closing the gap between them and cities.

Can access rates can be attributed to the coordination efforts undertaken since 2005? Three hypotheses for the increase in performance are formulated.

Coordination has Improved Access

According to the first hypothesis, the coordination efforts undertaken since 2005 have been fruitful.

The period 1991-2005 witnessed a significant increase in specialization. Vertically, the federalization process led to many layers of government (national, regional, zonal and local). In the water sector, a decoupling is introduced between policy design, resorting to the national level, and policy implementation for which local governments were made responsible; the layers in between fulfilling support and limited coordination functions. Horizontally, the period is characterized by SAP and NPM reforms, many private and non-profit actors sponsored by international donors were involved in drinking water supply. During this period, access rate rose from 30.8% to 36.7%, a progression of about 19%. All else being equal, this suggests that the impact of specialization was generally positive.

After the 2005 elections, the government has significantly strengthened its control over the Ethiopian society. In the water sector, this coordination effort is realized through the introduction of an overall framework for procurement, management, financing, reporting on water policy. All actors involved in the water supply sector were bound to the objectives, means, and network-type decision-making structures. Their autonomy is significantly limited. A limited decrease in specialization occurred. In some areas, regional governments took over the authority devoted to the local governments. Nevertheless, as shown in Figure 1, there was a spectacular improvement in access rates that followed the introduction of this framework: from 36.7% in 2005 to 76.72% in 2014, a progression rate of about 110%. Figure 2 and 3 further indicate that a catching up process occurred, with disadvantaged regions and rural areas progressively approaching the access levels enjoyed in better off regions and cities. All other things remaining equal, this suggests that coordination efforts were fruitful, especially in rural areas and disadvantaged regions. But this does not allow accepting the hypothesis that there is no significant access difference between regions and between residence categories at 0.05 confidence level.

The findings, however, corroborate the public administration literature in the OECD countries which attribute to the positive effects of NPM-led specialization and joined-up-governments' attempts at increasing coordination (Bouckaert et al. 2010; Verhoest et al. 2007). However, this research has not allowed identifying the empirical mechanisms through which specialization and coordination would have resulted in improved access rates in Ethiopia in 1995-2014. Although plausible, this hypothesis cannot thus be confirmed based on this study. Therefore, other hypotheses deserve examination.

Unreliability of Performance Information

The data used for this study were compiled principally from official Ethiopian sources. Indeed, UN also relied upon data that has its origins in official sources. Nevertheless, the compilation in this paper has an added value. This is because there are no longitudinal official data sets as to the access rates by region in urban and rural areas. An initiative to develop a national database for drinking water supply has been undertaken recently (UN-DESA & MoWE, 2011).

The trustworthiness of official performance reports can, however, be questioned on several grounds.

First, the fact that inaccessibility of data as to regional, urban and rural access rates before 2005 indicates that there was a disconnection between the federal and regional governments, and the practice of performance measurement and performance information incorporation are relatively new in Ethiopia. Thus, it is reasonable to expect that Ethiopian authorities have to climb a learning curve that is considered steep by several commentators.

Second, the sudden drop in performance noticed in 2011, which followed a National Water Supply and Sanitation Service Inventory conducted in 2011 (MoWIE, 2014) could indicate that figures were suddenly brought into closer alignment with reality.

Third, the performance targets were regularly adapted in various national plans during the period under consideration. Less ambitious indicators could have a mechanical effect to improve performance figures. Further analysis onto the variation of performance indicators is obviously required.

Finally, a developmental state earns its legitimacy from the development results. Thus, a country embracing this doctrine has a natural incentive to produce optimistic performance figures.

Environmental Causes

Performance figures can be attributed to many environmental factors, including variation in water resources and climatic conditions.

Concerning water sources and climatic conditions, for example, Gambella has relatively many water resources and has a wet climatic condition while Tigray region has semi-arid climate and relatively few water resources (MoWE, 2013).

Seasonal water source variation and climatic change, as well as human activities, may also contribute. A case in point was Harari Regional State whose access decreased (2005-2010) because of the drying up of a raw water source, i.e. Haramya Lake.

Conclusions and Policy Implications

This study has examined drinking water supply coordination mechanisms in the post-1990s Ethiopia and its effect on access to drinking water. Based on the evidence the following conclusions and policy implications are made.

Since 1991, drinking water supply is decentralized in two waves. In the first wave (1991-2000s) responsibility for drinking water supply was entrusted to regional governments and in the second wave (since the 2000s) the competence for drinking water supply has been relocated to local governments. Many fundamental drinking water legal frameworks and strategies that are issued between 1995 and 2005 remain unchanged fundamentally and the federal government remains responsible for policy design, regional governments for policy administration and local governments for drinking water supply. This led to a decoupling between policy design and policy implementation.

All legal documents and plans were rural biased and give priority to drinking water over other uses and containing components of NPM and DDS doctrine. Elements of NPM include efficiency, financial sustainability commercializing water service by applying "user pay principle" and performance-based financing (World Bank, 2013a; MoWR, 2002). The DDS perspective, on the other hand, regards government is responsible for addressing spatial disparities and historically entrenched socio-economic structural inequalities. Importantly, it should be noted that the two policy options were in trade-offs and perhaps the trade-offs may continue to rise. Because even the urban centers were not able to recover costs (Banerjee et al., 2008) and community standpipe users in towns/cities, often the poor and disadvantaged pay higher prices for water than private users (MoWE, 2013).

Following the 2005 national election, in general, there was a double trend towards greater harmonization, integration and systematic recentralization of authority on the one hand, and further decentralization of responsibilities for drinking water supply on the other. To this end, among others, the government has introduced Consolidated WASH Account and WASH structures at all government levels. It has also systematically weakened private sector and NGOs.

To some extent, the 2005 Paris Declaration and EU WASH programme support in Ethiopia have appeared to facilitate the harmonization and integration of water sector, but not the recentralization of local authority. Therefore, the past 2005 drinking water coordination approach, although has a comparable net effect, is certainly different from the ongoing approaches to strengthen vertical and horizontal coordination in OECD countries. Change in power relations is mediated by both internal factors (politics of the day) and external factors (pressure from NGOs and foreseen pressure from the private sector).

The harmonization initiatives have not improved the coupling between policy and management cycles and challenges of coordination may continue to rise. Administrative requirements of federal and regional institutions may challenge coordination capacity of local government and obstruct them from providing drinking water services to citizens and concentrate on administrative jobs, such as reporting. The challenges of coordination may also escalate due to administrative requirements by donors, a heavy demand for information, to avoid critique back home (Chambers, 2005, p. 32-34) and if official, practical and non-official norms are not compatible. Noteworthy also is that synergistic interaction between and among actors takes a long time, but the continued direct top-down approach may contribute to unwarranted delay.

The study showed overall access to drinking water is improved with a sudden drop in 2011; interregional inequality, and a rural-rural and urban-urban gap has narrowed over time, but the difference remained significant. On the surface, it seems that in underdeveloped markets such as in Ethiopia, a mix of NPM elements and DDS doctrine may help to reduce inequalities to drinking water supply. Nevertheless, cautions are needed. First, there are fluctuations in performance reports even since the DDS doctrine is introduced. Second, the study used aggregate access data and

unable to show socio-economic based horizontal interregional inequalities between and within regions and vertical inequalities within populations and groups. That would have been possible only if socio-economic disaggregated data have been used. Third, there are major concerns about how to balance equity and efficiency, given limited roles by the private sector and restrictive policy frameworks for NGOs (Gudina, 2009), and limited resource capacity of government at all levels and unpredictability of donor funds (Water Aid, 2013a, 2013b, 2013c). The other concern is about how to strengthen the capacity of actors to improve performance than who should play the critical role. This requires a political decision. The implication, however, is that whether historically entrenched top-down political culture and the top-down approach ensures sustainable drinking water supply remains an open question. But it is clear that unless otherwise this position is equilibrated by other actors from the bottom, such top-down planning and restrictive policy frameworks for NGOs could significantly constrain opportunity for co-production of drinking water and erodes the legitimacy of local government.

Bibliography

Adejumobi, S A (2007). *The history of Ethiopia*. Greenwood Publishing Group, California USA.

African Development Report (2005) 'Africa in the World Economy Public Sector Management', *Africa Economic and Social Statistics on Africa*, Oxford University Press.

African Union (2014). Agenda 2063 - African Union Commission Archives.

Axworthy, T & Sandford, B (2012) 'The Global Water Crisis: Framing the Issue', in *The Global Water Crisis: Addressing an Urgent Security Issue, Bigas, H, Morris, T, Sandford, B, and Adeel, Z.(ed) and Series ed (Axworthy T.)*, papers for the InterAction Council, 2011-2012, UNU-INWEH.

Banerjee, S, Skilling, H., Foster, V, Briceño-Garmendia, C, Morella, E, & Chfadi, T (2008) 'Ebbing Water, Surging Deficits: Urban Water Supply in Sub-Saharan Africa', *Background Paper*, *12*.

Adem, T A (2004) 'Decentralised There, Centralised Here': Local Governance and Paradoxes of Household Autonomy and Control in North-East Ethiopia, 1991–2001. *Africa*, *74*(04), pp 611-632.

Bekele, S & Regassa T (2012) 'Democratization in a Developmental State: The Case of Ethiopia Issues, Challenges, and Prospects', development brief www.et.undp.org, UNDP Ethiopia, accessed on December 20, 2014.

Bouckaert, G & Halligan, J (2008) *Managing performance, international comparisons*, Routledge Taylor &Francis Group, United Kingdom.

Bouckaert, G, Peters, B G, & Verhoest, K (2010) *The coordination of public sector organizations,* Palgrave Macmillan, Hampshire.

Castro, J and Heller, L (2009) *Introduction, in Water and Sanitation Services, Public Policy and Management* Edited by José Esteban Castro and Leo Heller, Earthscan Chambers, R. (2005) *Ideas for development, Institute of Development Studies, Earthscan.*

Christensen, T & Lægreid, P (2007) 'Transcending New Public Management, The Transformation of Public Sector Reforms', in *Christensen Lægreid edition*, Ashgate Publishing Limited.

Davis, J W (2008) Handbook of univariate and multivariate data analysis and interpretation with SPSS. *The American Statistician.*

Di Nunzio, M (2014) 'Do not cross the red line': The 2010 general elections, dissent, and political mobilization in urban Ethiopia', *African affairs*, adu029.

Edigheje, O (2010) *Constructing a Developmental State in South Africa: Potentials and Challenges in Constructing a Developmental State in South Africa* edited by Edigheje Omano, HSRC Press, South Africa.

FDER (1995) Federal Democratic Republic of Ethiopia Constitution, Federal Negarit Gaseta, Berhanana Salem Printing Press, Addis Ababa, Ethiopia.

FDRE (1995) 'Definition of Powers and Duties of The Executive Organs of The Federal Democratic Republic of Ethiopia Proclamation', Proclamation No. 4/1995, *Federal Negarit Gazeta*, Addis Ababa.

FDRE (2000) 'Ethiopian Water Resources Management', Proclamation No. 197/2000, *Federal Negarit Gazeta*, Addis Ababa.

FDRE (2002) 'Water Resources Development Fund Establishment and its administration Proclamation', Proclamation No. 268/2002, *Federal Negarit Gazeta*, Addis Ababa.

FDRE (2005) 'Ethiopian Water Resources Management Regulations', Council of Ministers Regulation No. 115/2005, *Federal Negarit Gazeta*, Addis Ababa.

FDRE (2009) 'Charities and Societies', Proclamation No.621/2009, *Federal Negarit Gazeta*, Addis Ababa.

FDRE (2010) 'Definition of Powers and Duties of the Executive Organs of the Federal Democratic Republic of Ethiopia Proclamation', Proclamation No. 691/2010, *Federal Negarit Gazeta*, Addis Ababa.

FDRE (2013) 'Definition of Powers and Duties of the Executive Organs of The Federal Democratic Republic of Ethiopia (amendment)', Proclamation N° 803/2013 *Federal Negarit*

Gazeta, Addis Ababa.

FDRE (2013) 'One WASH National Program', The WASH Implementation Framework (WIF), March 2013, Addis Ababa.

FDRE (2014) 'One WASH National Program', Program Operational Manual for the Consolidated WASH Account's September 2014.

FRDE (2014) 'Quarterly WASH Sector Update Bulletin', *WASH Ethiopia Movement*, vol 02, issue 01, Jan- Mar, 2014.

Furlong, K (2012) 'Good water governance without good urban governance? Regulation, service delivery models, and local government', *Environment and Planning A*, *44*(11), pp 2721-2741.

Mengesha, G H, & Common, R. (2007) 'Public sector capacity reform in Ethiopia: a tale of success in two ministries?' *Public Administration and Development*, *27*(5), pp 367-380.

Gudina M (2009) 'Civil Societies and Transition Politics in Ethiopia', in *discourses on Civil Society* in Keneya in Wandyande Peter and Okebe M.A. Edition, African Research and Resource Forum (ARRF) Nairobi, Kenya.

Hagmann, T, & Abbink, J (2011) 'Twenty years of revolutionary democratic Ethiopia, 1991 to 2011', *Journal of Eastern African Studies*, vol *5*(4), pp 579-595.

Joshi, D K (2012) 'Varieties of Developmental States: Three Non-Western pathways to the millennium development goals', *Journal of Developing Societies*, vol *28*(3), pp 355-378.

Kim, P (2015) *Locating Neoliberalism in East Asia: Neoliberalizing Spaces in Developmental States*, edited by Bae-gyoon Park, Richard Child Hill, and Asato Saito. Malden, MA: Wiley-Blackwell, 2012, Contemporary Sociology, Reviews

Kothari, C R (2004) *Research methodology: Methods and techniques*. New Age International.

Lefort, R (2012) Free market economy, 'developmental state' and party-state hegemony in Ethiopia: the case of the 'model farmers'. *The Journal of Modern African Studies*, *50*(04), 681-706.

Leftwich, A (2000) *States of development: On the primacy of politics in development*. Cambridge: Polity.

Lukauskas, A (2002) 'Financial Restriction and the Developmental State in East Asia: Toward a More Complex Political Economy', *Comparative Political Studies*, vol *35*(4), pp 379-412.

Maserumule, M H (2012) 'Politics of transition in South Africa and the post-1994 democratic state', *Journal of Asian and African Studies*, vol *47*(3), pp 301-314.

MOFED & United Nations Country Team Ethiopia (2012) *Assessing Progress Towards the Millennium Development Goals*, Addis Ababa: MOFED.

MoFED (2002) SDPRP, Economic Development Plan.

MoFED (2002) Sustainable Development and Poverty Reduction Program (SDPRP) (2002-2005).

MoFED (2004) Ethiopia MDGs Needs Assessment Water Supply Tropics Consulting Engineers Plc.

MoFED (2005) PASDEP, Economic Development Plan

MoFED (2005) Plan for Accelerated and Sustained Development to End Poverty (PASDEP) (2005-2010).

MoFED (2010) 'Growth and Transformation Plan 2010/11-2014/15', 2 volumes, Government of Ethiopia, Addis Ababa.

MoWE (2013) 'National Guideline for Urban Water Utilities Tariff Setting', March 2013, Addis Ababa.

MoWE (2013) 'Water Supply and Sanitation Program - WASH II', Resettlement Policy Framework Draft, October 2013, Addis Ababa.

MoWE (2013) National Guideline for Urban Water Supply and Sewerage Services, Organization Set Up, Addis Ababa.

MoWE (2011)National WASH Implementation Framework, Ethiopia, Draft, www.mowr.gov.et accessed on August, 2014.

MoWE (2013) National Guideline for Urban Water Utilities Tariff Setting MoWI (2011) National WASH Implementation Framework, Ethiopia, Draft, accessed on August, 2014.

MoWIE (2014) 'Public Relation and Communication Directorate', *Bulletin*, September, 2014.

MoWIE (2014) *Manual for Accelerating Self Supply, Water supply and Sanitation,* Directorate, Elmes printing press, Addis Ababa.

MoWR (1999) Ethiopian Water Resources Management Policy, Accessed August 2014.

MoWR (2001) Ethiopian Water Sector Strategy, Accessed August 2014.

MoWR (2005) National Water Supply and Sanitation Master Plan.

MoWR (2005) UAP for Water and Sanitation Service.

MoWR (2006) Revised UAP for Water and Sanitation Service.

MoWR (June 2002) 'Water Sector Development Program', vol. IV, Water Supply and Sanitation.

MoWRIE , www.mowr.gov.et.

Mukokoma, M M N & van Dijk, M P (2013) 'New Public Management Reforms and Efficiency in Urban Water Service Delivery in Developing Countries: Blessing or Fad?', *Public Works Management & Policy*, vol 18(1), pp 23-40.

National Graduate Institute for Policy studies (GRIPS) (2009) Development Form (GDF) Frist Round Policy Dialogue Between Ethiopia and Japan, Addis Ababa.

National Planning Commission (2016) Growth and Transformation Plan II (GTP II) (2015/16-2019/20) of the Federal Democratic Republic of Ethiopia, Volume I: Main Text

Ndokosho, J, Hoko, Z, & Makurira, H (2007) 'Assessment of management approaches in a public water utility: A case study of the Namibia water corporation (NAMWATER)', *Physics and Chemistry of the Earth, Parts A/B/C*, *32*(15), pp 1300-1309.

Neocosmos, M (2010) 'Analysing political subjectivities: naming the post-developmental state in Africa today', *Journal of Asian and African Studies*, vol *45*(5), pp 534-553.

Oromia National Regional Government (2005) 'A proclamation to amend the urban water supply and sewerage service', *Proclamation* No. 97/2005, Megeleta Oromia, Finfine

Pangare, G & Idris, L (2012) *Water and Health Security, in The Global Water Crisis: Addressing an Urgent Security Issue*, Bigas, H, Morris, T, Sandford, B, and Adeel, Z. (ed) and Series ed (Axworthy T.) Papers for the InterAction Council, 2011-2012, UNU-INWEH.

Paulos, C (2007) 'Clientelism and Ethiopian's post 1990 Decentralization', *Journal of Modern African Studies*, Cambridge University Press.

Peterson, S B (2015). *Public Finance and Economic Growth in Developing Countries: Lessons from Ethiopia's Reforms*, Routledge.

Pollitt, C (2007) 'Convergence or Divergence: What has been Happening in Europe?' in *New Public Management in Europe, Adaptation and Alternatives* edited by Pollitt Christopher, Thiel Sandra van and Homburg Vincent, Palgrave Macmillan.

Pollitt, C & Bouckaert, G (2011) *Public Management Reform; A comparative Analysis: New Public Management, Governance and the Neo-Weberian State*, third ed. Oxford University Press.

Snyder, K A, Ludi, E, Cullen, B, Tucker, J, Zeleke, A B, & Duncan, A (2014) 'Participation and performance: decentralised planning and implementation in Ethiopia' *Public Administration and Development*, *34*(2), pp 83-95.

Tewfik, H (2010) 'Transition to Federalism: The Ethiopian Experience', *Forum of Federations ISSN: 1922-558X* (online ISSN 1922-5598)1.

Transitional Government of Ethiopia (1992) ADLI, Economic Development Plan.

Transitional Government of Ethiopia (1992). Proclamation to Provide for the Establishment of National/ Regional Self-Governments, Proclamation No.7/1992, Negarit Gazeta, Addis Ababa.

Transitional Government of Ethiopia (1993) Proclamation defining the powers and duties of the central and regional governments, Proclamation No.41/1993, Negarit Gazeta, Addis Ababa.

Transitional Government of Ethiopia (1994) A Proclamation to Provide for the Utilization of Water Resources, Proclamation No. 92/1994, Negarit Gazeta, Addis Ababa.

Transitional Period Charter of Ethiopia (1991), Charter No.1 of 1991, Negarit Gazetta, Addis Ababa.

Turner, M O'Donnell M, Suh C, & Kwon S, (2013) 'Public sector management and the changing nature of the developmental state in Korea and Malaysia', *Symposium Introduction,* The Economic and Labour Relations Review, vol 24(4), pp 481–494.

UN (2000) Millennium Declaration, UN, New York.

UN (2015) The Sustainable Development Goals Declaration. General Assembly (71/1).

UN Habitat (2014) Structural Transformation in Ethiopia: The Urban Dimension, Building 'Economically Productive, Socially Inclusive, Environmentally Sustainable & Well Governed' Cities.

UN-DESA and MoWE (2011) Strengthening Water Sector Monitoring and Information System in Ethiopia with GIRWI Project: Second Phase Consolidated report on: Component I: Methodological Analysis of Indicators, Component III: Elaboration of a general system of water sector monitoring and Information, Addis Ababa, Ethiopia United Nations Economic Commission for Africa (UN – ECA) (2011). Economic Report on Governing development in Africa - the role of the state in economic transformation, UN-ECA, Addis Ababa, Ethiopia.

United Nations Educational, Scientific, and Cultural Organization World Water Assessment

Program (UN-WATER/WWAP) (2006). National Water Development Report for Ethiopia (Final), Addis Ababa, December 2004.

Verhoest, K, Bouckaert, G, & Peters, B G (2007)' Janus-faced reorganization: specialization and coordination in four OECD countries in the period 1980—2005', *International review of administrative sciences*, *73*(3), pp 325-348.

Water Aid Ethiopia (2013a) Financing WASH in Schools to Deliver Quality Education for All, Briefing note. www.WaterAid Ethiopia.org.

Water Aid Ethiopia (2013b) Challenges and Possible Solutions for Financing WASH, UK Aid, December 2013.

Water Aid Ethiopia (2013c) Field Notes for Cascading the WASH Implementation Framework, WaterAid Ethiopia with financial support from DFID WASH Harmonization and Capacity Building Initiative, UK Aid, September 2013.

Water and Sanitation Program (2011) Water Supply and Sanitation in Ethiopia: Turning Finance into Services for 2015 and Beyond, An AMCOW Country Status Overview, https://wsp.orgWorld Bank (2013a). Federal Democratic Republic of Ethiopia Public Sector Reform Approach Building the Developmental State – A Review and Assessment of the Ethiopian Approach to Public Sector Reform, The World, USA, Washington DC.

World Bank (2013b), Ethiopia Economic Update II: Laying the Foundation for Achieving Middle Income Status, Report 78501, World Bank, Washington, DC.

Zenewi, M. (2006) 'African Development: Dead Ends and New Beginnings', *Preliminary Draft*, accessed on, January 05, 2015.

Annex 1: Access to Drinking Water by Regions and Residence Since 2005

Region		Population access (%) After democratic DS ideology										Ave.	Growth Rate (%)
		2005	2006	2007	2008	2009	2010	2011	2012	2013	2014		
Tigray	**Region**	**40.4**	**44.3**	**52.8**	**59.1**	**79.4**	**64**	**55.4**	**61.2**	**73.36**	**82.18**	**61.2**	**103.4**
	Urban	64	50.9	60	72	76.8	85.3	68.69	72.05	70.19	75.39	69.5	17.8
	Rural	35	42.8	51.15	56	80	58.8	52.27	58.64	74.09	83.77	59.2	139.3
Afar	**Region**	**17.3**	**44**	**52.98**	**55.4**	**61**	**69.5**	**38.02**	**40.32**	**44.73**	**51.71**	**47.5**	**198.9**
	Urban	41.1	73	73	77.4	77.7	86	82.22	80.68	79.19	82	75.2	99.5
	Rural	14.9	41.1	51	53.1	58.4	67	34.96	37.53	42.35	48.58	44.9	226
Amhara	**Region**	**42**	**41.5**	**48**	**53.7**	**63.1**	**76**	**53.43**	**61.83**	**77.62**	**85.27**	**60.2**	**103**
	Urban	97	80	82	87.8	90.1	90	65.95	70.65	72.82	83.25	81.9	-14.2
	Rural	35	36.6	47.45	49	59.3	80	51.95	60.79	78.38	85.51	58.4	144.3
Oromia	**Region**	**47.5**	**54**	**50.9**	**58.3**	**62.1**	**68.5**	**51.82**	**57.4**	**67.92**	**80.13**	**59.9**	**68.7**
	Urban	75	64.5	66	97.9	*94*	95.5	74.16	85.12	85.15	86.05	82.3	14.7
	Rural	45	53	58	52	57.6	64.5	49.83	54.94	66.38	79.49	58.1	76.6
Somali	**Region**	**9.4**	**28**	**29.44**	**37.9**	**39.5**	**42.5**	**41.6**	**59.2**	**73.48**	**79.88**	**44.1**	**749.8**
	Urban	29.3	60	60	61.6	76.5	76.5	74.56	80.71	89.21	91.37	64.5	211.8
	Rural	5.4	21.5	23.26	32.9	33.5	37	36.11	56.12	70.09	78.01	39.4	1344.6
Benishanguel Gumze	**Region**	**40.3**	**48**	**52.33**	**49.3**	**56.3**	**80.2**	**59.92**	**65.84**	**69.18**	**71.70**	**59.3**	**77.9**
	Urban	89.5	66.2	85.56	93.1	84.7	90.1	66.84	69.76	63.77	65.27	77.5	-27.1
	Rural	35	46	48.72	44.3	51.5	81	59.64	65.58	69.39	72.23	57.3	106.4
SNNP	**Region**	**47.5**	**54**	**59**	**63.6**	**74.3**	**62**	**44.29**	**50.72**	**55.57**	**59.01**	**56.9**	**24.2**
	Urban	75	64.5	66	72.1	74.9	90.9	65.95	75.53	94.36	97	77.6	29.3
	Rural	45	53	58	63	74.2	58.7	42.9	65.68	53.07	56.07	56.9	24.6
Gambella	**Region**	**27.2**	**40.6**	**53.71**	**54.7**	**51.4**	**65.7**	**66.09**	**73.58**	**91.85**	**96.10**	**62.1**	**253.3**
	Urban	72.2	37	72.9	98.6	71.5	73	80.29	85.71	98	97.57	78.7	35.1
	Rural	16.8	41.4	49.43	43.9	44.6	63.1	63.58	71.44	85.72	95.69	57.6	469.6
Harari	**Region**	**29.1**	**24**	**24.13**	**32.5**	**64.7**	**75.8**	**84.01**	**92.57**	**98**	**96.46**	**62.1**	**231.5**
	Urban	34.2	21	21	27.5	72	95	99.99	97.18	98.79	96.01	66.3	180.7
	Rural	20.8	29	29.24	41	56	53	65.11	87.12	97	97	57.5	366.3
Addis Ababa	**Region (City)**	**93**	**90.1**	**94.42**	**95**	**95**	**96**	**82.22**	**80.71**	**94**	**87.7**	**90.8**	**-5.7**
	Urban	93	90.1	94.42	95	95	96	82.22	80.71	94	87.7	90.8	-5.7
Dire Dawa	**Region (City)**	**56.7**	**68.2**	**70.21**	**73**	**88.2**	**78.1**	**83.77**	**81.27**	**82.55**	**87.84**	**76.9**	**54.9**
	Urban	62	72	72	72	94	79.7	87.57	85.45	83.42	87.49	77.5	41.1
	Rural	41	57	65.07	75.8	75.8	76	75.61	77.06	85.3	88.59	71.7	116.1
National	**National**	**45.59**	**47.3**	**52.46**	**59.3**	**66.2**	**68.5**	**52.12**	**58.25**	**68.45**	**76.72**	**59.5**	**68.3**
	Urban	82	78.8	82.02	86.2	88.6	91.5	74.64	78.71	81.31	84.21	82.8	2.7
	Rural	38.66	42.2	46.39	53.9	61.5	65.8	48.85	55.21	66.54	75.48	55.5	95.2

Source: MoWR/MoWE/MoWIE

Annex 2: One way Post hoc Comparisons Rural-Rural, Urban- Urban and Region-Region

Region	Rural (Sig)	Urban (Sig)	Regional (Sig)
Tigray	Somali. (013)	Addis Ababa (.005)	Somali (.019), Addis Ababa. (000) Dire Dawa (.031)
Afar	Dire Dawa (.001)	Addis Ababa (036)	Gambella (045) Harari (044), Addis Ababa (.000) , Dire Dawa (000)
Amhara	Somali (.017)	Somali (.017) Harari. (035)	Somali (.027), Addis Ababa (.000), Dire Dawa(.022)
Oromia	Somali (.019)	Somali (.014) Harari (.031)	Somali (.031), Addis Ababa (.000), Dire Dawa (.019)
Somali	Tigray (.013), Amhara (.017), Oromia (.019) Benishanguel Gumze (.024), SNNP (.027), Gambella (.022) Harari (.022) Dire Dawa (000), and National. (043)	Amhara (.017) Oromia (.014), Addis Ababa (.000)) National. (012)	Tigray (.019), Amhara (.027), Oromia (.031), Benishanguel Gumze (.037) , Gambella (.014) Harari.(014), Addis Ababa.(000), Dire Dawa (.000), National.(035)
Benishanguel Gumze	Somali (.024)	NO	Somali (.037), Addis Ababa. (000), Dire Dawa (.016)
SNNP	Somali (.027)	NO	Addis Ababa. (000), Dire Dawa(006)
Gambella	Somali (.022)	NO	Afar (.045), Somali (.014), Addis Ababa (.000), Dire Dawa (.041)
Harari	Somali (.022)	Amhara (.035), Oromia (.031), Addis Ababa (.001) National (.027)	Afar (.044), Somali (.014), Addis Ababa (000), Dire Dawa (.041)
Dire Dawa	Afar (.001), Somali (.000), National (.040)	NO	Tigray (.031), Afar (.000), Amhara (.022), Oromia. (019), Somali (.000), Benishanguel Gumze. (016), SNNP (.006), Gambella (.041), Harari (.041), National (.017)
National	Somali (.043), Dire Dawa (.040)	Somali. (012), Harari (.027)	Somali (.035), Addis Ababa (000) Dire Dawa (.017)
Addis Ababa (urban)		Tigray (.005), Afar (.036), Somali (.000), Harari (.001),	Tigray (.000), Afar (.000), Amhara (.000), Oromia (.000) Somali (.000), Benishanguel Gumze (000), SNNP (.000), Gambella. (000), Harari. (000), National (.000)

Source: Authors

Managing Performance in Ethiopian Municipalities: Analysis of Technical Efficiency of Urban Water Services in Oromia National Regional State

Bacha Kebede Debela[9] *and Steve Troupin*[10]

Abstract

Concerns to improve access to drinking water increasingly receive global attention. Using a five-year data set, this study examined the technical efficiency of Grade 2B Municipalities in Oromia National Regional State, Ethiopia, in drinking water supply. It finds that many municipalities should improve their efficiency by augmenting short failed outputs. It points out that inefficient municipalities need to understand potential tensions between efficiency improvement strategies and their impact on Triple Bottom Line dimensions. It argues that using longitudinal data and different DEA model specifications have managerial and policy, and methodological relevance.

Keywords: Ethiopia, Municipalities, Efficiency, Urbanization, and Sustainable

Acknowledgments

This study has been carried out in the framework of the academic cooperation to development project "Strengthening Institutional Capacity to Support Public Administration and/or Development Management Programmes at Ambo University" between KU Leuven University and Ambo University, financed by VLIR-UOS (Belgium). Thus, authors are grateful for the support of these institutions. The authors are also thankful to the Oromia Water Resources and Energy Bureau for providing support and useful documents. We also thank the participants of open call group at the IIAS Congress, 29 May to 02 June 2017, Aix-en-Provence-France, in particular Christian Schwab from University of Postdam (Germany) and Dominique Köppen, German University of Administrative Sciences Speyer, for their constructive comments and suggestions. We also thank Prof. Nils Soguel, University of Lausanne, Switzerland for his useful comments at IDHEAP/IMPGT/ KU Leuven Doctoral Seminar, June 22-23, 2017.

9 Bacha Kebede Debela (Ph.D.) is an Assistant Professor at Ambo University, Department of Public Administration and Development (Ethiopia); bacha.kebede@ambou.edu.et

10 Steve Troupin (Ph.D.) is a Lecturer at KU Leuven Public Governance Institute and Strategic Projects Officer at International Institute of Administrative Sciences (IIAS); steve.troupin@kuleuven.be.

Introduction

Ensuring access to drinking water remains a global agenda. In 2000, the seventh United Nations (UN) Millennium Development Goal (MDG) aimed at halving the proportion of people without access to drinking water by 2015 (UN, 2000). Access to drinking water still figures high in the UN Sustainable Development Goals (SDGs). Goal 6 aims to "achieve universal and equitable access to safe and affordable drinking water for all by 2030" (UN, 2015).

However, ensuring access to drinking water remains challenging due to the increasing pressure from population growth, urbanization, agriculture, industry, and other sectors all competing for water (Axworthy & Sandford, 2012; Pangare & Idris, 2012; Neto; 2016), to the historically significant structural social inequalities (Castro & Heller, 2009), and to the increasing need to ensure sustainable use of water resources (Neto, 2016; Akhmouch & Correia, 2016).

Ethiopia, like many other countries, has recognized the importance of ensuring access to drinking water to improve the well-being of society and enhance socio-economic development (MoWR, 1999). It has also subscribed to the MDGs and SDG. In its Growth and Transformation Plan (GTP I), the country aimed at 100% urban drinking water coverage with 20 liters per day per person within 0.5 km by 2014-15 (MoFED, 2010). In GTP II, the target is revised, and the country has aimed at 75% urban access (National Planning Commission, 2016).

In Ethiopia, drinking water supply has been decentralized in two waves: from central to regional governments in 1991-1995 in the framework of a Structural Adjustment Program and is further down to local governments under the motto of New Public Management since the beginning of the 2000s (Transitional Government of Ethiopia, 1993; Peterson, 2015). Since 2005 the government has strengthened vertical and horizontal coordination in compliance with the 'Democratic Developmental State' (DDS) doctrine (Lefort, 2012; Peterson, 2015). Under the DDS doctrine, the regime in power wanted to obtain legitimacy by development results and determined to closely control all actors including those engaged in drinking water supply and citizens at all levels, primarily using local government as an instrument to connect federal–state–local government/society (Peterson, 2015).

The Ethiopian policy on drinking water supply emphasizes efficiency (MoWR, 1999). Yet researches on the efficiency of urban local governments in drinking water supply remain scarce. Arsano et al. (2010) covered only two municipalities in Ethiopia, while Banerjee et al. (2008) performed a generic study. Furthermore, these studies have not used Data Envelopment Analysis (DEA), the contemporary approach, which is used in other countries to analysis performance of the public sector. Unlike Stochastic Frontier Analysis (SFA), DEA allows one to analyze the performance of organizations that uses multiple inputs and outputs (Fuentes et al., 2017; Ferro & Mercadier, 2016). Second, remarkably, micro-level studies which have assessed tensions, using DEA, which could surface when the local governments

aim to achieve the three performance goals: economic, social and ecological, which are codified as the Triple Bottom Line (TBL) are scarce, if not absent. The TBL emphasizes concurrently auditing economic, social and ecological performance (Wiedmann & Lenzen 2008).

This paper tries to fill these gaps in the literature by comparing the technical efficiency of 29 Grade 2B towns in Oromia National Regional State (ONRS)[11], Ethiopia using DEA reference technology. The study sought to answer the question: What is the relative technical efficiency of Grade 2B towns of the Oromia National Regional State, Ethiopia, in urban drinking water supply? How to construct DEA model specifications to improve performance and accountability for performance?

To answer the research questions, a longitudinal data, from the 29 municipalities, on two inputs and five outputs were collected. Furthermore, to allow comparability of cases, urban population is used as non-discretionary input. Moreover, to check the robustness of efficiency scores 42 DEA model specifications were performed. The study finds many municipalities need to improve their technical efficiency on the TBL dimensions. It also finds trade-offs between and among TBL elements. Thus, the paper contributes to the essence of SDGs agenda via stimulating dialogue among drinking water supply actors. It also adds to evolving literature on local government performance management.

The current paper unfolds as follows. The next section offers institutional and analytical frameworks. The section on research methodology follows. In the fourth section, collected data are analyzed and the results are presented. Lastly, concluding remarks are given.

Institutional Framework: An Overview

In Ethiopia, drinking water supply has been decentralized from central to regional governments in 1991 and then further down to local governments since the beginning of the 2000s (Transitional Government of Ethiopia, 1993; Peterson, 2015). However, since the 2005 the regime in power wanted to strengthen vertical and horizontal coordination to reinforce the 'Democratic Developmental State' (DDS)

11 Oromia is the largest and most populous National Regional State in Ethiopia. It occupies 363.136 km2. In 2011/12 the population of the region was estimated at 28 million, accounting about 35 percent of the Ethiopian population. In 2012, about 4 million people (15%) lived in urban centers (CSA, 2012).

In 2013, there were 546 urban centres in Oromia National Regional State (Industry and Urban Development Bureau of Oromia, 2013), 6 of which were 1st Grade towns, 38 were 2nd grade towns (6 Grade 2A and 32 Grade 2B), 55 were 3rd grade towns ranging from 3A to 3D, and the remaining (466) were 4th grade towns ranging from 4A to 4C (IUDBO, 2013). Grade one towns/cities have more than 90,000 residents, Grade two towns/ cities have inhabitants from 45,000 to 89,999, Grade three towns have residents between 10,000 to 44,999 while grade four towns have populations from 2,000 to 9,999 (Oromia National Regional Government, 2003).

doctrine (Lefort, 2012; Peterson, 2015).

The ONRS established Urban Local Government in 2003 (ONRS, 2003). The objectives of urban local government, among others, include to promote self-rule and good governance and to ensure efficient and equitable urban services supply. The Region postulates the Council–Mayor Urban Governance Model type of the urban local government. The principal executive power is vested in the elected Mayor and the Mayor's Committee. The city council has legislative power and the final authority on urban issues. The Mayor is accountable to the city council and the president of the region. Among others, he/she is responsible to ensure efficient, effective and equitable municipal services and submit performance reports to the city council and the regional bureau. The municipal service is managed by a professional municipal manager. The manager has extensive executive powers and functions. He or she is responsible for the delivery of municipal services and accountable to the Mayor (Ibid).

The ONRS established Urban Water Supply and Sewerage Service Enterprise in 2004 (ONRS, 2004). In line with national water policy (MoWR, 1999), the region's proclamation No. 78/2004 urges the enterprise to operate based on the cost recovery principle and to establish a system that increases efficient and effective services. It spells out that the enterprise should be governed by an autonomous water board. The board is responsible for financial sustainability of the enterprise as well as protecting citizens from undue charges (MoWRE, 2013).

However, Proclamation No. 97/2005 has centralized the authorities of the water board and local government council. According to this proclamation, water board of Grade 1 and Grade 2 cities are accountable to the Oromia Water Resources Bureau and that of Grade 3 and Grade 4 cities are answerable to the Zonal Water Resources Office. Unlike Proclamation No. 78/2004, the chairperson of the water board for Grade 1 and Grade 2 cities is assigned by the Oromia Water Resources Bureau, and by the Zonal Water Resources Office for Grade 3 and Grade 4 cities, not by the town administrator/mayor. Furthermore, the tariff structure in Grade 1 and Grade 2 cities is ratified by the Regional Bureau and by the Zonal Water Resource Office in Grade 3 and Grade 4 cities, not by the local government council.

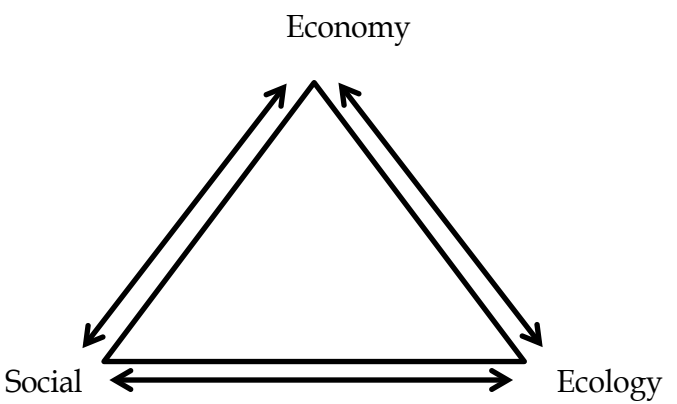
The centralization of local government council and water board appears to mirror a commitment to enforce DDS doctrine which is officially endorsed following the 2005 national election, in which the government lost significant vote, particularly in urban areas (Lefort, 2012; Peterson, 2015). Although the political factors seem to be stronger, the One WASH programme framework, supported by the EU WASH programme, which intends to put in place integrated coordination structures across the water, health and education sectors, has also appeared to facilitate a trend towards greater vertical and horizontal harmonization (Water and Sanitation Programme, 2011).

Analytical Frameworks

The TBL as Analytical Framework

TBL provides a strategic framework to measure and report organizational performance against social, economic, and ecological dimensions including drinking water supply (Glavas & Mish, 2015). The necessity of integrating the three dimensions in performance management is underscored by several international legal frameworks, protocols and reports on water and environment (Dublin Statement and Report of the Conference, 1992; Solanes & Gonzalez-Villarreal, 1999; Munkonge & Harvey, 2008; UN, 1992; UN, 2000, 2012, 2015; Akhmouch & Correia, 2016; WHO & UNICEF, 2012; WHO & UNICEF, 2013; European Commission, 2014; Neto, 2016). The concept of TBL is crucial for urban water services, particularly when it comes to 'strong sustainability' perspective. The reason is that cities mainly contribute to socio-economic development rather than to ecological benefits (Mori & Christodoulou, 2012). The TBL, however, is generic (Pope et al., 2004). Nevertheless, the production model further operationalizes the TBL elements. Figure 1 shows the relationship between TBL elements. The economy-equity corner focuses on efficiency (cost recovery and financial sustainability), fairness and effectiveness (affordability) in drinking water supply. In the ecology-equity corner, environmental justice (sustainable withdrawals) comes into view while equity is still at the forefront. The economy-ecology dimension seeks profitability (efficiency) and ecological justice (Flint, 2013).

Figure 1: TBL Model.



Source: Adopted from Flint (2013; p, 82).

However, trade-offs are expected as it is difficult for decision makers to realize the two or the three interests concurrently without having 'less of the other' and the search to tackle unachieved interests leads to the cyclical pattern (Pollitt & Bouckaert, 2011; Lieberherr, 2016). The trade-offs are assumed to be higher in developing countries (UNDP, 2006). For instance, the increased competition for water among various actors for economic gains (economic) may not be easily balanced with the need to supply drinking water to increased population at affordable price (social) and reduce the over-exploitation of water resources (ecology) (UN, 2006; UNDP, 2006). It is difficult for utilities, particularly in low-income countries, to balance commercial (economy) and social (equity) objectives. For example, Schwartz et al. (2017) in their study on two Kenyan utilities finds cost recovery principle forced utilities to ignore low-income areas in expanding services. Table 1 shows the trade-offs and the hypothetical relationship between TBL elements. The table shows, in the worst case, an organization will not address all elements of TBL.

Table 1: The TBL Matrix

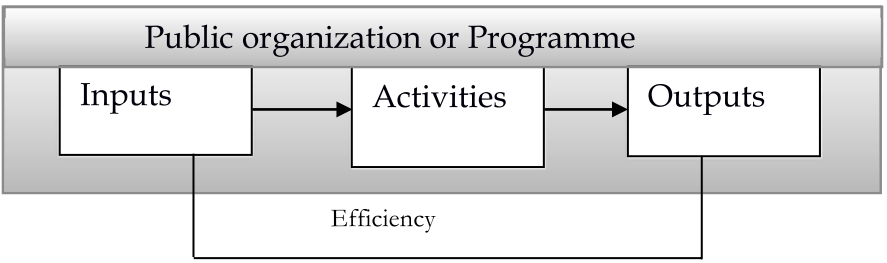
		Criteria	
Social	Economy	Ecology	System result
Low	Low	Low	Low (bad shape)
Low	Low	High	Ecological
Low	High	Low	Economy
Low	High	High	Economy-ecology
High	Low	Low	Social
High	Low	High	Socio- ecology
High	High	Low	Socio- economy
High	High	High	TBL

Source: Authors

Production Process Model as Analytical Framework

Many studies of performance management in the public sector rely on Pollitt and Bouckaert's (2011) production process model. Figure 2 presents the three elements of the production process model and one generic criterion of performance assessment derived from the model.

Figure 2: The Production



Source: Adapted from Pollitt & Bouckaert (2011)

Inputs refer to resources (human and non-human) that are deployed by organizations to produce output (Pollitt & Dan, 2013). Activities comprises operational and management functions such as organizational structure and arrangements, allocation of authority and working procedures (Pollitt & Dan, 2013). Outputs refer to what an organization or a programme delivers or produces (Pollitt & Bouckaert, 2011).

Efficiency refers to the ratio of inputs to outputs (Woodybury & Dollery, 2004). In general, an organization/policy is performing well if it maximizes the outputs produced with a given set of inputs or if it minimizes inputs used to produce a given set of outputs (Woodybury & Dollery, 2004). Table 2 present description of inputs and outputs used.

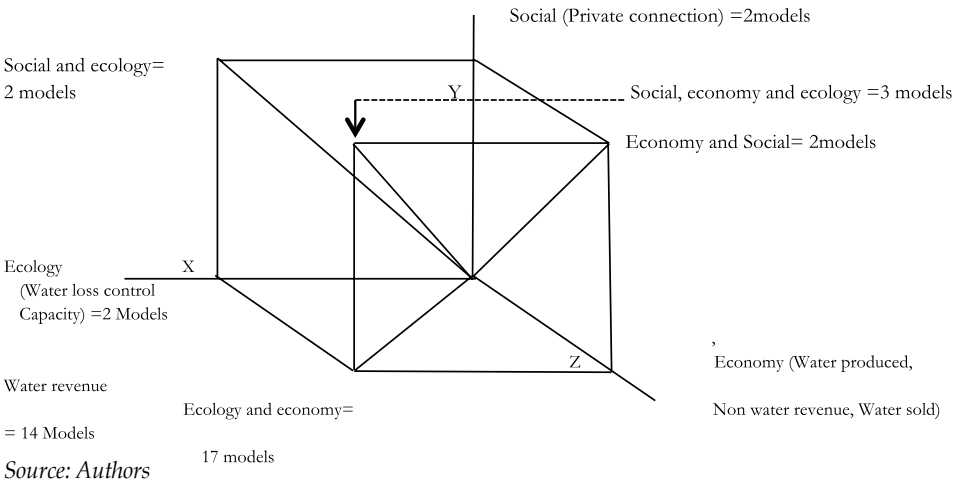
Table 2. Description of Input and Output Variables

Variables	Description
Inputs Variables	
Permanent staff	Total number of full-time equivalent staff of the urban water supply and sewerage service enterprise.
Expenditure	Amount of total financial resource committed to produce drinking water in100.
Outputs Variables	
Water produced (economy)	Total amount of water produced by the enterprise in $km^{3.}$
Water sold (Economy)	Total volume of water sold in km^3
Water loss (transformed into water loss control capacity) (ecology)	Volume of water loss in m^3 because of illegal connection, authorized but not billed water, leakages, and institutional uses. Since it is unintended negative output, the amount was transformed into water loss control capacity.
Private connections (Social)	The total number of number of households and institutions (public, business and non-for- profit organizations) that have private connection in hundreds.
Water revenue (economy)	Sum of water revenue collected from sale of water to private connections and public stand tap users in Ethiopian Birr (100k).
Non-water revenue (Economy)	Revenue from water related services and other sources such as technical service, water meter rental, permission and estimation fee, sale of enterprise properties, fines and others (100k).
Non-discretionary variable (input)	
Urban population	Refers to urban (town) population (k).

Source: Authors

These inputs and outputs were selected for four reasons. Firstly, it is to avoid inflated results because of too many variables (Woodbury & Dollery, 2004), to account for critical variables (Lijphart, 1975), and to comply with rule of thumb as to the number of variables in the DEA (Mukokoma & Dijk, 2013). Secondly, it is because data on these variables were available, consistent and appeared to be reliable. Thirdly, these variables are identified by a single case study (Ambo, one of the municipalities in this study) (Debela & Troupin, 2015). Fourthly, the majority of water sector analysis that applied DEA used some of these variables. Examples include Carvalho and Marques (2011), and De Witte and Marques (2012). Figure 3 shows the distribution of outputs variables and the number of models on TBL dimensions and a combination of dimensions. For example, 2 DEA models (x-axis) are classified as ecology, 2 models (y-axis) as social dimension and 14 models (z-axis) as economy.

Figure 3: DEA Output Variables and Model Distribution on TBL Dimensions



Source: Authors

Methodology: Data Envelopment Analysis (DEA)

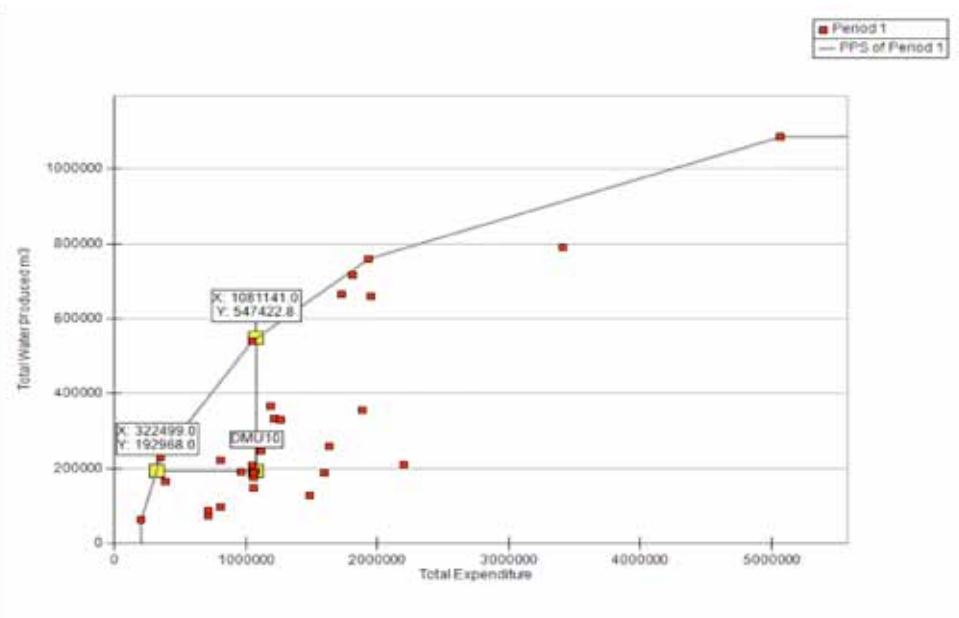
This study applied the non-parametric approach to performance analysis referred to as Data Envelopment Analysis (DEA). DEA allow comparing the efficiency of organizations or organizational units – called a decision-making unit (DMU) – that use similar inputs and produce similar outputs (Zhu, 2009; Cooper et al., 2006). It evaluates the efficiency of each DMU relative to the efficient frontier (best practice) (Ferro & Mercadie, 2016; Romano et al., 2017). It produces efficiency scores between 0 (0%) and 1 (100%): a DMU is efficient if its efficiency score is 1 (100%); otherwise it is classified as inefficient (Cooper et al., 2006). Inefficient DMUs are enveloped by fully efficient DMUs of comparable size. Examples of authors who used DEA to analyze the efficiency of water utilities include Corton and Berg (2009), De Witte and Marques (2012), Abbott et al. (2012), Picazo – Tadeo et al. (2008), Tupper and Resende (2004), Romano et al. (2017) and Fuentes et al. (2017).

DEA can be either input oriented or output oriented. In input-oriented models, inefficient DMUs need to focus on input reduction, while in output-oriented models, they should emphasize output augmentation (Jacobs, et al., 2006; Romano et al., 2017). The target for inefficient DMUs is measured by the horizontal distance (input oriented) or vertical distance (output oriented) from the frontier (Cooper et al., 2006; Fuentes, 2017).

Charnes, Cooper, and Rhodes (CCR) and the Banker, Charens, and Copper (BCC) are the common typologies of DEA models (Zhu, 2009; Cooper et al., 2006). Both are also called 'radial efficiency' or 'weak efficiency' or 'technical efficiency' model and apply proportional decrease of inputs or the proportional increase of outputs.

Figure 4 shows one input-one output BCC DEA. To become efficient under an input-oriented DEA, DMU10 should move horizontally, reducing the input it uses (reduce expenditure to 322,499 Ethiopian Birr) while keeping its output (water produced) constant (192,968 m^3). Conversely, in an output-oriented DEA, it should vertically increase the output it produces (increase water produced to 547,423 m^3) while keeping current total expenditure (1,081,141 Ethiopian Birr). Note that the graph is convex and DMUs on the graph enveloped inefficient DMUs.

Figure 4: Input and Output Oriented DEA



Source: Authors

This study applied the BCC DEA. This occurred for three major reasons. First, the BCC is more appropriate for managerial use, particularly when there are more complexity and uncertainty than CCR (Cherchye & Van Puyenbroeck, 1999). This is because the BCC is flexible and postulates variable return to scale (VRS) – increasing or decreasing returns – that the scale of operation matters. The CCR applies a constant return to scale assumption and is relevant from a societal perspective, as the society is more interested in efficiency than the scale of operation in drinking water supply (Jacobs et al., 2006; Stroobants & Bouckaert, 2014).

Second, the BCC can handle institutional constraints that could narrow space for dialogue between policy makers, managers and other stakeholders on drinking water supply. It is more suitable particularly when the market is imperfect and distorted by subsidies, and when there is a difference among DMUs in terms of managerial experience and access to resources, which is particularly common in Africa (Banerjee & Morella, 2011). Specifically, the BCC output-oriented DEA is suitable when it appears that proportional augmentation of outputs is more comfortable both politically and administratively for reasons such as the politics of the day and employee association pressure than the proportional decrease of inputs (Bouckaert, 2013; Zhu; 2009; Cooper et al., 2006). Third, more specifically, the BCC output oriented VRS DEA is more relevant in the context of Ethiopia, where managers, among others, are more likely to be constrained by many factors such as the top-down political culture and DDS doctrine (Lefort, 2012; Peterson, 2015).

Case Selection

This study used the Most Similar System Design (MSSD) case study strategy. The MSSD helps controlling factors that are common to cases and explain differences in terms of any set of variables that differentiate the cases (Meckstroth, 1975; Lijphart, 1975). To enhance the validity and reliability of research in MSSD, Lijphart suggests:

> […] increase[ing] the number of cases as much as possible by extending the analysis both geographically and historically; reduce[ing] the property-space of the analysis by combining variables and/or categories; focus[ing] the analysis on comparable cases and restrict[ing] the analysis to the key variables and omit[ting] those of only marginal importance (Lijphart 1975, p. 159).

The features of selected Grade 2B municipalities fit with the requirements of MSSD and DEA. First, these towns are constituted as urban local governments (ONRS, 2003) and have Urban Water Supply and Sewerage Service Enterprise that are mandated, among other things, to provide drinking water service efficiently (*Ibid.: art. 7 &9*). Second, they are sufficient in number (29) to make reasonable performance comparisons using DEA. Third, these towns have a similar organizational structure, are located in the same region and function in accordance with the same proclamation (Ibid.): they are thus suitable for benchmarking and bench-learning. Furthermore, according to CSA (2014), about 1.17 million inhabitants were living in these towns, and the annual urban population growth rate was 4 percent, suggesting the necessity to improve performance in drinking water supply on the TBL dimensions (Akhmouch & Correia, 2016). Uncontrolled urban population and urban sprawl threatens economy, social and ecological sustainability (Mejía-Dugand et al., 2017). Low tariff rate and subsidies that targets social justice reduces utility's revenue, which could be paralleled by low investment in water loss and pollution control programs, thus leading environmental risk (Romano et al., 2017).

The similarity of cases is important in DEA (Stroobants & Bouckaert, 2014; De Witte and Marques 2012). Thus, following Jacobs's et al's (2006) proposition to deal with environmental variables, to ensure comparability of cases, urban population was used as non-discretionary input. This is because data from CSA (2014) show only 10 out of 29 grade 2B municipalities had the population from 45,000 to 89, 999 (official range of second-grade cities). Table 3 shows the basic features of selected cases.

Table 3: Features of Selected Grade 2B Cities, Oromia National Regional State, Ethiopia (June 2013)

Source of raw water	Population size			
	Small (18,000-30,000)	Medium (30,000-50,000)	Large (50,000-90,000)	Total
Surface	DMU7 (28,711)	DMU4 (45,572), DMU19 (42,343), DMU24 (36,228)	DMU25 (64,203)	5
Groundwater	DMU3 (26,744), DMU8 (22,406), DMU10 (25,155), DMU11 (26,101), DMU12 (27,943), DMU27 (19,064), DMU29 (22,053)	DMU2 (43,479), DMU6(45,195), DMU16 (40,467), DMU17 (33,740), DMU20 (49,502), DMU21 (30,629), DMU23 (37,447), DMU26 (40,913), DMU28 (43,312)	DMU5 (69,580), DMU22 (65,284)	18
Surface and groundwater	DMU9 (25,725),	DMU14 (47,135), DMU18 (34,276)	DMU1 (51,860), DMU13 (70,853), DMU15 (55,726)	6
Total DMUs	9	14	6	29

DMU1=Negele Borena, DMU2= Modjo , DMU3= Bedessa, DMU4= Gimbi, DMU5= Arsi Negele, DMU6= Haromaya, DMU7= Bedele, DMU8= Sendafa Beke, DMU9= Yabello, DMU10= Ghinir, DMU11= Bekoji, DMU12= Nedjo, DMU13= Ambo, DMU14= Goba, DMU15= Weliso, DMU16= Fiche, DMU17= Adola, DMU18= Holeta, DMU19=Metu, DMU20= Chiro, DMU21= Dodola, DMU22= Bale Robe, DMU23=Agaro, DMU24= Metahara, DMU25= Batu, DMU26= Bule Hora, DMU27= Deder, DMU28= Dembi Dolo, DMU29= Shambu

N.B. population CSA (2014)

Data Collection

Data collection passed through four major stages. First, a data collection format that seeks 15 years data (2000-2014/15) was developed in consultation with drinking water experts working with Oromia Water and Energy Bureau. Second, support was obtained from the Oromia Water and Energy Bureau, and the Bureau officially requested Urban Water Supply and Sewerage Services Enterprises of the selected municipalities to submit data. Third, to ensure timely submission, telephone calls were made to the enterprises. Fourth, submitted data were checked, to ensure completeness and consistency; some enterprises were asked to resubmit their data. In general, data collection took about three months. Collected data were filtered, and it was found that data from 2010 to 2014/15 were consistent and deemed reliable.

Data Processing and Model Specifications

In the DEA literature authors such as Alsharif et al. (2008), lo Storto (2014), and Singh et al. (2011) directly used water loss as an input variable. However, water loss is more of an intended output, that occurs due to several reasons such as leakages in distribution, authorized but unbilled consumption, unauthorized and unbilled consumption, all attributed to management activities. The larger the volume of water lost correspond to worse performance, rather than better, and hence it is a reverse output. Zhu (2009) suggests negative inputs and outputs should be transformed before being used in DEA. Contrary to Zhu's (2009) proposition which claims multiplying negative variables with "-1" or direct inversion of the variable, water loss (negative output) was transformed into water loss control capacity using a formula:

$$\text{Water ontrol capacity} = 1 - \frac{\textbf{Water loss in cubic meter}}{\textbf{Total water produced in cubic meter}}$$

Although relevant according to Jacobs et al (2006), due to the small number of DMUs (29) and the number of inputs and outputs used, dividing and undertaking independent DEA based on the source of raw water was found to be infeasible.

To look at the impact of the number and different combinations of inputs and outputs variables on the frontier, and targets, 42 DEA model specifications were performed (Cooper et al., 2006; Zhu, 2009). Annex 1 reports the models. The rule of thumb in DEA model formulation which states the number of DMUs should be at least three times greater than the sum of input and output variables (Mukokoma & Dijk, 2013; Jacobs et al., 2006) was applied. Sensitivity analysis has been suggested in the DEA literature (see, for example, Cooper et al. 2006; Zhu, 2009), but it should be emphasised that DEA studies that have used several model specifications and longitudinal data, in general, are scarce. However, recently there has been a trend towards this direction. For example, Stroobants and Bouckaert (2014) applied longitudinal data and one input-one output and two input-two output in their study on benchmarking local libraries in Flanders (Belgium). They have shown

possible expansion of results in time and space and the potential of such approach for efficiency improvement.

The principle of exclusiveness and exhaustiveness was applied in the DEA model formulation (Jacobs et al., 2006). To maintain the principle of exclusiveness, Pearson correlation (2-tailed) was performed over five years, assuming a two-way influence. Table 4 gives the results on output variables. The number in parenthesis shows that there is a strong correlation between variables. For example, WP and WR are significantly correlated at 0.01 significant level and so do WP and PC. Thus, the combination of these variables was avoided in DEA specifications.

Concerning input variables (staff and total expenditure), in four DEA model specifications (see models 39 to 42, Annex 1), however, the principle of exclusiveness was not maintained, although the Pearson's correlation (2-tailed) shows a strong correlation between the variables. Furthermore, there are overlaps between staff and total expenditure, in the last four models. Yet, the models allowed assessing the effect of a combination of the two inputs on the efficiency of DMUs and on the TBL dimensions. Notwithstanding the overlaps, in general, the exercises allowed, excluding variables that have significant correlation and overcome the problem of multicollinearity on one hand and complying with the rule of thumb in DEA model formulation on the other.

Indeed, correlation between variable is not an issue of significant importance in DEA. Unlike SFA, DEA does not make assumptions about the relationships between variables (Jacobs et al., 2006; Fuentes et al., 2017), and DEA is relevant when the nature of the relationship between multiple inputs and outputs is complex (Cooper et al., 2006) although this cannot be the best argument as the results are sensitive to model specifications, thus its limitation (Jacobs et al., 2006; Cooper et al., 2006). DEA is not appropriate for testing hypothesis. Several authors, who analyzed water utility efficiency, using DEA, applied labour (staff) and operating expenses as input variables, which are expected to overlap and significantly correlate. Examples include Berg and Lin (2008), Corton and Berg (2009), Picazo-Tadeo et al (2008) and Picazo-Tadeo et al (2009). Similarly, Romano et al. (2017) used production costs and staff costs as input variables which are expected to correlate and overlap.

Notwithstanding overlaps between variables (in four DEA models), to the best of our knowledge, our approach is unique in DEA literature on drinking water supply and useful for political and managerial actions. We argue the results from 42 DEA models can stimulate the debate on sustainable development and the human right to water.

Table 4: DEA Variable Correlation Matrix Over Five Years in Sequential Order

	Output variables						Decision
	WP	WR	NWR	PC	WLC	WS	
WP	-	**(0.01**), (-@), (0.01), (0.01), (0.01)**	(0.05*), (-), (-), (-), (-),	**0.01), (-), (0.01), (0.01), (0.01)**	(-), (0.01), (-), (-),(-)	**(0.01), (-), (0.01), (0.01), (0.01)**	Avoid any combination with **High correlation** in DEA model specifications
WR	-	-	(0.05*), (-), (-), (-), (-),	**(0.01), (0.01), (0.01), (0.01), (0.01**)	(-), (-), (-), (-), (-), (-)	**(0.01), (0.01), (0.01), (0.01), (0.01)**	
NWR	-	-	-	(0.01), (-), (-), (-),(-)	(-), (-), (-), (-), (-), (-)	(0.05), (-), (-), (-), (-), (-),	
PC	-	-	-	-	(0.01), (-), (-), (-), (-)	**(0.01), (0.01), (0.01), (0.01), (0.01)**	
WLC	-	-	-	-	-	(-), (-), (-), (-), (-)	
WS	-	-	-	-	-	-	

****.** Correlation is significant at the 0.01 level (Pearson, 2-tailed).

***.** Correlation is significant at the 0.05 level (Pearson, 2-tailed).

(-). No significant correlation (Pearson, 2-tailed).

WP=Total Water Produced m^3, NWR=Total Non- water Revenue, WS= Water Sold m^3, PC= Total Private Connections, WLC= Water Loss Control Capacity, WR= Total Water revenue

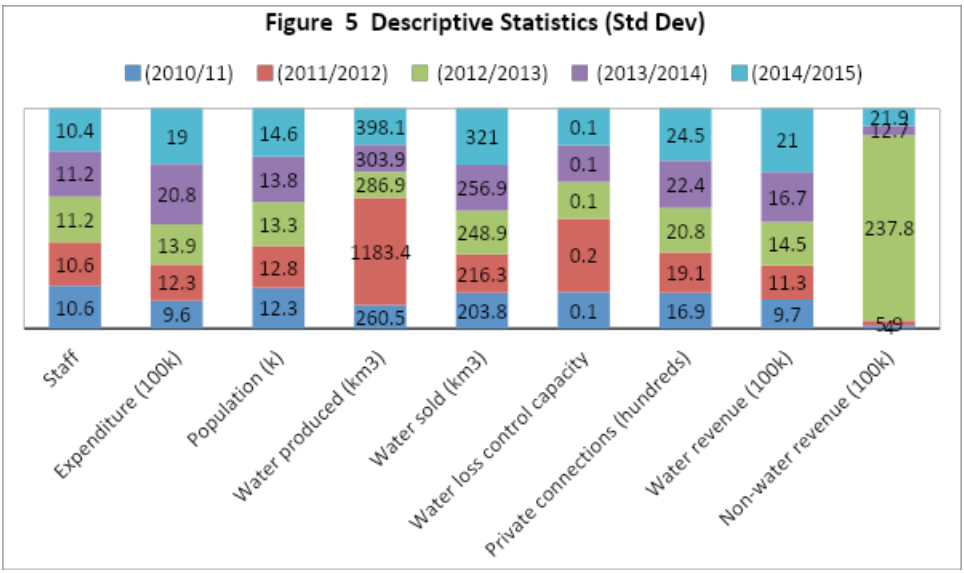
Source: Authors

Finally, since DEA applies linear programming methods, Performance Improvement Management (PIM) Software; that is PIM-DEAsoft-V3.0, DEA Frontier software was used. Noteworthy is that no weight restrictions are applied in the analysis.

Results and Discussion

Descriptive Statistics

The results from descriptive statistics (Figure 5) indicate variations among the DMUs over five periods. Substantial variations were observed on all variables except on water loss control capacity. Water loss between 10% and 20%, however, appears to be far from reality, thus skepticism is relevant. Second, the standard deviation of total water revenue was much higher than the standard deviation of non-water revenue except in period three and five. Third, the figure shows that these municipalities have much potential to improve their technical efficiency. Particularly, municipalities which were relying on groundwater might have better potential to improve their technical efficiency because keeping other things constant groundwater is physically and biologically purer than surface water (Byrnes et al., 2010). However, although this is plausible from the economic and social dimension of TBL, over-extracting groundwater may threaten ecological sustainability which later threatens the other dimensions. Thus, caution is needed.



Source: Authors

Technical Efficiency Distribution

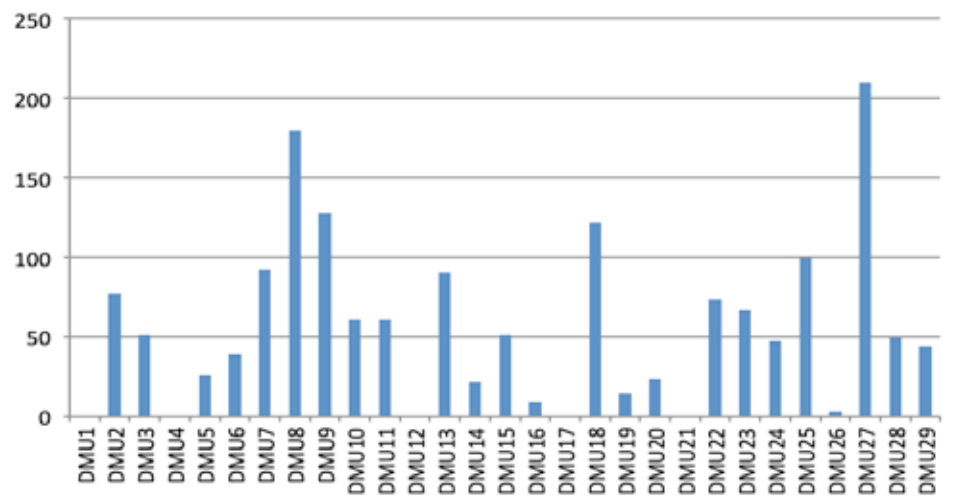
A summary of the results of 42 DEA model specifications is presented in Annex 2. As inputs and outputs changed as more variables were progressively added and as model specifications changed, a number of things happened.

In general, as expected, as the number of inputs and outputs increased, more DMUs were classified as efficient (Cooper et al. 2006). For example, the results of DEA Models 31 to 37, each with two inputs and three outputs yielded more best practices DMUs as compared to DEA models from 1 to 5.

The discriminatory power of DEA also depends on the combination of inputs and outputs, although on the surface the number of efficient DMUs with a similar number of inputs and outputs may be in close agreement. For example, in period one, there were as many efficient DMUs in DEA Model 25 as in DEA Model 28. However, in the same period, in Model 28 there were nine DMUs with less than 60% efficiency scores. It means that DMUs that were operating with 40% or more waste ought to exert more effort to be on the frontier.

The inclusion of the 'non-water revenue' and 'water loss control capacity' output variables appeared to have different impact on the target for inefficient DMUs. In general, when 'non-water revenue' is included many DMUs were found to operate with less than 40% efficiency, particularly in period three and five. Contrarily, the inclusion of the 'water loss control capacity' has much impact as many DMUs were able to improve their efficiency scores although those on the frontier were less or equal to the effect of 'non-water revenue'. Figure 6 shows instances where a DMU score 100% efficiency in all models over five years (max 210). Annex 3 shows the distribution of DMUs efficiency score over five years were 11, 10, 15, 10, and 14.

Figure 6: Instances where a 100% efficiency score was reached-max 210



Source : Authors

Figure 6 depicts DMU1, DMU4, DMU12, DMU17, and DMU21 were inefficient over five periods in all model specifications. Furthermore, Annex 3 shows that the number of fully efficient and inefficient DMUs varies. Annex 3 clarifies that there were 11, 10, 15, 10, and 14 inefficient DMUs over five years. The results show size and source of raw water appear to have weak explanatory power for the inefficiency of the DMUs. Whilst DMU12, DMU17, and DMU21 were relying on groundwater, DMU1 and DUM4 were respectively using surface and groundwater and surface water. The performance of inefficient DMUs could be explained by hazard and geo-environmental conditions. Other exogenous factors such as the difference in administrative autonomy and stakeholders participation (Mejía-Dugand et al., 2017), management practice (e.g. tariff structure) (Schwartz et al., 2017) and government subsidies and donors fund (Barbosa et al., 2017), and political environment (Romano et al., 2017; Peci et al., 2017) might also explain their inefficiencies. But the explanatory power of the exogenous factors should be verified by further research.

Secondly, Figure 6 reveals that only DMU27 was classified as fully efficient in all model specifications. DMU8, DMU9 and DMU18 were relatively better and ranked second, third and fourth respectively (see Annex 3 for ranks). The rank and efficiency scores of DMUs, in general, may be misleading as some DMUs became efficient by default. The next section clarifies this phenomenon. Third, the efficiency scores of some DMUs varies. For instance, in DEA model 10, there were 3, 2, 5, 4, and 4 fully efficient DMUs over five years respectively, suggesting the efficiency scores of some DMUs were unstable.

Distribution of DMUs on TBL Output Dimensions

Figure 6 clearly shows that DMU1, DMU4, DMU12, DMU17, and DMU21 were in bad shape on the TBL dimensions. Figure 7 shows the performance of DMUs on TBL dimensions. It should be clear that the figure shows the average efficiency score of each DMUs on the continuum, not on an x-y coordinate. The figure shows that only DMU27 was able to equilibrate the TBL output dimensions. However, this may not hold true when efficiency by default phenomena (due to lack of comparable cases) is considered. The efficiency by dominance and default phenomena is found by mapping peers from each model over five years. Due to space, peers for inefficient DMUs is not reported in the present article.

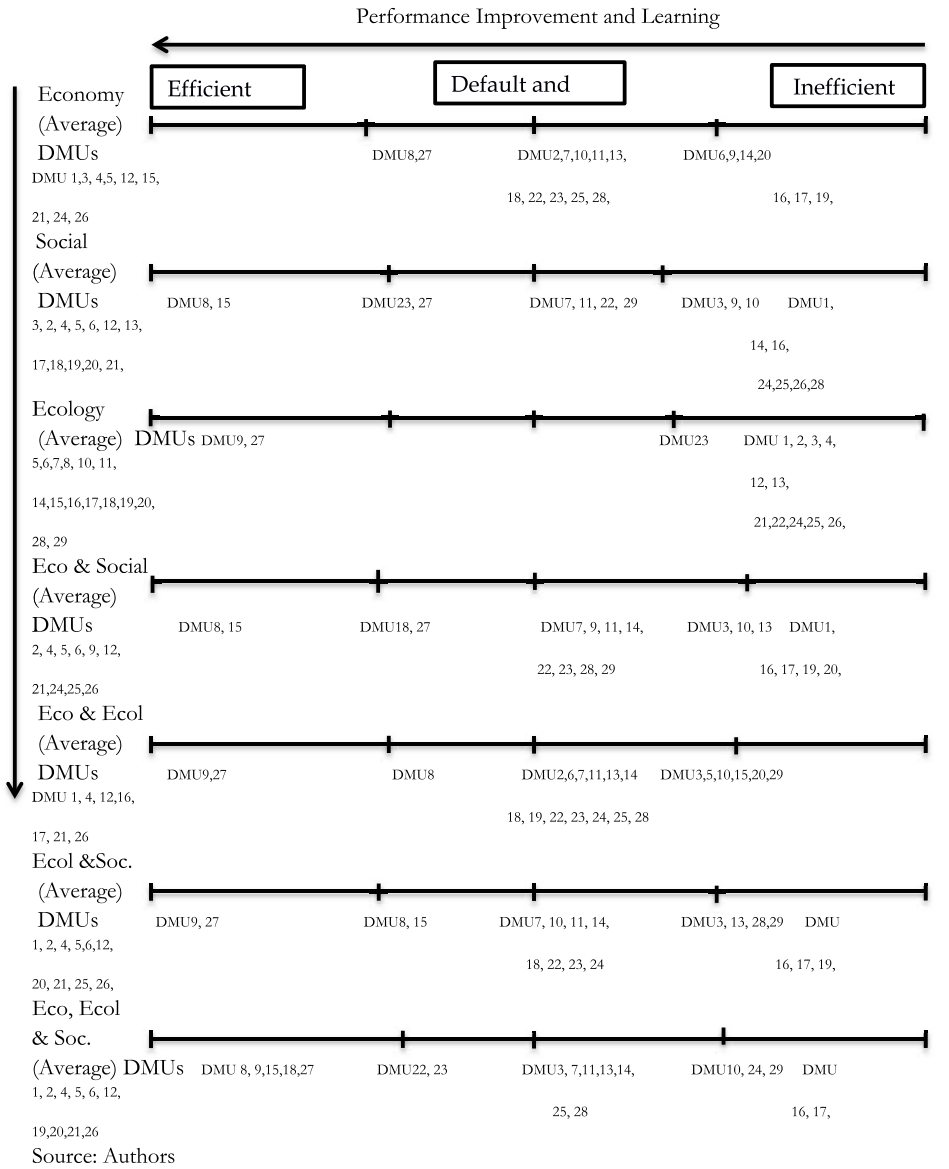
The distribution of DMUs on the TBL dimensions brings into fore interesting insights. First, many DMUs were weak on ecological performance, but relatively better on the economy and flowed by social performance. Second, the pattern of distribution is unstable and the performance of DMUs on TBL does not correlate with the rank of DMUs (see Annex 3 for rank). For example, DMU15 with 12th rank was efficient by dominance than DMU22 with 9th rank. This means DMU22 exhibits efficiency by default phenomena. Interestingly, even DMU27 with the first rank has some features of efficiency by default, and it was not classified as best practice on social dimension when compared with DMU9 and DMU15.

Third, there were trade-offs between economic, social and ecological outputs dimensions. For instance, DMU15 which was efficient by dominance on the social dimension was classified as inefficient on economy dimension. DMU9 was best practice only on ecological dimension. All DMUs which have good efficiency scores on the economy, and social dimensions sacrificed the ecological dimension.

Interesting insight also standout when the combination of TBL dimensions are considered. It is observed that the increase in the number of variables has not completely eliminated the trade-offs between TBL dimensions. Secondly, even with the maximum number of variable combinations, only five DMUs were classified as best practice on TBL dimensions.

In general, the results show equilibrating the TBL dimensions in urban drinking water supply is difficult (Jamali, 2006; UNDP, 2006) but not impossible.

Figure 7 Distribution of DMUs on TBL Diimensions in 42 DEA Model Specifications (Average Five Years)



Source: Authors

The TBL and Efficiency Improvement Strategies: The Trade-Offs

The difference in the efficiency score of DMUs and target thereof due to the combination of variables leads to different efficiency improvement strategies and often conflicting ones. For example, in the case of 'non-water revenue' when the economic dimension of the TBL is considered, the inefficient DMUs among others need to focus on increasing technical service charges. Clearly, such strategy contradicts the social dimensions of TBL particularly, as an increase in technical service charge and connection fees which go beyond threshold disincentives the poor and the disadvantaged (UNDP, 2006; Romano et al., 2017).

The inefficient DMUs can also increase efficiency gains by proportionally augmenting private connection, water produced, increasing water revenue and water sold. The Pearson correlation results already clarified that there was a significant correlation between these variables (see Table 2), but each of these outputs invites different strategies and often conflicting.

Beyond the threshold, over-extraction of raw water to augment water production jeopardises the ecological dimension which later affects the other dimensions. Increasing water revenue by increasing private connection appears to be a plausible strategy to improve social and economic goals. However, all being equal, it remains uncertain whether the inefficient DMUs can increase distribution networks to augment private connections, among other factors, due to challenging urban topography.

Weak DMUs can also improve their economy by increasing water tariff rate, which could contradict with social dimensions, without missing the ecological dimension. As such this strategy depends on political decisions, and thus it is out of the authority of water enterprise managers.

Augmenting water sold and water loss control capacity generates preferential advantage to balance TBL dimensions. Increasing water sold by minimising unbilled authorised consumption, and apparent loss (due to illegal connections and water meter inaccuracy), in particular, is a relevant strategy (Schwartz et al., 2017). By the same token, augmenting water loss control capacity has greater capacity to improve the economy, social and ecological output performance. Keeping existing inputs constant, increasing water loss control capacity helps to avoid the real loss as to leaks in the distribution system, service connection leaks and reservoir overflows, if any, and thus minimises over-extraction of raw water whilst also improving economic and social dimensions.

So, what can be said about the learning effect of the story? Notwithstanding the potential tensions and cautions discussed above, the best practice DMUs (see Figure 4) provide interesting insights. First, the source of raw water for the best practice DMUs was different. DMU27 and DMU8 were relying on groundwater while DMU9, DMU15 and DMU18 were depending on ground and surface water. Thus, these relatively well-performing DMUs provides learning lesson for totally inefficient and relatively weakest DMUs. All things equal, totally inefficient and weak DMUs which were relying on surface and groundwater sources can switch to one source to balance the TBL dimensions, if possible, and earn small wins at

least. In practice, the choice needs a clear understanding of the associated risks as automatic shift to other raw water source leads to a worse situation than dangerous.

Finally, the unstable efficiency scores of a relatively better DMUs underlines the importance of continuous learning from their own and others to equilibrate the TBL dimensions as much as possible. It also benefits those DMUs which are classified as best practice by default. Importantly, DMUs which are classified as best practices on one or two dimensions of TBL need to improve their performance on the remaining dimensions and learn from best practice and from own.

Conclusions and Implications

Based on empirical work, the following concluding remarks have been made. Empirical results show many DMUs need to improve their technical efficiency by augmenting short failed outputs, particularly when the numbers of variables are modest. But cautions are needed. This is because the initiative to proportionally increase in one output could contradict with the other on the TBL dimensions.

The efficiency of DMUs was impacted by model specifications and therefore unstable over time. It means that DEA applications that focus on a single period and only a few model specifications are insufficient to improve performance and enhance accountability for performance. From a methodological perspective, therefore, the use of longitudinal data and different combinations of variables in DEA is useful to check the robustness of DMUs efficiency scores in time and space (Stroobants & Bouckaert, 2014). This approach is useful because a best-practice DMU in one model specification may not be so in another model specification on TBL dimensions. The targets of weak DMUs also change in time and space.

From policy and managerial perspectives, differences in the efficiency scores of DMUs over time help decision makers to identify the most efficient DMUs over time, initiate a dialogue among stakeholders to distinguish reasons for declining performance (Stroobants & Bouckaert, 2014).

Related to the above, this study has demonstrated the importance of analysing the performance of water utilities on TBL dimensions and its implications on the agenda of sustainable urban water supply and environmental management. The results show that many DMUs are better on economic performance than on ecological performance. The study argues that except water loss control capacity (Schwartz et al., 2017) and water sold, proportionally increasing other outputs leads to trade-offs. Similar studies on urban water service can also be undertaken in other countries, particularly in the essence of SDG agenda.

The contribution of the present study to local government performance literature also needs to be celebrated. It has introduced DEA to Ethiopia and analysed the technical efficiency of 29 water utilities (DMUs) on TBL dimensions. Empirical researches on water utility performance on TBL elements in sub-Saharan Africa, in general, at local level in particular, are limited if not absent.

Two limitations of the study have to be noted. First, DEA assumes correct data (Jacobs et al., 2006) and any abnormality from best practice is attributed to inefficiency (Ferro & Mercadier, 2016). Due to measurement error, DMUs efficiency scores are highly distorted in DEA than in SFA (Romano et al., 2017). This is because DEA does not decompose the result into stochastic influence and measurement error in estimating frontiers (Avkiran &Rowlands, 2008; Corton & Berg, 2009; Worthington & Dollery, 2000). Data quality is an issue in Ethiopia as water sector database management is at the initial stage of development (UN DESA & MoWE, 2011). Moreover, data availability and transparency may not be appreciated by government-owned water utility managers, among others, due to performance gaming and political factors (Berg & Phillips, 2017). Data on water loss, in present study, is certainly questionable, although the extent of performance gaming appears to be equivalent among DMUs. Second, the exploratory nature of the study should be taken into account while interpreting results. Potential exogenous factors that could explain the performance of DMUs (Higuerey et al., 2017) were not investigated.

Future work may focus on examining factors that could explain the relative technical efficiency of the studied municipalities. In the upcoming work, we shall address trade-offs between and among efficiency, effectiveness and cost- effectiveness in drinking water supply in the studied municipalities.

Points for Policymakers and Practitioners

This paper emphasizes the importance of comparing the relative performance of municipalities in drinking water supply in time and space. It helps policymakers and practitioners to understand the trade-offs among different efficiency improvement strategies and improve performance on TBL dimensions

Bibliography

Abbott, M, Cohen, B, & Wang, WC (2012) 'The performance of the urban water and wastewater sectors in Australia', *Utilities Policy*, vol *20*(1), pp 52–63.

Afonso, A, & Fernandes, S (2008) 'Assessing and explaining the relative efficiency of local government', *The Journal of Socioeconomics*, vol *37*(5), pp 1946–79.

Akhmouch, A, & Correia, FN (2016) 'The 12 OECD principles on water governance –When science meets policy', *Utilities Policy*, vol *43*, pp14-20.

Alsharif, K, Feroz, E, Klemer, A, & Raab, R (2008) 'Governance of water supply systems in the Palestinian territories: A data envelopment analysis approach to the management of water resources', *Journal of Environmental Management*, vol *87*(1), pp 80–94.

Arsano, Y, Mekonnen, E, Gudisa D, Achiso D, O'Meally S, Calow R, & Eva L (2010) Governance and drivers of change in Ethiopia's water supply sector. Organization for Social Science Research in Eastern and Southern Africa (OSSREA), Addis Ababa, in collaboration with the Overseas Development Institute (ODI). https://www.odi.org. Accessed 22 March 2017.

Avkiran, N, & Rowlands, T (2008) 'How to better identify the true managerial performance: State of the art using DEA' *Omega*, vol *36*(2), pp 317–24.

Axworthy, T & Sandford, B (2012) 'The global water crisis: Framing the issue', In H. Bigas, T. Morris, B. Sandford & D. Adeel (eds); T. S. Axworthy (series ed.), *The global water crisis: Addressing an urgent security issue* (pp 2–7). Papers for the InterAction Council 2011–2012, Hamilton, Canada: UNU-INWEH.

Banerjee, S, & Morella, E. (2011) *Africa's water and sanitation infrastructure: Access, affordability, and alternatives*, World Bank Publications, Washington, D.C.

Banerjee, S, Skilling, H, Foster, V, Briceño-Garmendia, C, Morella, E, & Chfadi, T (2008) 'Ebbing water, surging deficits: Urban water supply in Sub-Saharan Africa', *Background Paper* no 12, World Bank Publications, Washington, D.C.

Barbosa, A, Lima, S C D & Brusca, I (2016) 'Governance and efficiency in the Brazilian water utilities: A dynamic analysis in the process of universal access', *Utilities Policy*, vol *43*(PA), pp 82-96.

Berg, S V & Phillips, M A (2017) 'Data availability as a key tool for regulating government-owned water utilities', *Utilities Policy*, *49*, pp 30-37.

Berg, S, & Lin, C (2008) 'Consistency in performance rankings: The Peru water sector', *Applied Economics, 40*(6), 793–805.

Bouckaert, G (2013) 'Numbers in context: Applying Frege's principles to public administration', In C. Pollitt (ed.), *Context in public policy and management: The missing link?,* pp. 74–87, Cheltenham, UK, and Northampton, MA: Edward Elgar.

Byrnes, J, Crase, L, Dollery, B, & Villano, R (2010) 'The relative economic efficiency of urban water utilities in regional New South Wales and Victoria', *Resource and Energy Economics*, vol *32*(3), pp 439-55.

Carvalho, P & Marques, R C (2011) 'The influence of the operational environment on the efficiency of water utilities,' *Journal of Environmental Management*, vol *92*(10), pp 2698–707.

Castro, J & Heller, L (2009) 'Introduction. In J. Castro & L. Heller (eds)', *Water and sanitation services, public policy and management,* pp. 1–16, London: Earthscan.

Central Statistical Authority of Ethiopia (CSA) (2014) Statistical abstract (projected population), Addis Ababa, http://www.populationcommunication.com (accessed on 22 March 2017).

Cherchye, L & Van Puyenbroeck, T (1999) 'Learning from input–output mixes in DEA: a proportional measure for slack—based efficient projections' *Managerial and Decision Economics*, vol *20*(3), pp 151-61.

Cooper, W W, Seiford, LM, & Tone, K (2006) *Introduction to data envelopment analysis and its uses: With DEA-solver software and references*. Berlin/Heidelberg: Springer Science & Business Media.

Corton, M L & Berg, SV (2009) 'Benchmarking Central American water utilities' *Utilities Policy*, vol *17*(3) pp 267–75.

De Witte, & Marques, R C (2012) 'Gaming in a benchmarking environment. A non-parametric analysis of benchmarking in the water sector', *Water Policy*, *14*(1), pp 45-66.

Debela, B & Troupin, S. (2015) 'Towards an Analytical Framework to Benchmark the Performance of Urban Drinking Water Supply', *Preliminary Findings from Ambo, Ethiopia, 36th AAPAM Roundtable Conference*, Morocco, Rabat March 2-6, 2015.

European Commission (2014) Communication from the Commission; on the European Citizens' Initiative 'Water and sanitation are a human right! Water is a public good, not a commodity!'

Ferro, G & Mercadier, AC (2016) 'Technical efficiency in Chile's water and sanitation providers', *Utilities Policy*, vol *43*, pp 97-106.

Flint, RW (2013) *Practice of sustainable community development, a participatory framework for change*, Springer.

Fuentes, R, Torregrosa-Martí, T, & Hernández-Sancho, F (2017) 'Productivity of wastewater treatment plants in the Valencia Region of Spain' *Utilities Policy*, vol *46*, pp 58-70.

Glavas, A, & Mish, J (2015) 'Resources and Capabilities of Triple Bottom Line Firms: Going Over Old or Breaking New Ground?' *Journal of Business Ethics*, vol *127*(3), pp 623-64

Industry and Urban Development Bureau of Oromia (IUDBO) (2013) List of Urban/ Cities and Urban Grade in Oromia National Regional State, Report. Finfine.

Jacobs, R, Smith, P C & Street, A (2006) *Measuring efficiency in health care: Analytic techniques and health policy,* Cambridge University Press, Cambridge.

Jamali, D (2006) 'Insights into triple bottom line integration from a learning organization perspective', *Business Process Management Journal*, vol *12*(6), pp 809-21.

Lefort, R (2012) 'Free market economy, 'developmental state' and party-state hegemony in Ethiopia: the case of the 'model farmers'', *The Journal of Modern African Studies*, vol *50*(04), pp 681-706.

Lieberherr, E (2016) 'Trade-offs and Synergies: Horizontalization and legitimacy in the Swiss wastewater sector' *Public Management Review*, vol *18*(3), pp 456-78.

Lijphart, A (1975) 'The comparable-cases strategy in comparative research', *Comparative political studies*, vol *8*(2), pp 158-77.

lo Storto, C (2014) 'Benchmarking operational efficiency in the integrated water service provision: Does contract type matter?' *Benchmarking: An International Journal*, vol *21*(6), pp 917–43.

Meckstroth, T W (1975) '"Most Different Systems" and "Most Similar Systems" A Study in the Logic of Comparative Inquiry', *Comparative Political Studies*, vol *8*(2), pp 132-57.

Mejía-Dugand, S, Hjelm, O, & Baas, L (2017) 'Public utility companies in liberalized markets–The impact of management models on local and regional sustainability' *Utilities Policy*, vol *49*, pp137-144.

Ministry of Water Resources and Energy (MoWRE) (2013b) National Guideline for Urban Water Utilities Tariff Setting, March 2013. Addis Ababa: MoWRE.

MoFED (2010) Growth and Transformation Plan (GTP), 2010/11-2014/15, Volume I : Main text ,Addis Ababa, http: //www.ethiopians.com/Ethiopia (accessed 22 March 2017)

Mori, K, & Christodoulou, A (2012) 'Review of sustainability indices and indicators: Towards a new City Sustainability Index (CSI)', *Environmental Impact Assessment Review*, vol *32*(1), 94–106.

MoWR(1999). Ethiopian Water Resources Management Policy, http://www.ethiopiaembassy.ru (Accessed 22 March 2017).

Mukokoma, M M N & van Dijk, M P (2013) 'New Public Management Reforms and Efficiency in Urban Water Service Delivery in Developing Countries: Blessing or Fad?' *Public Works Management & Policy*, vol *18*(1), pp 23-40.

Munkonge, M A & Harvey, PA (2008) 'Access to sanitation and safe water: Reflection of Dublin Principles in rural water supply approaches in Zambia'. *33rd WEDC International Conference*, Accra, Ghana, 2008.

National Planning Commission (2016) Growth and Transformation Plan II (GTP II) (2015/16-2019/20) of the Federal Democratic Republic of Ethiopia, Volume I: Main Text. http://www.dagethiopia.org. Accessed 22 March 2017.

Neto, S (2016) 'Water governance in an urban age', *Utilities Policy*, vol *43*, pp 32-41.

Oromia National Regional Government (2003) Urban Local Government Proclamation (Proc. No.65/2003), Megeleta Oromia, Finfine. http://www.extwprlegs1.fao.org. Accessed on 22 March 2017.

Oromia National Regional State (ONRS) (2004) 'A proclamation to provide for the establishment of urban water supply and sewerage service enterprise of the Oromia Regional State', Proclamation No. 78/2004. Megeleta Oromia, Finfine.

Oromia National Regional State (ONRS) (2005) 'A proclamation to amend the urban water supply and sewerage service,' Proclamation No. 97/2005. Megeleta Oromia, Finfine.

Pangare, G, & Idris, L (2012) Water and health security. In H. Bigas, T. Morris, B. Sandford & D. Adeel (eds); T. S. Axworthy (series ed.), *The global water crisis: Addressing an urgent security issue* (pp. 77–83). Papers for the InterAction Council 2011–2012, Hamilton, Canada: UNU-INWEH.

Peci, A, D'Assunção, M L, Holperin, MM, & de Souza, C F (2017) 'Regulation inside government: The challenges of regulating a government-owned utility', *Utilities Policy*, vol *49*, pp 61-70.

Peterson, S B (2015) *Public finance and Economic growth in developing countries: Lessons from Ethiopia's reforms*. London: Routledge.

Picazo-Tadeo, A J,Sáez-Fernández,FJ & González-Gómez, F (2008) 'Does service quality matter in measuring the performance of water utilities?' *Utilities Policy*, vol *16*(1), pp 30–38.

Picazo-Tadeo, A J, Sáez-Fernández,FJ & González-Gómez, F (2009) 'Accounting for operating environments in measuring water utilities' managerial efficiency' *The Service Industries Journal*, vol *29*(6), pp761–73.

Pollitt, C, & Bouckaert, G (2011) *Public management reform: A comparative analysis – new public management, governance, and the Neo-Weberian state*, 3rd ed, Oxford University Press, New York.

Pollitt, C, & Dan, S (2013) 'Searching for impacts in performance-oriented management reform: A review of the European literature', *Public Performance & Management Review*, vol *37*(1), pp 7-32.

Pope, J, Annandale, D & Morrison-Saunders, A (2004) 'Conceptualising sustainability assessment', *Environmental Impact Assessment Review*, vol *24*(6), pp 595–616.

Romano, G, Molinos-Senante, M & Guerrini, A (2017) 'Water utility efficiency assessment in Italy by accounting for service quality: An empirical investigation' *Utilities Policy*, vol *45*, 97-108.

Schwartz, K, Tutusaus, M & Savelli, E (2017) 'Water for the urban poor: Balancing financial and social objectives through service differentiation in the Kenyan water sector', *Utilities Policy*, vol *48*, pp 22-31.

Singh, M R, Mittal, A K & Upadhyay, V (2011) 'Benchmarking of North Indian urban water utilities', *Benchmarking: An International Journal*, vol *18*(1), pp 86-106.

Solanes, M & Gonzalez-Villarreal, F (1999) *The Dublin principles for water as reflected in a comparative assessment of institutional and legal arrangements for integrated water resources management*. Global Water Partnership. http://citeseerx.ist.psu.edu/index. Accessed on 9 June 2016.

Stroobants, J., & Bouckaert, G. (2014). Benchmarking local public libraries using non-parametric frontier methods: A case study of Flanders. *Library & Information Science Research*, *36*(3), pp 211-24.

The Dublin Statement and Report of the Conference (1992) The Dublin International Conference on Water and the Environment (ICWE) in Dublin, Ireland, www.ircwash.org. Accessed 31 January 2016

Transitional Government of Ethiopia (1993) Proclamation defining the powers and duties of the central and regional governments. Proclamation No. 41/1993. Negarit Gazeta, Addis Ababa.

Tupper, H C, & Resende, M (2004) 'Efficiency and regulatory issues in the Brazilian water and sewage sector: An empirical study', *Utilities Policy*, vol *12*(1), pp 29–40.

UN Water (2006) 'Water, a shared responsibility, the United Nations World Water Development' *Report 2*, accessed 26 June 2016.

UN-DESA & MoWRE (2011) Strengthening Water Sector Monitoring and Information System in Ethiopia with GIRWI Project: Second Phase Consolidated report on Component I: Methodological Analysis of Indicators, Component III: Elaboration of a general system of water sector monitoring and Information, Addis Ababa, Ethiopia.

United Nations (UN) (2000) The Millennium Development Goals Declaration. General Assembly (55/2).

United Nations (UN) (1992) United Nations Conference on Environment and Development Rio de Janerio, Brazil, 3–14 June 1992, AGENDA 21.

United Nations (UN) (2012) The future we want. General Assembly Resolution, *66*, 288.

United Nations (UN) (2015) Transforming our world: The 2030 Agenda for Sustainable Development. General Assembly (70/1). http://www.unctad.org.Accessed 22 March 2017).

United Nations Development Programme (UNDP) (2006) Human Development Report 2006-Beyond scarcity: Power, poverty and the global water crisis. *UNDP*.

Water and Sanitation Programme (2011) Water Supply and Sanitation in Ethiopia: Turning Finance into Services for 2015 and Beyond, an AMCOW Country Status Overview, https://wsp.org

WHO & UNICEF (2012) Report of the second consultation on post-2015 monitoring of drinking-water, sanitation and hygiene, organized by WHO and UNICEF, hosted by the Royal Government of the Netherlands in the Hague, 3–5 December 2012www.unosd.org. Accessed 9 July 2016.

WHO & UNICEF (2013) Joint Water Supply, Sanitation Monitoring Programme (2013). Progress on drinking water and sanitation.

Wiedmann, T & Lenzen, M (2008) 'Unravelling the impacts of supply chains—a new triple-bottom-line accounting approach and software tool', In *Environmental management accounting for cleaner production,* pp 65-90, Springer Netherlands.

Woodbury, K & Dollery, B (2004) 'Efficiency measurement in Australian local government: The case of New South Wales municipal water services', *Review of Policy Research*, vol *21*(5), pp 615-36.

Worthington, A & Dollery, B (2000) 'An empirical survey of frontier efficiency measurement techniques in local government', *Local Government Studies*, vol *26*(2), pp 23–52.

Zhu, J (2009) *Quantitative models for performance evaluation and benchmarking: Data envelopment analysis with spreadsheets*, Springer, New York.

Annex 1: DEA 42 Selected Model Specifications

Model	Inputs	Outputs
	EXP & POP	WP
	PS & POP	WP
	EXP & POP	NWR
	PS & POP	NWR
	EXP & POP	WS
	PS & POP	WS
	EXP & POP	PC
	PS & POP	PC
	EXP & POP	WR
	PS & POP	WR
	EXP & POP	WLC
	PS & POP	WLC
	EXP & POP	WP & NWR
	PS & POP	WP &NWR
	EXP & POP	WR& NWR
	PS & POP	WR & NWR
	EXP & POP	WS & WLC
	PS & POP	WS & WLC
	EXP & POP	WR & WLC
	PS & POP	WR & WLC
	EXP & POP	WP & WLC
	PS & POP	WP & WLC
	EXP & POP	NWR & PC
	PS & POP	NWR & PC
	EXP & POP	NWR & WLC
	PS & POP	NWR & WLC
	EXP & POP	WS &NWR
	PS & POP	WS &NWR
	EXP & POP	WLC &PC
	PS & POP	WLC &PC
	EXP & POP	NWR, PC & WLC
	PS & POP	NWR, PC & WLC
	EXP & POP	NWR, WS &WLC
	PS & POP	NWR, WS &WLC
	EXP & POP	NWR, WP &WLC
	PS & POP	NWR, WP &WLC
	EXP & POP	NWR, WR & WLC
	PS & POP	NWR, WR & WLC
	EXP, PS & POP	NWR, PC &WLC
	EXP, PS & POP	NWR, WS & WLC
	EXP, PS & POP	NWR, WP & WLC
	EXP, PS & POP	WR, NWR & WLC

EXP= Total Expenditure, PS = Total Permanent Staff, POP = Population, WP=Total Water Produced m^3, NWR=Total Non- water Revenue, WS= Water Sold m^3, PC= Total Private Connections, WLC= Water Loss Control Capacity, WR= Total Water revenue

Source: Author

Annex 2: Summary Results of 42 DEA Model Specifications

Models	Period one			Period two			Period three			Period four			Period five		
	<60	60-99.9	100	<60	60-99.9	100	<60	60-99.9	100	<60	60-99.9	100	<60	60-99.9	100
	11	11	7	27	0	2	10	12	7	15	9	5	16	6	7
	14	10	5	27	0	2	13	9	7	13	11	5	15	9	5
	21	1	7	21	2	6	27	0	2	21	3	5	26	0	3
	21	3	5	21	4	4	27	0	2	3	23	3	25	0	4
	10	12	7	8	16	5	11	12	6	14	7	8	14	9	6
	13	10	6	13	10	6	13	10	6	13	10	6	15	10	4
	12	13	4	11	13	5	11	13	5	10	4	5	11	12	6
	11	12	6	12	11	6	10	12	7	13	11	5	12	12	5
	14	10	5	11	14	4	13	9	7	13	9	7	11	12	6
	22	4	3	21	5	3	17	7	5	17	8	4	17	8	4
	2	25	2	3	24	2	1	26	2	1	26	2	2	24	3
	2	25	2	3	24	2	1	26	2	1	26	2	2	24	3
	9	9	11	19	2	8	9	12	8	8	11	10	11	10	8
	11	11	7	19	4	6	12	9	8	9	12	8	10	12	7
	7	13	9	5	15	9	12	9	8	8	11	10	7	15	7
	13	10	6	13	9	7	16	7	6	11	12	6	13	10	6
	2	16	11	2	18	9	1	21	7	2	17	10	1	19	9
	2	19	8	2	19	8	1	22	6	2	18	9	2	21	6
	2	19	8	3	18	8	1	20	8	2	18	9	1	20	8
	2	22	5	3	20	6	1	21	7	2	20	7	2	21	6
	2	16	11	1	24	4	2	19	8	1	18	10	1	18	10
	2	19	8	1	24	4	2	19	8	1	19	9	1	21	7
	11	8	10	8	11	10	11	12	6	2	12	9	9	13	7
	10	9	10	9	12	8	10	11	8	10	11	8	8	14	7
	1	20	8	3	18	8	1	25	3	1	21	7	2	22	5
	1	22	6	3	20	6	1	25	3	1	22	6	2	21	6
	8	10	11	6	12	11	10	12	7	6	11	12	10	11	8
	9	12	8	9	12	8	12	10	7	10	11	8	9	13	7
	0	23	6	0	21	8	0	21	8	0	20	9	1	21	7
	0	19	10	0	20	9	0	20	9	1	20	8	1	21	6
	0	18	11	0	17	12	0	21	8	0	18	11	1	19	9
	0	17	12	0	19	10	0	19	10	1	18	10	1	19	9
	1	13	15	2	13	14	1	20	8	1	14	14	1	17	11
	1	18	10	2	16	11	1	21	7	1	16	12	2	18	9
	1	13	15	1	18	10	1	19	9	1	14	14	1	17	11
	1	18	10	1	20	8	1	19	9	1	16	12	1	19	9
	0	17	12	1	16	12	1	19	9	1	17	11	1	19	9
	1	20	8	2	18	9	1	20	8	1	20	8	2	19	8
	0	16	13	0	17	12	0	17	12	0	16	13	1	18	10
	1	13	15	2	11	16	1	19	9	1	13	15	1	15	13
	1	13	15	1	18	10	1	18	10	1	13	15	1	15	13
	0	17	12	1	16	12	1	18	10	1	17	11	1	18	10

Source: Authors

Annex 3: Distribution of DMU's Efficiency Score in 42 DEA Specifications Over Five Years

DMUs	Period One (2010/11)			Period Two (2011/12)			Period Three (2012/13)			Period Four (2013/14)			Period Five (2014/15)					
	<60	60-99.9	100	<60	60-99.9	100	<60	60-99.9	100	<60	60-99.9	100	<60	60-99.9	100	Instances where a 100% efficiency score was reached-max 210	%	Rank
DMU1	18	24	0	13	29	0	18	24	0	13	29	0	16	26	0	0	0	24
DMU2	3	21	18	7	26	9	2	22	18	4	20	18	5	23	14	77	37	8
DMU3	15	24	3	6	22	14	18	24	0	14	28	0	4	4	34	51	24	13
DMU4	30	12	0	31	11	0	33	9	0	35	7	0	18	24	0	0	0	24
DMU5	6	26	10	7	32	3	2	40	0	2	27	13	8	34	0	26	12	18
DMU6	14	19	9	14	28	0	14	28	0	9	18	15	7	20	15	39	19	17
DMU7	2	15	25	2	12	28	2	16	24	0	32	10	2	35	5	92	44	6
DMU8	0	6	36	2	8	32	2	4	36	0	2	40	2	5	35	179	85	2
DMU9	8	8	26	13	5	24	8	8	26	10	8	24	10	4	28	128	61	3
DMU10	2	26	14	6	27	9	2	26	14	2	16	24	8	34	0	61	29	11
DMU11	3	21	18	4	20	18	2	20	20	9	33	0	6	31	5	61	29	11
DMU12	18	24	0	18	24	0	18	24	0	13	29	0	18	24	0	0	0	24
DMU13	4	38	0	7	35	0	2	10	30	0	9	33	2	13	27	90	43	7
DMU14	13	13	16	20	22	0	8	34	0	9	28	5	14	28	0	21	10	20
DMU15	4	29	9	8	20	14	2	31	9	3	30	9	4	28	10	51	24	12
DMU16	10	32	0	24	9	9	14	28	0	12	30	0	14	28	0	9	4	22
DMU17	18	24	0	18	24	0	18	24	0	18	24	0	42	0	0	0	0	24
DMU18	6	10	26	4	12	26	6	11	25	6	15	21	10	9	23	121	58	4
DMU19	13	29	0	8	34	0	18	24	0	9	19	14	10	32	0	14	7	21
DMU20	4	20	18	8	29	5	4	38	0	7	35	0	6	36	0	23	11	19
DMU21	8	34	0	10	32	0	6	36	0	6	36	0	6	36	0	0	0	24
DMU22	1	26	15	5	25	12	6	17	19	6	19	17	7	25	10	73	35	9
DMU23	2	16	24	8	24	10	4	32	6	6	31	5	5	14	23	67	32	10
DMU24	6	21	15	10	12	20	10	32	0	6	24	12	6	36	0	47	22	15
DMU25	0	6	36	6	18	18	2	22	18	2	13	27	2	40	0	99	47	5
DMU26	13	29	0	14	25	3	12	30	0	18	24	0	18	24	0	3	1	23
DMU27	0	0	42	0	0	42	0	0	42	0	0	42	0	0	42	210	100	1
DMU28	18	24	0	18	24	0	20	22	0	13	5	24	8	9	25	49	23	14
DMU29	12	30	0	6	12	24	12	25	5	12	25	5	15	17	10	44	21	16

Source: Authors

TRANSFORMATION OF PUBLIC ADMINISTRATION IN AFRICA

This book is a compilation of peer reviewed papers presented at the African Association for Public Administration and Management (AAPAM) 37th Annual Roundtable Conference which was held from 29th February to 4th March 2016 in Lusaka, Zambia under the theme, '*Transforming public administration and management to contribute towards the Agenda 2063 within the context of the Sustainable Development Goals*'. It is a collection of papers from seven authors on contemporary concerns on transformation of public administration with a focus on the achievement of the Sustainable Development Goals (SDGs) and African Union (AU) Agenda 2063. The authors herein share practical aspects of public administration in Africa and their imperatives on sustainable development. The papers deal with contextual issues like service delivery, reforms in the public sector, policy imperatives on fostering growth and other conceptual realities of public administration and management in Africa. This manuscript is a rich piece of literature detailing different case studies on transformation of public administration in Africa aimed at enhancing service delivery which is cardinal to national, continental and global development.

AFRICAN ASSOCIATION FOR PUBLIC ADMINISTRATION AND MANAGEMENT (AAPAM)

ASSOCIATION AFRICAINE POUR L'ADMINISTRATION PUBLIQUE ET LE MANAGEMENT (AAAPM)

ISBN 978-9966-139-46-7