



**NEW PUBLIC MANAGEMENT, ETHICS AND ACCOUNTABILITY: THE
CASE OF ADDIS ABABA CITY ADMINISTRATION, ETHIOPIA**

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Declaration

I, the undersigned, declare that the work contained in this dissertation is my own original work and that I have not previously submitted in its entirety or in part at any university for a degree.

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Abstract

This thesis investigates Civil Service Reform Programs (CSRPs) in the context of New Public Management (NPM) and examines how they are associated with accountability and ethics in Addis Ababa City Administration (AACA). In the early 1990s, Ethiopian government has introduced change in its public administration through CSRPs. Despite the efforts made, no comprehensive research has been conducted to examine the nature and characteristics of the reform programs in the context of NPM. Besides, Ethics and accountability were identified as important areas that require redress by the government. However, despite the reform efforts, thorough academic research was not done to understand ethics and accountability practices and challenges in AACA. Moreover, adequate empirical research has not been done on the relationship between ethics and accountability with NPM. Therefore, this study was aimed at analyzing the CSRPs in AACA in the context of NPM and examining empirically how accountability and ethics were associated with NPM. In order to achieve the objectives of this study, mixed research approach was employed. In identification and selection of subjects of the study, multi-stage proportionate sampling and purposive sampling techniques were used. Data were collected from both primary and secondary sources using questionnaire aided by semi-structured interview, and through observation and analysis of different kind of documents. The researcher utilized mainly statistical techniques such as Spearman Correlation Coefficient, Ordinal Regression for the quantitative data and Thematic and Content Analysis methods for the qualitative data respectively. The findings provided comprehensive assessment of the nature and characteristics of the reform programs in AACA within the framework of NPM. It showed that five elements of Hood's NPM model which include explicit standards and measures of performances, emphasis on output controls, competition, the private style of management, and discipline and parsimony in resource use are applied in AACA. The study revealed that accountability and ethics association with NPM was found to be positive. Besides, NPM impacts accountability and ethics in a positive way though it is insignificant. Nonetheless, the outcome of the study indeed proved lack of firm political commitment and support from the bureaucracy, inadequate material and financial resources, lack of qualified personnel, and absence of adequate monitoring and follow up from the reform leading institutions as important problems in the course of practicing NPM in AACA. Furthermore, accountability deficits and unethical practices such as violation of the rule of law, partiality, and corruption and theft were identified in the city administration. Lack of determination of leaders and employees to do away with unethical practices, poor implementation of ethical principles, and absence of enforceable ethical code of conduct are some of the major predicaments that are impeding the betterment of ethics in AACA. Also, low citizen participation, absence of appropriate rewards and sanctions, and undermining accountability institutions are the important challenges in fostering accountability in AACA.

Key Terms: *New Public Management, Civil Service Reform Programs, Accountability, Oversight Institutions, Ethics, Ethical Code of Conduct*

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LIST OF ABBREVIATIONS

AACA	Addis Ababa City Administration
APRM	African Peer Review Mechanism
CC	Citizens' Charter
CSA	Central Statistics Authority
CSOs	Civil Society Organizations
CSRPs	Civil Service Reform Programs
EBC	Ethiopian Broadcasting Corporation
ECA	Economic Commission for Africa
EPRDF	Ethiopian People Revolutionary Democratic Front
ETV	Ethiopian Television
FDRE	Federal Democratic Republic of Ethiopia
FEACC	Federal Ethics and Anti-Corruption Commission
ICT	Information and Communication Technology
IDI	Information Development Index
IMF	International Monetary Fund
LDMB	Land Development and Management Bureau
NPM	New Public Management
OECD	Organization of Economic Cooperation and Development
PBMS	Performance Based Management System
PBBS	Program Based Budgeting System
PPP	Public private partnership
PSCAP	Public Sector Capacity Building Program
PSRP	Public Sector Reform Program
RBPMS	Result Based Performance Management System
SAP	Structural Adjustment Program
SPM	Strategic Planning and Management
SPSS	Statistical Package for Social Science
TPA	Traditional Public Administration
TPLF	Tigray People Liberation Front

UN	United Nation
UNDP	United Nation Development Program
UNECA	United Nations Economic Commission for Africa
WB	World Bank



ADMINISTRATIVE MAP OF THE STUDY AREA

CHAPTER ONE

INTRODUCTION

1.1 Background of the Study

New Public Management (NPM) is a management thought used by many governments across the world since early 1980s to change the defects of traditional model of public management and to make the public sector more effective, efficient, and accountable (Hope, 2003; Hughes, 2003). This public administration model has been developed against the bureaucratic model. NPM is defined as a contemporary paradigm of public administration that uses private and business management approach in the public sector (Batley & Larbi, 2004; Denhardt & Denhardt, 2007; Kalimullah et al., 2012). It is a thought-out change to the structures and processes of public organizations with the objective of running them better or making them responsive to the citizens' demand (Lane, 2000; Pollitt & Bouchaert, 2011).

The rationales for adopting the NPM model were the problems of traditional public administration (TPA), especially its unmanageable size, inefficiency, poor performance, lack of accountability, and wide spread corruption (Bovaird & Loffler, 2003; Haque, n.d; Minogue, 1998). In this way, NPM was originated from the blending of economic theories and private sector management techniques (Hood, 1991). In recent times, there are new avenues of deliberations such as new public governance, new public service though none of these new thoughts is stronger to be alternative paradigms (Vries & Sobis, 2010). However, it has been suggested that the term 'paradigm' is appropriate both to the TPA and NPM (Hughes, 2003). NPM practices are highly institutionalized and it will continue as NPM itself did not displace large components of TPA (Dunleavy, Margetts, Bastow, & Tinkler, 2005).

One of the important factors for the inception of NPM is the historical move in ideology about the state beginning from the late 1970s in a few western countries (Larbi, 1999). According to Sharma (2007), NPM's emergence is associated with the new role of the state and the increasing demands for good governance. NPM came out of the

neoliberal ideology which gives importance to market over the state and establishes a goal to run government in a businesslike manner. It captures most of the organizational, structural and managerial transformations that took place in the Organization of Economic Cooperation and Development (OECD) countries' public services (Aye, 2008).

Proponents argue that NPM allows decentralization, public participation, citizen empowerment, innovation and use of modern information and communication technology (ICT) and e-government (Dzimiri, 2008). It is characterized by reducing bureaucracy, giving more stress to output than rules and procedures, placing customers first, giving power to employees for better results, and producing better government for less (Hood, 1995; Hughes, 2003).

This paradigmatic move in a few western nations starting from the late 1970s was imported to developing countries, mainly through International Monetary Fund (IMF) and World Bank (WB) supported programs. This was required by serious economic and fiscal misfortune in these countries, and worsened political and policy instability (Larbi, 1999). It is now becoming evident that in most developing countries predominantly in Africa, Public administration and management reforms have been brought strongly by external pressures. Other driving forces of NPM related reforms include the supremacy of neoliberal thoughts beginning from the late 1970s, the advancement of information technology, and increment in the use of international management consultants as advisors on reforms. Other notable factors which are considered to be most prominent in the case of developing countries include lending conditionality and the increasing emphasis on good governance by donor agencies (Larbi, 1999).

Like many African and other developing countries, Ethiopia has introduced NPM in the public sector with the prime objective of achieving quality life for its citizens (ECA, 2004). According to Paulos (2001), Ethiopia like many African, Asian and Latin American countries has embraced NPM elements in the civil service. He further added that it is common to use the NPM model for analysis of contemporary administrative reforms in both developing and developed countries. Likewise, Gebre and

Melesse (2014) and Solomon(2013)have also stated that NPM is evident in the Ethiopian CSRPssince the early 1990s. According to these researchers,theconcept of NPM was introduced to Ethiopia with the purpose of making the civil service less bureaucratic, flexible, participatory, accountable, ethical, effective and efficient.

However, despite its commencement across the globe, NPM still remains a contentious issue. It is not free from critics though its proponents claim that it is a better alternative paradigm for TPA (Mongkol, 2011). Principally, the two paradigm proponents have been debating on the issue of ethics and accountability. In this debate, the proponents of NPM emphasizeon how competition mechanism reduces the opportunities for unethical and corrupt behavior and improves accountability in the public sector. Nevertheless, the TPA advocates see NPM as marking the destruction of the public service ethos. Some argue that NPM provides individuals with an opportunity to act unethically and illegally. The presumption is that NPM reform provides individuals not only an opportunity to be unethical and unaccountable but also it provides the moral mind set to give good reason/s for it. As toPolidano (1999) and Maesschalck (2004),NPM is accused of leading to more collective and systemic unethical behaviors.

There are a lot ofsuppositions among scholars that NPM may possibly increase the risk of unethical and corrupt behaviors by public servants and others. Despite the fact that the intention of NPM was an improvement in service provision better than the TPA, it does not go further in nurturing the idea of vital collaboration between citizens, government, and the public sector. According to Vigoda (2003), NPM is rather resulted in the weakening of the fundamental nature of democratic civil society and it discourages the productive political voice of the people. Maravic (2007), on the other hand, suggests that strong and systemic empirical evidence to the above arguments isdeficient.

The fundamental objective of this study is to examine empirically the effects of NPM on accountability and ethics in AACAA. Examining the reform programs also lends the researcher a hand to comprehend how AACAAattempts to realize the demands of the reform.

1.2 Statement of the Problem

Despite the expansion of NPM in many countries since the late 1970s and 1980s, different researchers have maintained diverse positions on the effects of NPM on public sector accountability and ethics. Though NPM emphasizes on result based accountability, there is still no consensus on its effect among public administrators (Hur, 2011). Some of them argue in favor of NPM; while, others are very critical of it. Those who are arguing for NPM believe that accountability and ethics will improve as long as NPM is introduced to the public sector. They consider it as the only approach to correct the irretrievable failures and moral bankruptcy in the old public management, improve management, make government more accountable, increase performance evaluation activities, and resource allocation decisions and trim down the opportunities for corruption (Shah, 2007). In support of this, Hughes (2003) argued that NPM provides better transparency to recognize immoral or corrupt practices more easily and its greater stress on measurable performance has imposed its own kind of behavioral standard. He also added that contracts are supposed to advance improvement in accountability.

In contrary, TPA proponents have dismissed much of the thrust of NPM. They describe it as a needless and philistine destruction of more than a century's work in developing a distinctive public service ethic and culture. They rather emphasized that NPM contributes to the decline of high ethical standard of the old model and increases the rent seeking behavior of civil servants and market participants (Denhardt & Denhardt, 2000; Hughes, 2003; Maravic & Reichard, 2003; Kolthoff et al., 2007). As to these scholars, problems have arisen because NPM is most importantly based on output controls and discretionary management in imitation of the private sector rather than on rule based systems or on any requirements for open procedures and processes.

Other critics pointed out that private sector values have apparently not yielded the desired results and appear to have rather undermined accountability and eroded public trust (Haque, 2001; Haque, 2000; Heerden & Steyn, 2012). They could rather have led to corruption, decreased accountability, and other social and political problems associated with widespread poverty. Similarly, Salmon (2002) (as cited in Gratto et al., 2002) stated

that the exercise of discretion over the use of public authority and the spending of public funds have brought the potential for corruption and it becomes more difficult to maintain oversight and accountability and the line between the government and the private actors becomes increasingly fuzzy.

If NPM undermines accountability in the public sector as it is claimed above, ensuring public sector ethics will also become uncertain. Nevertheless, despite the above arguments and assumptions on the relationship between NPM Versus ethics and accountability, empirical evidence is scarce (Maravic & Reichard, 2003) and the confusions still remain apparent (Reynaers, 2010). For Reynaers, most literature on NPM and public-sector values as well as on NPM and integrity shows a highly fluctuated pattern with contradictory assumptions and research outcomes. Correspondingly, Mongkol (2011) stated that in terms of the benefits it allegedly brings, NPM is controversial enough within the western countries and more complex even for the developing world. This idea has been further extended by Walle and Hammerschmid (2011). These scholars held the view that despite thirty years of NPM reforms in many European countries, few empirical works exist on their effects. Likewise, Hur (2011) argues that there is still no consensus on NPM's effect among public administrators. As a result, it remains highly contested and triggered the need and construction of a new outlook on public service delivery.

Besides, the two paradigms are also dissimilar from the perspective of theories of ethics. According to NPM advocates, TPA is principle oriented and highly associated with Kantian theory of ethics; while, NPM is considered as consistent with the consequentialist theory of ethics as it focuses more on results rather than on how something is achieved. The former, labeled as deontology, is basically concerned with right and wrong as exemplified by the Ten Commandments (Gaus, 2001; Mulgan, 2001). The second category is consequential or teleological theory of ethics. According to this theory, an action is considered as ethical if it increases maximum good as much as possible to the greater part (Mulgan, 2001; West, 2004). Therefore, this raises question on how NPM contributes to the enhancement of accountability and ethics in the public sector taking the aforementioned philosophical and ethical stances into consideration.

The bureaucratic system in the Ethiopian Government was required to be transparent, efficient and effective and client oriented. It was because of these and other similar aspirations that the country had commenced public sector reform programs (PSRPs) in the past. In addition, these reforms were aimed at improving operational systems and enhancing accountability and ethics in the public sector (ECA, 1996; Gebre & Melesse, 2014). Nevertheless, except the mere claim of the introduction of NPM in the public sector by some researchers such as Paulos (2001), ECA (2004), Mengesha and Common (2007), Solomon (2013), and Gebre and Melesse (2014), most of the literature that currently exists on public management reforms in Ethiopia as well as AACA appears to be narrowly focused on problems associated with CSRPs. Thus, far comprehensive research has been lacking on the nature and characteristics of reforms in the context of NPM.

In spite of the tremendous efforts and allocated resources to reforms, improvements that have been seen in Ethiopia including many African countries are very insignificant (ECA, 2004). According to ECA (2005) governance report, among twenty-eight countries included in the survey on civil service's transparency and accountability, Ethiopia ranks the least. Similarly, in recent times, corruption and unethical behaviors committed by government officials and civil servants become great distress to many people in Ethiopia. Transparency International (TI) report also held a similar position. As to TI (2010) corruption perception index, corruption is rampant in Ethiopia as many of the African countries. 31 out of 47 countries scored less than 3 out of 10, which referred all these as highly corrupted countries and Ethiopia scored 2.7.

Also, Ethiopian corruption perception survey conducted by Kilimanjaro International Limited (K I L) (2012) and Seghir, et al. (2011) explicated corruption as one of the major problems that tends to germinate rapidly. According to these reports, corruption becomes a norm which governs political, economic and social behaviors in the country. In fact, Ethiopian public-sector reform programs have shown achievements mainly in the areas of service delivery to citizens (Mengesha & Common, 2006; Solomon, 2013). However, it is still knotted with challenges such as lack of accountability and transparency on the part of the implementing institutions (Solomon, 2013). Therefore, the

results which were expected from reform programs in which accountability and ethics were integral components are remaining doubtful. Furthermore, no comprehensive research was done before that aims to know the effects of NPM on accountability and ethics. In this regard, the need to examine how accountability and ethics are associated with NPM and how NPM impacts accountability and ethics in AACA is very necessary.

AACA is one of the two chartered cities of Ethiopia that is also relatively well positioned and equipped with appropriate resources to run decentralized CSRPs (Mellors, et al., 2007). It is the capital city of the country, the seat of African Union and many diplomatic communities, where better technology, information and exposure to the outside world can place the city administration in a better position to put reform programs into effect and to realize the outcomes expressed within the reform programs better than regional states. In spite of the introduction of CSRPs and merely claiming these reforms as part of NPM, there is no comprehensive investigation of the reforms in the context of NPM in AACA. Besides, regardless of the introduction of reform programs at different periods, accountability and ethics problems are prevalent in the city administration. In this regard, there is disgruntlement by different stakeholders including the FDRE Government.

Similarly, public accountability bodies such Auditor General, Ombudsman, and Ethics and Anti-Corruption Commissions should play an important role in maintaining an environment of vigorous public-sector accountability by representing the concern of the people at large. However, FDRE Government as well as AACA's public accountability bodies have been unable to fulfill their potential and have not acted as an effective mechanism to check unethical and unaccountable practices as needed. They are generally considered as insufficiently effective in reinforcing accountability and ethics. These have been reflected in their unsatisfactory performances and increment of undesirable practices in many of AACA bureaus from time to time (AACA, 2015). Corruption and the pervasiveness of bad governance practices can be mentioned to exemplify these problems.

A similar stance is taken by Transparency Ethiopia (TE). As validated by TE (2008), corruption is becoming a problem in AACA. Similarly, Atikilt (2015) has revealed the

prevalence of unethical practices and undesirable behaviors in AACA. According to him, despite wide range of laws and regulations by the government, unethical practices continue to plague the city administration.

AACA is operating in its own political, economic and socio-cultural setting and there has been no comprehensive study conducted to examine the status of accountability and ethics as well as to analyze empirically accountability and ethics relationship with NPM. It is with the preceding observation in the problem statement that the relationships between NPM and accountability, and NPM and ethics are examined.

1.3 Research Objectives

General Objective

The general objective of this research is to examine the effects of NPM on accountability and ethics, and to investigate how different accountability bodies are functioning in AACA.

Specific Objectives: - The specific objectives of this study are:

1. To examine how the CSRPs programs conform to NPM model.
2. To investigate the current status of civil servants' ethics and accountability.
3. To examine the roles of oversight institutions in reinforcing accountability and ethics.
4. To analyze the nature and extent of ethics and accountability relationship with NPM.
5. To examine the effects of NPM on accountability and ethics.

1.4 Research Questions

The central question of this study is how NPM is impacting accountability and ethics and oversight institutions are functioning in reinforcing accountability in AACA.

Specific Research Questions:

1. How do CSRPs conform to NPM and what factors affect NPM practices?

2. What is the current status of civil servants' ethics and accountability?
3. What factors are impeding accountability and ethics situations?
4. How are oversight institutions functioning in reinforcing accountability and ethics?
5. How and to what extent is NPM related with accountability and ethics?
6. How does NPM affect accountability and ethics?

1.5 Significance of the Study

Ethiopia is embarking on introducing reform programs since the early 1990s. A lot of research has been done on CSRPs in the Ethiopian context. However, these studies lack comprehensive empirical findings in examining the nature and characteristics of these reform programs in the context of NPM. Therefore, this study is supposed to fill this gap and provides direction about the nature and characteristics of the reform programs in light of NPM in AACAA. Similarly, an all-inclusive and rigorous study on how NPM practices impact accountability and ethics has not been conducted before. In this respect, this makes the study profoundly significant.

It is also imperative that researchers, politicians, and policy makers better have some research findings on the nature and characteristics of reform programs in Ethiopia as well as AACAA. Despite a rapid growth in NPM, accountability, and ethics literature during the past few decades, research on the accountability and ethics relationship with NPM and the impacts of NPM on accountability and ethics is inadequate worldwide as well as in the Ethiopian context. In addition, the relationship between NPM and accountability, and NPM and ethics still remains disputatious and debatable. Moreover, with the growth in public sector reform programs in both developed and developing countries since 1970s and 1980s respectively, interest in these three variables (NPM, accountability, and ethics) has grown. Nevertheless, there remains a dearth of literature concerning NPM's relationship with accountability and ethics. Thus, this research has made a noteworthy contribution to enhance the level of knowledge and understanding relating to this subject. Although the primary focus of this study is on accountability and ethics relationship with

NPM in AACA, it is also undeniable that the findings are pertinent to other public-sector organizations as well.

In order to know accountability and ethics relationship with NPM in AACA, this study provides valuable insights on the current accountability and ethics practices of the city administration. It has also the potential to serve as a benchmark study of current practices. This study also portrays important factors that are deterring the implementation of reform programs and the enhancement of accountability and ethics in AACA. To this end, it will be helpful to practicing managers and administrators to be acquainted with reform related problems. The study can also be helpful to put in place workable mechanisms that are important to ensure accountability and ethics in AACA.

The study provides empirical evidence and help to clear up prevailing confusions and crystallize the debate on accountability and ethics relationship with NPM. The findings of this research can also serve as important inputs for policy makers and advisors, city administrators, and interested individuals to differentiate the reality from the rhetoric and to come up with appropriate decisions. It can also serve as a source of reference for academic community and others who would like to know more about accountability and ethics relationship with NPM. Furthermore, it would pinpoint research areas and pave the way for potential and interested researchers to conduct further studies on this and similar topics either to enrich the theory or to find out solutions for practical problems. In general, this study is significant because it can address the need for comprehensive research on accountability and ethics relationship with NPM in AACA.

1.6 Scope of the Research

Examining accountability and ethics relationship with NPM in AACA is the focus of this study. The reasons for choosing Addis Ababa as study site was the fact that it is relatively better suited to put reform programs in place than in other cities. The city had a competitive advantage of running decentralized civil service reform programs as it is relatively equipped with necessary resources such as human power and information technology infrastructure compared to other regional states (Mellors, et al., 2007).

Most research in the public sectors covers wide areas ranging from the judicial reforms to the legislative and executive branches of Government. Due to time constraint, it was not possible to cover all areas of reforms. Thus, the center of attention in this study was AACA's civil service and CSRPs. The Ethiopian civil service has been in the process of major structural change since the early 1990s(Tesfaye, n.d). Thus, the study period covers the time since reformprograms has begun to date (1991-2016). The researcher has drawn upon Hood's (1991) model of NPM for the theoretical framework upon which the research is based. Hood's (1991) theoretical framework was selected because it is the most commonly used model in Public administration research and widely regarded as key source of NPM(Walle & Hammerschmid, 2011).

From different accountability typologies, hierarchical accountability was considered as the main focus of this study because it is the most commonly known accountability type in public administration (Bovens, 2007; Tippett & Kluvers, 2010). Accordingly, survey was conducted among the employees of the study organizations altogether with semi-structured interviews with key informants and service recipients. Nonetheless, despite a great deal of emphasis to the above accountability type, legal, administrative, and social accountabilities are not overlooked because each of them cannot stand alone to show the full picture of the current status of accountability in AACA. The other important issue in this study is ethics. There are different ethics theories. However, in this study, ethics is mainly delimited to the two main streams of normative ethics: duty based and result based mode of reasoning as ethics rests on the two prime philosophical camps (Ameh & Odusami 2010). Also, character based ethics is also considered to be important to the study. Furthermore, co-workers and leadership ethics are also examined separately since they are important actors in executing government policies at all levels of the city administrations.

1.7 Challenges and Limitations of the Study

In undertaking this research, there were a lot of challenges and limitations that need to be mentioned. The mobility and reallocation of managerial and non-managerial staff from one bureau to the other or from the public sectors to the private sectors have

contributed to lack of understanding on reforms undertaken in the past by the existing employees of AACCA. In addition, reluctance to provide relevant information for the study by survey respondents was among the challenges that the researcher has experienced.

Challenges are also continued to emerge due to the restructuring of Bureaus in AACCA. After data have been collected and significant portion of the data analysis was made, Trade and Industry Bureau which was previously considered as one was split up into two as Trade Bureau and Industry Bureau. As a result, conducting survey or interview for each recently split bureau in a separate manner was not possible.

The other challenge experienced by the researcher was lack of well-organized documentation and system of record keeping. Because of poorly organized filing and less developed information technology systems (ITS) management, it was very difficult to access, and retrieve relevant data related to the study topics as needed. It might be for the reason that Ethiopia's ICT sector remains far behind the rest of the world or the weaknesses of the city administration in keeping as well as managing the necessary information as needed. Ethiopia's ICT sector stands at the bottom of the International Telecommunications Union information Development Index (IDI), with 0.97 score and rank of 154th out of 159 countries in 2010 (Adam, 2010).

This study was also affected by some limitations. One of the limitations of the study is that beliefs, perceptions, and attitudes of survey respondents were used in exploring the applicability of NPM in AACCA. It would have been sound to prove the applicability of NPM based on the outcomes of the reforms as well as any evidence documented before. However, there were problems to realize this in Ethiopia as well as in AACCA contexts to the level needed. The availability of tangible evidence was not adequate enough to help the researcher come up with conclusions about the applicability of NPM as well as the nature and characteristics of CSRs in the context of NPM in AACCA. In this type of situations, the best choice was to use the perception of civil servants besides the information obtained from interview and secondary sources.

Second, it would rather be interesting if the research approach was comparative in nature that is two or more cities would have been included. Nevertheless, the researcher

was forced to limit himself in AACABecause of resource constraints. Therefore, limiting the study to AACAA and overlooking the possibility of comparative approach can be considered as a limitation for this study. Consequently, the findings of the study may not be generalized to some other cities in the country. Furthermore, the assessment of leaders' accountability or ethics was mainly based on the employees' perception. This may have its own potential bias (negative or positive) depending on the nature and quality of relationship between the managers and employees. Overall, in spite of the challenges and limitations noted above, the researcher has tried his best to get relevant information in order to make sure that the quality of the research would not be compromised in any way.

1.8 Structure of the Thesis

This study is organized into nine chapters. Chapter one is the first part of the thesis. It contains the introduction, background of the study, statement of the problem, research objectives, significance of the study, scope of the study, limitations and challenges of the study and chapter outlines. Chapter two reviews related literature regarding NPM, accountability, and ethics. It provides an overview of existing assumptions that explains accountability and ethics relationship with NPM. It has three sections. The first section discusses TPA, and why it is no longer considered relevant for the contemporary society. The history and evolution of NPM is also highlighted in this section. It also summarizes rationale and elements of NPM. The second section looks at the theory of accountability and ethics. Analytical framework used to analyze accountability and ethics relationship with NPM is also dealt with in section three.

Chapter three sets out and explains the research methodology adopted in this study. It addresses overall research approach and design used in this study. It discusses sampling design, data collection and analysis methods, and ethical considerations.

The fourth chapter, which is the first part of the empirical analysis, mainly focuses on the nature and characteristics of reform programs with respect to NPM in AACAA. This chapter begins with the brief socio-economic and political background information of AACAA and its effect on PSRPs. It also presents an overview of Post-Dergue PSRPs in Ethiopia in general and AACAA in particular. The CSRPs as an integral part of PSRPs were

analyzed to ascertain how reform programs in AACA are conforming to the NPM model. In addition, the other important issues identified in this chapter are the factors impeding the practices of the reform programs in AACA.

Chapter five and six deals with the status of civil servants' ethics and accountability together with factors that are exacerbating ethics and accountability problems in AACA. Next, chapter seven treats the critical investigation on the practices and roles of different oversight institutions in reinforcing accountability and ethics in AACA. The examinations of accountability and ethics relationships with NPM and NPM's effect on accountability and ethics are dealt with in chapter eight. This chapter shows that the relationship between NPM and accountability, and NPM and ethics is positive in AACA.

Finally, chapter nine has brought in the conclusion of the study and its contribution to knowledge. It includes and considered the wider policy implications of the findings of the study. It also presents areas for future research.

CHAPTER TWO

REVIEW OF RELATED LITERATURE

2.1 Introduction

This chapter provides an overview of the historical development of public administration to acquire insight into the theoretical antecedents of the field. Apart from the historical development of public administration, the paradigmatic status of the discipline is also highlighted. A review of the literature was done in order to have clear understanding of the evolution and development of public administration from TPA to NPM and to get an outlook of various authors about NPM, TPA, accountability and ethics. It then briefly discusses the traditional model of public administration, namely the bureaucratic model and its critiques. It also expounds the emergence of NPM, the philosophies and elements of NPM and its criticisms. Besides, this chapter puts forward analytical framework on the basis of which empirical evidence is assessed and analyzed so as to address the given research questions.

2.2 The Traditional Model of Public Administration

The traditional model of public administration has been regarded as the most successful theory of public sector management albeit it does not have a single coherent intellectual foundation and is now being challenged by the new paradigm. According to Uwizeyimana and Maphunye (2014), public administration, as the oldest theory, was started to be challenged by NPM in 1970s-1990s. Its theoretical basis was derived from Wilson and Taylor in the United States, the Northcote-Trevelyan report in the United Kingdom and Weber in Germany (Hughes, 2003; Katsamunskaya, 2012).

As expressed by Pfiffner and Boardman (2008), Weber emphasized autocratic hierarchy. Likewise, Olantunji (2013) and Wilson (2004) argue that the bureaucratic model was characterized by red tape, formalism and rigid rules. Its bureaucratic nature and top down decision-making approach causes it to become far distant from citizens' expectations (Zia & Kahn, nd.). Correspondingly, Al-Habli (2011) stated that many

scholars are arguing public administration as a field of control, control of people, control of inputs and outputs.

Also, the bureaucratic model focuses on procedural issues more than on what the process delivers. In other words, the model concentrates on 'doing things right' rather than 'doing the right things' (Awortwi, 2003). As a result, Weber's ideal type of bureaucracy which has been considered as the most important TPA model has faced criticisms for being ill-suited to contend with the tasks, purposes, and circumstances of the modern-day democracies (Olsen, 2008).

TPA was also considered as rule-bound, and indifferent to results, wasteful, inflexible, and unaccountable and unable to get along with economic efficiency and individual freedom. Consequently, it started to change in the mid-1980s into a market-based and flexible public management (Katsamunskaja, 2012). Thus, due to the perceived weaknesses and combination of criticisms, TPA gave birth to the new model and a new paradigm which is known as NPM becomes reality.

2.3 New Public Management Paradigm (Post-Bureaucratic Paradigm)

As stated by Persson and Goldkuhl (2010), NPM is an approach adopted by governments to restructure their bureaucracies in order to provide effective and efficient services to citizens. For Hughes (2008 & 2003), NPM encompasses a wide range of techniques and perspectives that are intended to overcome the inadequacy and inefficiencies inherent in the traditional model of public administration.

Pollitt (1994) (as cited in Androniceanu, 2007) defined NPM as a vision, an ideology or a bundle of a particular management approaches and techniques where many of them are borrowed from the private sector. The starting point is that traditional bureaucratic structures of the 20th century and its rigid and bureaucratic nature became too cumbersome for the new era of instant communication (Chipkin & Lipietz, 2012).

NPM favors decentralized administration, discretionary authority, contracting for goods and services, and bringing into play market mechanisms of competition and customer service to improve performance (Hood, 1995; Hood, 1991; Zia & Khan, n.d). As stated by

Persson and Goldkuhl (2010), NPM is aimed at achieving accountability through the measurement of outcomes in preference to inputs and processes. In a similar manner, Pfiffner (2004) stated that provision of discretionary authority to managers to manage and use their judgment is necessary if they are to be held accountable for their performance.

2.3.1 Origin of New Public Management

As indicated by Pollitt, Thiel, and Homburg (2007), the NPM movement began in the late 1970s and early 1980s. It emerged out of Thatcherism in Britain and Reaganism in United States of America (Philip & Daganda, 2013). Likewise, its first practitioners came into sight in the United Kingdom under the then Prime Minister Margaret Thatcher, and in USA. Subsequently, Governments of New Zealand, Australia and the OECD countries began to follow (Gruening, 2001). As stated by Hood (1991), the subsequent adoption of NPM by an increasing number of countries across the globe has been described as one of the most striking international trends in public administration. Hughes (2003) also noted that at the outset a variety of names was given to the new line of thought including managerialism, new public management, market based public administration, the post bureaucratic paradigm or entrepreneurial government. However, the literature has essentially chosen NPM, a term coined by Christopher Hood.

In elucidating the origin of NPM, Hood (1991) uses the metaphor of it being a “marriage” of opposites or the product of two different streams of ideas. To be precise, it is the combination of the new institutional economics and business type managerialism (Kalimullah et al., 2012). This implies that the use of market mechanisms in public service delivery and the use of management techniques are the core of NPM idea.

As stated by Lane (2000), NPM is part of the managerial revolution that has been undertaken around the world, affecting almost all countries including developed and developing to a different scale of influence. It is a wide-ranging event that breaks away from the autocratic and traditional paradigm of public administration to market oriented approach to management (Hood, 2000; O’Flynn, 2007). According to Hood (2000), rigid hierarchy, more emphasis to process and input rather than result, professionalism rather

than managerial orientation, an insulation of public from private management, absence of business values and techniques are considered as some of the attributes of TPA. Nonetheless, out of the several research works related to public management, no more than TPA and NPM are succeeded in imposing paradigms by influencing public administration in numerous countries (Petrescu et al., 2010).

NPM is the theory of most recent paradigm change in how the public sector is run and managed (Lane, 2000). As stated by Bouckaert (2011), it is premeditated change to the structures and processes of public sector organizations with the intention of getting them better than TPA style of doing things by the book. The rise of NPM is one of the most notable international developments in public administration (Hood, 1991). Similarly, Meiri (2008) argues that these days, NPM represents an approach in public administration with the objective of acquiring and integrating knowledge and experiences in business management and other disciplines for betterment of public agencies' performances.

Also, economic and fiscal pressures on governments, public attitudes and mounting criticisms on the ineffectiveness and inefficiencies of public services, the revival of new right politics in the late 1970's and 1980's, the propagation of management ideas, donor assistance and lending conditions particularly in developing and transitional countries mainly by IMF and World Bank and the spread of global market are the important factors that trouble public administration to make reforms in the past (Larbi, 2003; Sözen, n.d).

As noted above, one of the most important factors for the emergence of NPM has been the historical shift in state ideology since the late 1970s in advanced capitalist nations toward a neoliberal line of thinking. This neoliberal line of thinking also contradicts with the welfare state. It advocates small government, doubts the capability of governments in the provision of public goods and services effectively and efficiently, blames public bureaucracy, believes in private sector superiority and market mechanisms and competitions (Haque, n.d). Hughes (2003) expressed that NPM sought to replace the rigid, hierarchical, bureaucratic form of public administration that predominated for most of the twentieth century to a flexible, market-based form of public management. According to Hughes, NPM tried to oust the TPA and widely accepted as "a new paradigm" by many

OECD countries and countries such as Australia, Canada, the United Kingdom and New Zealand.

Also, Liou (2001) argues that before NPM, demand driven public agencies defined success by how much money was budgeted, how many people were employed, and how many programs or activities were funded but now a result driven government defines success by what effects or consequences the budget has. As a result, the change has brought differing standards such as result oriented management, performance management, total quality management, entrepreneurial management, and even reinvention of government.

NPM is still working and will continue to be a major force in the future though some are declaring it as dead. According to the latter's view, the intellectually and practically dominant set of managerial and governance ideas regarding NPM for the last few decades have basically died (Dunleavy, 2005). Contrary to this, the major argument is that NPM has proven successful and has spread all across the world and it would be difficult to turn around many of the NPM reform measures. Moreover, further spread of NPM is predictable either within countries that have preferred and implemented NPM passageway or from these countries to others, who were reluctant to accept it (Laegreid, 2011). Therefore, it is reasonable to argue that NPM is still functioning in many countries, and NPM led reforms have normally not been replaced by new paradigm but revised and supplemented by post NPM reforms.

2.3.2 Major Elements of New Public Management

NPM and TPA are not alike in many ways. Despite its fabulous appeal, TPA has failed to take some indispensable environmental forces into consideration (Kalimullah, Alam, & Nour, 2012). As a result, NPM steps forward in response to these environmental forces that many governments have encountered in the past (Naz, 2003). NPM is understood as an approach or method for correcting the perceived weaknesses of bureaucratic public administrations (Hood, 2000).

As stated by Larbi (2003) and Ohiole and Ojo (2015), various ideas and themes of NPM can be categorized broadly into two groups. On the one hand, there are ideas that are derived from managerialism which emphasize management in government including management decentralization, disaggregation and downsizing of government, creating flexible organizational structures and systems, and giving managers more freedom to manage. On the other hand, there are ideas emanating from new institutional economics that accentuate markets and competition as a way of giving choice and ‘voice’ to users and promoting efficiency in service provision.

2.3.3 Doctrinal Components and Rationale of New Public Management

Important highlight is given about the major reasons for the emergence of NPM in the preceding sections. Nevertheless, the very rationale of NPM and its doctrinal components are explicated in detail in subsequent paragraphs.

Many authors agree that NPM is come about because TPA does not work under present-day conditions. As stated by Kalimullah et al.(2012), fiscal crises, poor performance of the bureaucracy, lack of accountability in public organizations, and wider spread of corruption have given the emergence of NPM. According to these scholars, NPM emphasizes small and better government, decentralization and empowerment, customers’ satisfaction, promote better mechanisms of accountability and the development of institutions. Nevertheless, TPA gives more importance to Max Weber’s bureaucracy (Awortwi, 2003; Lane, 1995; Pfiffner, 2004).

Similarly, Hughes (2003) stated that TPA lacks flexibility and fails to provide effective and efficient public services. The difference between the two forms of organization is between choice and compulsion. NPM is allowing the market to find an agreed result while TPA does not. Generally, NPM have been declared as both necessary and successful (Pollitt and Bouckaert, 2000).

Rationales for the emergence of NPM and its doctrinal components as stated by Hood (1991) are elucidated at greater length below table 2.1.

Table2-1: Doctrine and Rationale of New Public Management

No.	Doctrine	Rationale
1	'Hands- on professional management' in the public sector	Accountability requires clear assignment of responsibility, not diffusion of power.
2	Explicit standards and measures of performance	Accountability requires clear statements of goals; efficiency requires hard look at objectives
3	Greater emphasis on output controls	Need to stress results rather than procedures
4	Shift disaggregation of units in the public sector	Need to create manageable units, separate provision and production interests, gain efficiency advantages of use of contract or franchise arrangements inside as well outside the public sector
5	Shift to greater competition in public sector	Competition as the key to lower costs and better standards
6	Stress on private-sector styles of management practice	Need to use proven private sector management tools in the public sector
7	Stress on greater discipline and parsimony in resource use	Need to check resource demands on public sector and do more with less

Source: Hood (1991).

As it is acknowledged above, the original specification for NPM model was distinguished by Christopher Hood's 1991 article "A Public Management for all Seasons", who considers NPM as comprising seven core inter-related components (Hood, 1991). Hood's seven principles of NPM are explicated in the upcoming paragraphs.

The first element of NPM is the introduction of professional management. This means "active, visible discretionary control of organizations from named persons at the top, free to manage because accountability needs clear assignment of responsibilities and duties for action"(Hood, 1991). In accordance with this principle, people who are implicated with

public service delivery should be prudent and proactive managers rather than knee-jerk administrators, who are waiting and receiving instructions from others. Hence, modern public managers should have discretionary authority in decision-making within their boundary of responsibility. Unlike TPA, which functioned in conformity with established rules and regulations, and implemented the policies of government with little or no discretion and with no direct responsibility, management under NPM lies at the core of public sector functions, and professional managers are conceived as the key to improve public sector performance. It emphasized that those who hold positions should be given substantive responsibility for management. The typical justification is that accountability requires clear assignment of responsibility for action, not diffusion of power.

The second aspect of the reform is explicit standards of performance. NPM brings rigorous measures of performance to public sector organizations. Subjecting public managers to performance evaluation and introducing disciplinary mechanisms which oblige public sector bodies to focus on their specific responsibilities and carrying out those tasks efficiently and effectively are elements of NPM. This requires goals to be defined and performance target to be set and it is justified by proponents as accountability requires a clear statement of goals; efficiency requires a hard look at objective.

Third, the adoption of an output controls was greatly emphasized under NPM. In the past, public sector organizations often failed to worry about their outputs and their main focus was on input and process. However, in NPM, the focus is shifted to results. As stated by Pollitt (2003), this shows a shift in the focus of management from inputs and process orientation towards outputs and outcomes. Likewise, Hood (1991) affirmed that resource allocation and rewards are linked to measured performance.

Fourth, NPM gives emphasis to the disaggregation of public sector units. This involves the breaking up of large entities into corporatized units around products, funded separately and dealing with one another on an arm's-length basis. This is justified by the need to create manageable units and to gain the advantages of achieving efficiency.

Fifth, greater competition in public service provision is also one among the important elements of NPM. The justification for the adoption of NPM was the argument that the

bureaucracies were inefficient and self-interest focused. Hence, markets were promoted as an approach that would eliminate these flaws through competition (Newman, 2005). Two central arguments within the public choice approach are, the market, not government is the best allocator of resources; individuals are the best judges of their own welfare. As such, market disciplines are brought into the public sector believing that threat of competition and rivalry among providers fosters efficiency in service provision and choice for the customer. The implication is that service providers will improve the quality of service and lowering price with better standards (Hood, 1991).

In addition to NPM elements stated above, private sector styles of management have also been taken as the six-main focus of NPM. An important theme within public management is that the public sector should seek to behave in a more business-like approach. The underlying principle behind this argument is that efficiency of public service provision is enhanced when a public-sector agency conducts its affairs in accordance with business principles. Finally, greater discipline and economy in resource use is taken as the seventh important element of NPM. Public service agencies must pay much greater attention to the use of financial and human resources at their disposal. The emphasis in NPM is much on lowering cost and better quality.

2.3.4 Criticisms of New Public Management

In spite of its expansion across the globe, a number of criticisms have been made on NPM. Paradox of centralization through decentralization was one of the criticisms of NPM. As Mongkol(2011)has expressed, giving public managers more authority to manage programs may result in concentration of decision making power within them. As a result, this may lead to centralized decision-making power by people who are entrusted with Public managerial positions instead of reinforcing decentralizations.

The application of private management techniques in the public sector is the second criticism. The body of knowledge which was imported from the private sector was contested. TPA stream argue that NPM is simply the superficial adoption of some features of private sector management though advocates view NPM as a new way of

looking at and carrying out management functions within the public sector. The private business model has been criticized on the ground that public sector is different from the private sector(Yamamoto, 2003).As noted by Atreya and Armstrong (2002), public and private sectors are different; therefore, theories of the private sector are not relevant to the public sector. As these authors contend, the important difference is their objective. The private sector is profit oriented;whereas, the public sectors are service oriented with the objective of ensuring social equity. Likewise, Mongkol(2007)argues that areas of public services and administration have distinct political, constitutional, and social dimensions. According to these scholars, these dimensions make public sector dissimilar from the private sector.

In a similar vein, Savoie(2002) and Singh (2003) held the view that private sector practices are rarely adopted in government operations. These researchers furthermaintain thatNPM is unfitting to the public sector as it has more complex objectives, multifaceted accountabilities, and unsettled political environment.Hence, these make NPM defective.

The third criticism of NPM involves ethical issues. For Ormond and Loffler (2006), discretionary authority or freedom of management within public sector organizations provides more opportunities for unethical behaviors. Correspondingly, Hughes (2003) accentuates that contracts with governments are kept secret for reasons such as commercial research. Consequently, transparency is lacking in terms of practice.

The preceding sectionbriefly discusses TPA, NPM and the basic differences that existbetween them. The consecutivesections, however, focused on reviewing literature on accountability and ethics. It also explicates the analytical framework used in the study.

2.4 Accountability and Ethics in the Public Sector

The relationship between accountability and ethics has long been debated in Public administrativebeit the nature of the relationship is not properly examined(Dubnick, 2003). As stated by Greiling and Spraul (2010), some are considering accountability as virtue and a subset of ethics;while, others considered it as a social relationship in which actors are made accountable by forums.

The main purpose of this study is not to articulate the differences between ethics and accountability empirically. It is rather intended to examine how accountability and ethics are associated with NPM. Thus, in examining accountability and ethics relationships with NPM, clear understanding of the upcoming accountability and ethics theories and concepts can undoubtedly play paramount significances.

2.4.1 Accountability in the Public Sector

The concept of accountability is very fluid and not still systematically studied by scholars in the field. Consequently, there is lack of consistent theoretical framework by many of the scholars on the concept and meaning of accountability. Some are looking at it as a mechanism that restrains human behavior; while, others see it as a virtue. Despite the fragmentations and disconnections among scholars in understanding and defining accountability, the former is used in this study. The concept of accountability and ethics are discussed below separately.

2.4.1.1 The Meaning of Accountability

The concept of accountability has always been a concern of both the study and practice of public administration (Demmke, Hammerschmid, & Meyer, 2006). Nonetheless, it has been described as imprecise and complex (Tippett & Kluvers, 2010). Like many other concepts in social science, accountability has several meanings depending upon time and context. According to Mulgan (2000), Schillemans (2011), and Slominski (2008), accountability is nebulous, a chameleon-like term, and difficult to have equivalent meaning in different languages other than in English. For some countries, it is difficult to understand accountability as the native languages do not contain equivalent meanings (Dubnick, 2002).

A complementary view is also held by Mulgan (2003) and Bovens (2010). As stated by these scholars, accountability is a contested concept and it has failed to reach unequivocal meaning yet. As a result, many authors and researchers have produced their own specific definition of accountability and this leads to differences in understanding its meaning by different people.

Historically and semantically, the root of the word accountability is closely associated with accounting and book keeping (Bovens, 2006; Bovens, 2003). As to Bovens (2006) and Dubnick (2002), the starting place of the present-day concept of accountability can be traced back to the time of William I, in the decades following the 1066 Norman conquest of England. However, as stated by Bovens (2010), accountability has undergone a change from a mundane bookkeeping function to much broader function of public accountability. According to this author, this change runs alongside with NPM in the 1980s and 1990s by the Thatcher government in the United Kingdom and reinventing government reforms by the Clinton-Gore administration in the United States.

In spite of the development of the concept from a mere bookkeeping to much broader function of accountability, it has not achieved indisputable and unequivocal meaning yet. For the same reason, accountability is defined in broader and narrower contexts. According to Bovens (2007), when it is looked broadly, accountability covers multiple distinct concepts like democracy, equity, efficiency, responsibility and integrity.

Likewise, Bovens, Schillemans, and Hart (2008) also held complementary views stating that accountability in broad sense is an evaluative concept and closely related to responsiveness, responsibility, willingness to act in a fair, transparent and equitable manner. These authors continued to argue that accountability in its broader sense is highly contested as there is no consensus about the standard behaviors for accountability. Nevertheless, the narrow conception of accountability refers to the obligation to explain and justify one's own conduct to forums.

Likewise, Mulgan (2003) asserts that for accountability to exist, there must be relationship between the actor and the principal. For Mulgan, the term accountability has come to stand as a general term for any mechanism that makes powerful institutions responsive to the public. He further opined that, accountability must have three dimensions. These include an external dimension (an actor gives an account to someone else), interactive dimension (actors are asked to provide an account to someone else), and authority dimension (reflecting the fact that those demanding accountabilities have the right to sanction actors that have done something blameworthy and to reward them if they

done something praiseworthy). Harmoniously with what is noted above, Brinkerhoff (2001) found that the availability of sanctions for inappropriate actions gives “teeth” to accountability.

As far as this study is concerned, the narrower conception of accountability is used. As stated by Madeleine (2013), accountability is understood as a social arrangement or institutional mechanism in which an actor can be held accountable by a forum. It is also a relationship between principals and agents where agents explain and justify their actions to principals (Hughes, 2003). Correspondingly, Bovens (2003) and Callahan (2007) elucidated accountability as the obligation of individuals or institutions to explain publicly, and fairly, how they carry out, or fail to carry out responsibilities.

Also, a complementary view is provided by Bem (2014). According to Bem, accountability is a task to acknowledge and assume responsibility for action, products, decisions, and policies. This suggests that the essence of accountability is not the behavior of public agents, but the way in which the principal-agent relationships operate. The above definition is a widely accepted, generic, and non-sector specific definition that can be used in broad social contexts (Levitt, Janta, & Wegrich, 2008).

Public accountability is therefore the requirement that those who hold public positions on trust should give details for the use of trust to citizens or their representatives (Efiog & Crowther, 2012; Ejere, 2012). It signifies the preeminence of the public will over the private interest and tries to make certain that the public is supreme in every activity of public officials (Hughes, 2003; Shah, 2007).

In a similar vein, OECD (2002) argues that serving the public interest is the mission of public institutions. Thus, public accountability is the principal-agent relationship where agents carry out tasks on behalf of the principals and reports to them on how they have been performing (Bovens, 2006; Hughes, 2003; and Shah, 2007).

Also, applications of the principal-agent model in the study of public accountability are a common phenomenon (Gailmard, 2012). For Madeleine (2013), the institutional arrangement of accountability is similar to an accountability perspective that embodies

the principal-agent relationship. Similarly, Dive (2008) stated that accountability occurs whenever individuals or organizations are answerable to another for work, resources, and results. Dive holds the view that success in accomplishing tasks effectively should result in reward and recognition from the person or persons who set up the role in the first place. This suggests that accountability without consequences is worthless.

In Principal-agent relationship, the agent has an obligation to explain and justify her/his conduct/s to the principal/s (Kluvers & Tippett, 2010). On the other hand, the principal can pose questions, demand justification and pass judgment, and finally the agent may face consequences (Bovens, 2010). The consequences can be positive or negative. It can be reward or penalty depending on the agent's accomplishment of responsibilities entrusted to her or him. An actor can be an individual, a group or an organization. Congruently, Bovens (2007) noted that the principal can be an individual like the supervisor, the journalist or an agency like the ministry, the court, the parliament, and the audit office.

As stated above, accountability is the relationship between two parties. One group is held accountable while the other one holds others to account. Similarly, Bovens (2007) stated that the first group is normally called the 'accountor' or the agent and the second group is called the 'accountee' or the principal. For Bovens, principals delegate authority to agents to carry out activities on behalf of the principals. In democratic countries, the people are the principals, and government officials including civil servants are agents.

However, the central problem of principal-agent theory is to make certain that agents do what principals have empowered them to do, which is to promote the wellbeing of the public or provide public goods and services. As stated by Shah (2007), agents have a propensity to promote their own self-interests. Thus, controlling is the better option to restrain agents from inappropriate and illegitimate acts.

2.4.1.2 Theories of Accountability

In this section, the two important theories of accountability (agency and stewardship theories) are discussed in separate headings.

A) Agency theory: Agency theory which is often referred to as the principal-agent model is a theoretical framework that has been used to explain the behavior of both the principal and the agent. In order to explain the basic concepts upon which the foundations of agency theory are built, it is better to start with a definition of principal-agent relationships.

Jensen and Meckling (1976) (as cited in Caers et al., 2006) defined a principal-agent relationship as a contract under which one or more persons (the principals) engage with another (the agent) to provide goods or services on their behalf. Nonetheless, in the absence of threats and sanctions, agents are assumed to be self-centered utility maximizers over and above the wishes of the principals. As stated by Waterman (1998), the two key elements of the principal-agent model as it has been applied to bureaucracy are goal conflict and information asymmetry.

Two assumptions characterize the principal-agent model: (1) there is goal conflict between the wealth-maximizing behavior of the principal and utility-maximizing behavior of the agent; and (2) agents have more information than principals and take advantage of it. Likewise, Eisenhardt (1989) stated that agency theory is concerned with resolving the two problems that can occur in agency relationships. Eisenhardt goes on to say that, to correct the inefficiencies that can possibly arise from contracts and to motivate and enforce the behavior of agents towards goal alignment, incentives, sanctions, and monitoring have to be applied.

According to Dicke (2002), to ensure accountability, government officials who view agents from the principal-agent perspective prefer external control. The principal delegates responsibility to the agent for the production and delivery of goods or services. The principal and agent agree on the terms of the contract including the inputs, processes, outcomes, and how the agent is to be compensated for doing the work of the principal. However, many scholars and researchers have criticized the principal-agent model as follows.

Although agency theory appears to be dominant in most governance researches, scholars in psychology and sociology have pointed out its theoretical limitations. As Davis,

Schoorman, and Donaldson(1997)accentuate,researchers such as Hirsch, Michaels, and Friedman (1987) and Perrow (1986) are among those who have criticized the principal-agent model. These scholars held the view that the model is biased and disregards the possible utilization of agents, and pays no attention to opportunistic behavior of principals. They further argued that principal-agent model gives much weight to individual self-interest;it negatively typifies their moral and collective behavior as egoistic and self-centric.

However, in spite of the critics given above, principal-agent model is considered in analyzing the status of civil servants' accountability and the relationship between NPM and accountability in AACA. The most important assumption is that agency theory encourages government and government departments to control, monitor activities and curb selfish interests of agents. Complementary view on the usefulness of the principal-agent model is also held by Gailmard(2012).Gailmard argues that the applications of principal-agent model have become sufficiently common and widespread in public accountability studies. The agency model is also very suitable to model accountability relationship(Schillemans, , 2013).

B) Stewardship theory:Although agency theory addresses manager-principal interest divergences, another theory is required to elucidate factors that cause interests to be converged.For the same reason, stewardship theory has been initiated as a means of defining relationships based on behavioral premises and assumes goal convergence on account of shared and collective interests with the contracted steward (Donaldson and Davis, 1991; Slyke, 2006).

Stewardship theory explains that reluctance to disclose information by the agent is owing to the inappropriateness of mistrust driven accountability (Greiling and Spraul,2010).These authors further argued that stewardship model focuses more on mutual destiny instead of giving emphasis to differences. As stated by Davis et al. (1997),stewardship is motivated by the need to explain relationships based on non-economic assumptions.

In contrast with agency model, stewardship theory needs to recognize conditions differently. According to this theory, agents will not ground their actions on ego-centric interests; rather, they get satisfactions by serving shared goals. It is on this assumption that accountability methods derived from stewardship theory are most likely to vary from external controls (Dicke, 2002).

Besides, stewardship theory examines relationships and behaviors that are often ignored in economic theories. It also accentuates collective, pro-organizational behavior in which a higher value is placed on goal convergence than goal divergence. Similarly, Abdullah and Valentine (2009) suggest that stewards are satisfied and motivated when organizational success is attained. Hence, the principals must cultivate stewards and provide them with the necessary resources to serve the organization and fulfill the terms of the contract.

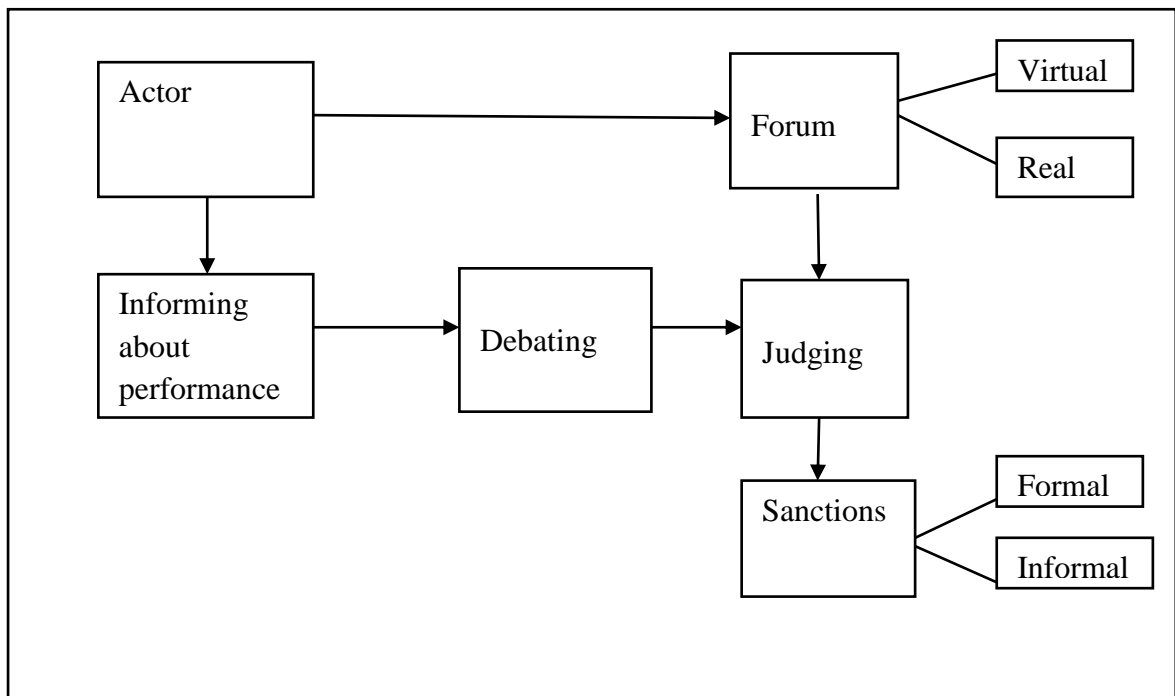
2.4.1.3 Accountability as Social Relationship

For Bovens (2007 & 2010), accountability as a social relationship has three analytically distinct phases including information, debate, and judgment. According to Bovens, in the first phase, the actor will be obliged to provide information about the performances of tasks, procedures and outputs to the principals. This is labeled as the information phase. Likewise, Greiling and Spraul (2010) held the view that the provision of information can be supply or demand driven.

In the second phase, there should be an opportunity for the forum to discuss and debate with the actor and for the actor to explain, defend and justify her/his conduct. This is coined as the debating phase (Bovens, 2010). At least, at this phase, the principal or the forum should investigate information handed over by the agent and both parties often engage in a debate on this account. This in turn leads to a set of information available for the principal to form an opinion. Then, based on the information provided by the actor or the agent, the principal or the forum will take a stand on the behavior as well as the results achieved by the agent. This leads to the final stage. At this stage, the forum may be able to pass judgment on the conduct of the actor. As per Bovens, the forum is able not only to pass judgment but also to present the actor with certain sanctions or rewards. In a

similar manner, Maravic and Reichard (2003) expressed it as the consequences phase. Also, Kuppens (2016) held complementary view stating that a forum can be an individual or an organization. Accountability as a social relationship is diagrammatically depicted in Fig. 2.1 below.

Figure 2-1: Accountability as a Social Relationship



Source: Bovens, 2007

2.4.1.4 Types of Accountability

As argued by Mulgan (2003), when we deal with the notion of accountability, immediately some indispensable questions will come to our mind. For instance, accountable to whom?, for what?, and how? Are common questions. However, it is not easy to give answers to these questions especially in situations where officials usually face numerous sources of legitimate authorities and contending expectations for delivering what is needed from each of them. Romzek (2000) concurs with this view of complex expectations. According to him, expectations can originate from different parties including elected executives, supervisors, courts, legislators, external auditing organizations, professional associations and others.

The concept of accountability can be classified according to the type of accountability exercised or the person, group or institution the public official answers to. In this regard, Bovens (2007) has identified around fifteen types of accountability on the basis of four major dimensions: based on the nature of the forum (political, legal, administrative, professional and social accountability), based on the organizational form of the actor (Corporate, hierarchical, collective and individual accountability), based on the nature of the conduct (Finance, procedure and output accountability), and based on the nature of obligation (Vertical, horizontal, and diagonal accountability).

However, none of these classifications are recognized as a standard. In a similar vein, Mulgan (2003) stated that different typologies of accountability have been advanced using a variety of different criteria, but no a specific typology has been emerged as standard yet.

Based on the nature of the forum, accountability is classified as political, legal, administrative, professional and social accountability. Explanation for each of them is presented below.

Political Accountability: Political accountability can be defined as the duty of elected officials and public servants to answer to the public and to elected officials respectively (Blind, 2011). It is the most important type of accountability that is exercised along the chain of principal-agent relationships. Complementing this view, Bovens (2007) argues that the political accountability system promotes responsiveness to constituents. Likewise, Salminen and Lehto (2012) stated that the key relationship in the political accountability is formed between a representative and constituents.

Legal Accountability: According to Salminen and Lehto (2012), legal accountability is based on the relationship between a controlling party outside the agency and members of the organization. These authors argue that the outside party can be the individual or group in a position to inflict legal sanctions or assert formal contractual obligations. In a similar vein, Romzek and Dubnick (1987) held the view that these outsiders usually make laws and public administrators are obligated to enforce these laws and called by courts to account and explain their own acts. Therefore, it can be argued that legal accountability is

the most unequivocal type of accountability as legal inspection is done based on detailed and prearranged legal standards and procedures.

Administrative Accountability:Administrative accountability is related to a person's positions in a hierarchy whereby the superior calls a subordinate to account for her or his performance/s. According to Bovens (2007), within the department or ministry, first, behavior is bound by rules and regulations; second, civil servants are subordinates in a hierarchy and accountable to superiors. As stated by Blind (2011), administrative accountability is no longer confined to an internally structured chain of command though it involves answerability to superiors. Bovens (2007) also further noted that at present times, there are independent "watchdog" units such as auditors, ombudsmen to scrutinize and hold officials and organizations accountable for their performance and administration.

Professional Accountability:Professional accountability occurs in situations when public officials rely on skilled and expert employees to provide appropriate solutions for complex problems (Salminen & Lehto, 2012). According to these authors, professional accountability focuses on conformity to standards and codes of conduct for professional behavior, checked by peers, and through their professional institutions.

In the same vein, Levitt, Janta, and Wegrich(2008) maintain that professionals are bound by the codes of standards and codes of practices set by the professional associations.They further stated that professional accountability is characterized by placement of control over organizational activities in the hands of the employee with special skills or expertise. Romzek and Dubnick (1987) have also held complementary views arguing that the criteria of accountability here are heavily influenced by the norms internally agreed upon by professionals.

Social Accountability:For Kuppens(2016),social accountability is an umbrella term which includes a wide range of strategies including citizen monitoring and oversight, user-focused public information dissemination systems, public compliant and grievance redress mechanisms and participatory budgeting.Thus, public agents can be obliged to account their actions to the public at large, or in some degree, to civil interest groups,and

clients' association. As expressed by Onuorah and Appah (2012), social accountability is mostly demand driven and involves ordinary citizens and groups exacting greater accountability for actions and outcomes.

As stated by Bovens (2007), based on the nature of actors, accountability can be classified as corporate, hierarchical, collective and individual accountability. Considering their importance to the study, three of them are discussed as follows in separate headings.

Hierarchical accountability: In the case of hierarchical accountability, processes of calling to account take place along the strict lines of the 'chain of command' and the middle managers are, in turn, both actor and forum.

Collective accountability: In the case of organizational misconduct, every member of the organization can be held accountable. Nevertheless, collective accountability can be appropriate and effective in specific circumstances, for example with small, collegiate public bodies, such as cabinets in various countries.

Individual Accountability: In this type of accountability individuals will account for their actions and decisions. Each of them will be evaluated or judged on the basis of their own contribution.

As expressed by Bovens (2007), based on the nature of the conduct, accountability can be classified as financial, procedural and product accountability. In this regard, managers and employees of any public organizations who have been entrusted with finance have the obligation to use the money in a responsible manner. Equally important, managers and employees are also responsible for adhering to the correct procedures and delivering the right kind of products or services to the public (Behn, 2001).

Based on the nature of the obligation, accountability is classified as vertical, horizontal and diagonal accountability. Except diagonal accountability, three of them are explained below considering their importance to the study.

Vertical Accountability: It refers to a situation where forums formally exercise power over actors as a result of the hierarchical relationship between them. For instance, the

executive organization is accountable to the minister or parliament. Shah(2007)also noted that vertical accountability can also happen when the state is held to account by non-state actors.

Horizontal Accountability:As stated by Rakner (2005), horizontal accountability refers to the intra-governmental control mechanisms between the legislature, the executive and the judiciary or between different sub-entities of the executive.For Efiong and Crowther (2012),horizontal accountability institutions are those in which state entities demand answers from other state entities.Likewise,Shah (2007)has identified different institutions, namely:the legislature, the judiciary, electoral commission, auditing agencies,Ethics and anti-corruption bodies, ombudsmen, and human rights commissions to exemplify horizontal accountability.

2.4.2 Ethicsin the Public Sector

Ethics is one of the golden concepts that no one can be in opposition to it. It is increasingly used in government policy documents and becomes a political discourse too. It conveys an image of transparency, fairness, and trustworthiness and the like. However, it means different things to different people. The views of different thinkers and philosophers vary across time and place. This section, nonetheless, tries to develop comprehensive meaning for ethics to be used as a framework in analyzing empirical data. The following paragraphs encompass the meaning of ethics given by different authors, importance of ethics, principles of ethics in the public sector,ethics infrastructureand thebasic theories of ethics.

2.4.2.1 What is Ethics?

Defining ethics is not a simple thing though various authors have defined itdifferently. It refers to principles by which we evaluate behavior as right or wrong, good or bad (Denhardt, n.d). Similarly,Casimir, Izueke, and Nzekwe(2014)hold the view that ethics is the study of what is morally wrong or right. It refers to standards of right and wrong, and prescribes what humans ought to do, resolve the issue of right or wrong, good and evil,

virtue and vice (Fatile,2013). For Bergen (2009), ethics is continuous efforts of striving to ensure that people and the institutions they shape live up to reasonable standards.

In a similar vein, Menzel (2010) described ethics as values and principles that guide right and wrong behavior. The key elements of this definition are (1) values and principles, (2) behavior, and (3) right and wrong. Menzel also added that ethics is about behavior and consequences. According to this author, thinking unethical thoughts is possible, but until those thoughts become translated into behavior, there are no consequences to be defined as right or wrong. He also suggested that good government that gets the right things done right cannot be achieved by men and women who lack ethical or moral values. Therefore, ethics refers to those values and principles that we use in making decisions in our day to day life.

Likewise, Taşpinar and Sahin(2014)hold the view that ethics is more important for public administration than any other fields of social sciences. However, public sector ethics is an activity not a status. It suggested that encouraging ethical behavior is not just about establishing a list of rules to be kept (OECD, 1996). For Lewis and Gilman (2007), another public service obligation is to champion or defend the public interest. This suggests that the use of a public position to hunt any personal agenda is deplorable ethically as well as politically. Nevertheless, it is not always easy to figure out what the right thing is, especially in complex organizations. Similarly, Menzel (2010) argues that rules and regulations, even laws, are helpful, but doing the right thing often means doing more than just following the rules.

2.4.2.2 The Importance of Ethics

The importance of ethics in any society is beyond a shadow of doubt due to ceaseless conflicts in people's desire to serve their own interests at the expense of others (Taşpinar & Sahin, 2014). As stated by Agba et al. (2013), ethics caters people and organizations with guidelines and standards for regulating and controlling humans' actions.

James Madison, the founding father of American Government, had better understood the human nature and created a system of governance that checks power with power. He wrote in Federalist Paper No.51, “If men were angels, no government would be necessary” (Hamilton, Madison, & Jay, 2008). This implies that if people were angels, there would be no reason to worry about ethics. Nevertheless, human nature is the reverse and they are not capable of rationally governing themselves without the interference of other bodies such as government. In the same vein, Menzel (2010) stated that “humans roam the earth, not the heaven, so ethics is a necessary condition”. Therefore, public organizations should have ethical code of conducts, guidelines for appointment, promotion, discipline and so on to regulate and guide human behavior.

2.4.2.3 Principles of Ethics in the Public Sector

Governments can put into practice a variety of principles to fight unethical behaviors. The most common principles recommended by OECD council (PUMA, 1998) to improve ethics are the following: Ethical standards need to be clear; ethical standards need to be contained in the legal framework; ethical guidance should be available to public servants, and public servants need to know their rights and obligations; political leadership needs to reinforce the ethical conduct of public servants, and the decision-making process needs to be transparent, and open.

It also includes that there should be clear guidelines for interaction between the public and the private sectors. Managers need to promote an ethical conduct. Management policies, procedures and practices should encourage ethical conduct. Public service conditions and management of human resources should promote ethical conduct. Adequate accountability mechanisms should be in place, and appropriate procedures and sanctions need to exist.

2.4.2.4 Ethics Infrastructure

The term ethics infrastructure, as defined by OECD(1996), refers to a range of tools and processes for regulating undesirable behavior and/or providing incentives to encourage good conduct by public officials. The OECD has identified eight key elements of an ethics infrastructure as follows: effective political commitment, effective legal

framework, efficient accountability mechanisms, and workable code of conduct, professional socialization mechanisms(including training), supportive public service conditions, existence of central ethics coordinating bodies, and an active civil society able to act as a watch dog over the actions of officials. As OECD (1996) stated further, the importance of each of the components and the relative synergy among them will depend on the institutional and governance conditions and traditions of each country.

2.4.2.5 Major Theories of Ethics

As stated by Semiu and Aminat(2012),theory of ethics is a principle suggested to explain, describe, prescribe or predict human ethical behavior. According to ethicists and moral philosophers, there are three major theories in applied ethics. These include character-based ethics, rule-based ethics, and results-based ethics (Vance & Trani, 2008). For Ameh and Odusami (2010), the two prime philosophical camps on which ethics rests are deontological and teleological philosophy.

Deontological theory or Kantian philosophy has its roots in duty and rightness of action; while, teleological theory or utilitarianism focuses on the goodness of outcome (Calhoun, 2004; Gaus, 2001). As per Ameh and Odusami (2010), teleological moral theories locate moral goodness in the consequences of behavior and not the behavior itself. It holds the view that determination of the moral status of an action as right or wrong depends on the consequence of the action(Garofalo, Geuras, & Lynch, 2001).As described by Hull (1979), for utilitarian,the goodness and badness of the consequences of an action alone is used to judge actions as ethical and non-ethical. Conversely, morality, according to deontologists refers to the fulfillment of moral obligations or duties (COPP, 2006;Garofalo & Geuras, 2006).

For deontologists, moral action is about following standards of behavior(Baughner & Weisbord, n.d).It postulates that the moral status of an action depends on the commitment of people to the principles other than the consequence of actions (Garofalo,et al.,2001; Semiu & Aminat, 2012). Correspondingly, Kissiah(2014)stated that deontologists generally maintain that no matter how many good consequences are produced, some

actions are always impermissible. Thus, deontology teaches that people should adhere to duties and obligations in their behaviors as well as decisionmaking.

Each of the theories of ethics stated above cannot satisfy conflicting interests and failed to be complete single-handedly. Besides, issues in the public sector are broad and complex to be addressed by a single theory and no single ethical perspective is adequate enough and no perspective should be neglected (Pevkur, 2007). Hence, a combination of deontological, teleological and Aristotle's virtue ethics are considered in this study as the bedrock in investigating the ethics problems and in examining NPM and ethics relationship in AACA.

According to Menzel (2011), most managers are neither pure deontologists nor pure utilitarians. A similar view is also held by Cruise and Brannon (2002) stating that in approaching ethics especially from a professional perspective, there are three accepted views: deontological, teleological, and virtue. This suggested that the unified theories of ethics that combine teleology, deontology and virtue are imperative in the study of ethics (Garofalo, et al., 2001). Therefore, for this study, ethics is understood as the sum total of different ethical theories. Consequently, in this study, Ross's ethical pluralism and Rawls theory of justice from deontology, rule utilitarianism, and Aristotle's virtue ethics have been considered in addressing the basic research questions of this study.

Many philosophers thought that Ross's theory of ethics constitutes a kind of reasonable middle ground in between Kant's absolutism and utilitarianism. For Carson (2005), it is the major theory of ethics that is closest to most people's commonsense moral beliefs. Different from Ross, Rawls (1999) is also based on the distributive justice concept. As stated by Oyeshile (2008), in order to determine moral rules, Rawls imagines the society behind a "veil of ignorance" where nobody would know his/her place within the society (Garofalo & Geuras, 2006). Thus, the rules determined as "fair" would be the moral guides of the society. As a result, he obtained two rules: equal right to the basic liberty and acceptable social and economic inequalities.

The other normative theory of ethics suggested for this study is virtue ethics. Virtue ethics emphasizes character or virtue, as opposed to "doing". As argued by

Gottlieb(2009),people having virtuous characters will do the right action.Similarly, Vance and Trani (2008)noted that good traits of character are called virtues. According to these scholars, the center of attention for virtue ethics is what makes good person, rather than what makes good action.

The core ethical valueswhich are considered in this studymainly combinethe three main streams of normative ethics: duty-based, results-based modes of reasoning and character based ethics. Thus, these have been used in examining the status ofcivil servants' ethics and NPM and ethics relationships in AACA. These major normative ethical theories considered in this study are explicated below in separate headings.

1) Consequentiality (teleological theories): According to this doctrine, the rightness and wrongness of a particular action is to be judged by its consequences(Koven, 2015; Garcia-Zamor, 2012; Garofalo & Geuras, 2006).Consequentialists claim that morally relvant features of any action are the consequences of that actionwithout concern over the process by which the consequence is achieved (Baugher & Weisbord, n.d). The well-knowntype of these theories is utilitarianism. As stated by Ibietan and Joshua(2013), Jeremy Bentham (1748-1832) and John Stuart Mill (1808-1873) are the prominent advocators of this theory.

Utilitarian claims that maximum happiness or benefit and minimum harm or unhappiness should be thestandard by which actions are judged as right or wrong (West, 2004).Also, Mulgan (2001) hold complementary view. According to Mulgan,forutilitarian,the consequences of an action make that action either morally right or wrong and the right thing in any situation is the act with the best consequences.

Likewise, Fatile (2013) andPaula(2009) argue that for utilitarianismsthe end justifies the means. Nonetheless,utilitarianism is rationally unacceptable because the phrase “greater good” lacks reference and it is hardly easy to predict all consequences. In the same vein, Grisez(1978) holds the view that most modern philosophers deny that humankind has a definite goal or function.This suggested that the theory isone-sided and gives no weight to procedures or principles that can possibly be used to bring about benefit to the

majority. In spite of the above criticisms, it has been classified as act and rule utilitarianism. Each of them is explicated below in separate headings.

Act Utilitarian: As per act utilitarian, moral rightness depends solely on actual consequences of an act and not on intended consequences (Simões, 2013). As stated by Crisp (1998), for act utilitarian, there may be times when right action is to bring about less than the best possible world. Therefore, for act utilitarianism, one must decide what action will result in the greatest good for the greatest number in the circumstance that would have arisen (West, 2006). However, many modern-day philosophers criticize act utilitarianism. Instead, they argue for rule utilitarianism. For Barrow (2007), if act utilitarianism were adopted, every individual would on every occasion be in the position of having to decide what course of action would promote the most happiness or least suffering. Barrow goes on to say that if there are no rules telling the truth, life will be unpredictable and would be a recipe for catastrophe.

Rule Utilitarianism: As per Barrow (2007) and Chappell and Crisp (1998), rule utilitarian holds the view that the rightness of an act depends not on the goodness of its consequences. But, it is in accordance with a certain code of rules, which has been instituted for its good consequences. Similarly, Simões (2013) and Eggleston (2012) argue that rule utilitarian assumes that we should follow certain rules that are judged in terms of utility.

2) Deontological theory of ethics: This theory emphasizes the act disregarding consequences. Deontological ethical theory presents an ethical framework that considers morality as duty, a moral rule, or a principle that ought to be followed (Garofalo, et al., 2001; Reese, 1996). It is based on the work of Immanuel Kant (1724-1804), which remains the most influential attempt to vindicate universal ethical principles without presupposing theological claims (O'Neill, 1998). As per Baugher and Weisbord (n.d.), deontology asserts duty as the basis of morality. Similarly, Mulgan (2001) stated that deontology emphasizes the importance of adhering to ethical principles that can be applied consistently as universal law. He further holds the view that the test of rationality for deontologist is categorical imperative.

Kantian ethics is criticized as either empty or formalistic (O'Neill, 1998). The researcher in this study is also in conformity with the critics as the theory takes no notice of the real-world situation. Besides, due to divergences in many respects, human beings cannot always be rational and operate according to universal rules. A deontological ethical theory is also further classified broadly as act and rule deontology. For this study, rule deontological theory of ethics is sought and explanation is given below in separate headings.

Rule deontologist: Rule deontologists act according to some general moral principles. These principles can be monistic as Kantian theory of ethics and pluralistic as Ross's ethical pluralism. The central claim of ethical pluralism is that there is a plurality of moral norms that cannot be reduced to one basic norm. It is against all monistic views of morality such as utilitarianism and the Kantian theory of ethics. The idea of ethical pluralism goes back to the work of William David Ross.

According to Ross (2002), there are several prima facie duties that we can use to decide what concretely we should do. He calls these basic duties as prima facie duties (Burton, Dunn, & Goldsby, 2006). According to him, a prima facie duty is a duty that is binding and obligatory unless it is overridden by another duty or duties.

In his book "The Right and the Good" Ross distinguishes different kinds of moral duties: (1) the duty to keep promises, (2) the duty not to lie, (3) the duty to make reparations to people one has harmed, (4) the duty of gratitude, (5) the duty to distribute happiness according to merit, (6) the duty to do things that benefit others, (7) the duty to improve one's own intellect and moral character, and (8) the duty not to harm others (non-maleficence).

Rawls theory of Justice or Fairness: The most famous theoretician of the theory of justice is John Rawls. He is known by his work: "A theory of justice" (1971). Justice is another essential ethical standard, which involves protecting and preventing the rights of individuals, or thwarting an injustice to an individual. It refers to fair, equal and impartial treatment of people. As per Rawls theory of justice, individuals should be treated according to what they deserve, merit or entitled to.

Justice also requires us to avoid discriminating or treating people differently who are alike in relevant respects. Rawls (1971) enunciates two principles of justice. The first requires equality in its assignment of basic rights and duties, according to which the individual possess inalienable rights including political and citizenship rights; while, the second principle refers to the so called differential principle, which relates to social and economic inequality. It holds the view that social and economic inequalities are to be arranged so that they are both to the greatest benefit of the least advantaged (Koven, 2015). For example, inequalities of wealth and authority are just only if they result in compensating benefits for every person, and particularly for least advantaged members of society (Oyeshile, 2008; Rasmussen, 1974; Rawls, 1971).

3) Aristotelian Virtue Ethics: Aristotle is the founding fathers of Virtue ethics (Staveren, 2007). According to Staveren, Virtue ethics focuses on the character of the agent rather than formal rules and consequences. For Aristotle, to achieve the ability to be moral requires developing the proper characters (Garofalo, et al., 2001). In similar vein, Crisp (1998) explained that a pure form of virtue ethics suggests virtuous properties as opposed to ‘rightness’ and ‘goodness’ of actions.

Virtue ethics claims that the main task of ethics is to give us knowledge of what is the right type of person, or what is a “good” person, not to supply us with rules for what is the right type of action, or what is a “good” action (Koven, 2015). Likewise, Gottlieb (2009) and Garofalo and Geuras (2006) stated that virtue ethics gives emphasis to what kind of character must a person has to possess. Hence, we should make every effort to realize a desirable quality, and we do this by constantly practicing the virtues and thereby developing a good character.

2.5 New Public Management and Developmental State

This study is conducted in the the context of Developmental state. Cognizant of this, it is important to discuss briefly the idea of developmental state and explore the possibility of exercising NPM in the civil service within the developmental state political landscape. Developmental state refers to a state that plays an important role in the economy aiming to advance the national development (UNDP, 2012). Central planning and co-

ordinations are more or less the characteristics of many countries that are pursuing the developmental state policy (Sheoraj, 2007). The principal idea of developmental state approach is that the state should make development agenda its topmost priority and intervene in the economy to bring about economic transformation (Shumuye, 2015). FDRE is a developmental state in which greater alignment of planning as well as central coordination is being sought, and the country tries to play an important role in the process of structural and economic transformation (Teshome, 2012). But, in order to implement government policies effectively, establishing the capacity of civil service is required, and as a result introduction and implementation of CSRPs become imperative.

It is argued that the principal aim of CSRPs is consistent with the goals and objectives of developmental state. The central objective of CSRPs is the delivery of effective and efficient service to the public (Gebre & Melesse, 2014). Besides, the civil service is often associated with the effective and efficient management of developmental policies and programs (Ayee J. R., 2001). Similarly, delivery of improved services to the citizens is also one of the core objectives the developmental state wants to achieve (Sheoraj, 2007). CSRPs in the country has been shaped and influenced by the idea of NPM. In line with developmentalism orientation, the Ethiopian government is backing up the CSRPs since the early 1990s. Therefore, the developmental state approach does not necessarily prohibit the implementation of NPM elements in AACA. However, despite well-crafted and sound policies, which are intended to reform inefficient and non-transparent civil service system, effective implementation is required. In a situation where necessary inputs such as skills, knowledge and required behaviours are inadequate, the implementation of NPM can be hampered, real improvement of the civil service will remain elusive and acceptable moral and ethical values will decline.

2.6 Analytical Framework Depicting Accountability and Ethics Relationship with NPM

This section puts forward analytical framework within which the research questions are addressed. In doing this, Figure 2-4 reflects relationships involved among the variables under investigation. This framework depicts in schematic form mainly accountability and

ethics relationship with NPM. It also portrays how public accountability bodies or accountability mechanisms reinforce ethics and accountability in AACCA.

Driven by the motive to enhance performance and improve accountability and ethics, AACCA has embarked on reform programs in the civil service. However, comprehensive research that examines the nature and characteristics of these reform programs along the lines of NPM were not done before. Thus, empirical analysis was made in chapter four in order to examine the nature and characteristics of the CSRPs in the context of NPM. It aims at testing the applicability of NPM in AACCA. As it is revealed in the same chapter, five of the elements of Hood's NPM model are found to be experienced in AACCA. As a result, the framework contains the following elements of Hood's NPM model: (a) setting explicit standards and measures of performance, (b) Greater emphasis on output controls than input and process, (c) Competition, and (d) Adoption of private sector management styles, and (e) Greater discipline and parsimony in resource use. The framework clearly shows that to achieve accountability and ethics in the government, NPM elements are essential.

The other important elements which are depicted in the analytical framework are accountability bodies or mechanisms. In an attempt to improve accountability and ethics of government institutions and its officials, many governments are looking towards mechanisms. These are instruments for calling people to account, for judging the accuracy of the accounts rendered and for bringing sanctions to bear for failures to produce an adequate account.

Public accountability bodies refer to the prevailing mechanisms of government to carry out its administration properly. Accountability bodies such as Ombudsmen and Ethics and Anti-Corruption Commissions influence ethics and accountability in the public sector. These institutions also provide an opportunity to citizens to hold public administrators accountable for their respective actions. Fundamentally, this implies that for a government to be accountable in discharging its duties, there is a need for effective controlling mechanisms. Therefore, these institutions should play a critical role in maintaining an environment of robust public-sector accountability by representing

the people. In the framework below the accountability bodies are classified as state entities established for policy making and implementation, state entities that are founded primarily for overseeing government actions, and external actors like civil society and international organizations. Under the first category the legislative and judiciary are included as important government organs established for policy making, implementations as well as for ensuring ethics and accountability. The administrative Tribunal, Auditors General, Ethics and anti-Corruption Commission, Ombudsman, Government Media and human right commission are included under state entities established for overseeing government activities. Private Media, Civil Society and international organizations are grouped under the third categories. The roles of private and government media were explained together under the media section. Despite the distinction made, the institutions noted above can put pressure on different governmental bodies and play significant roles in reinforcing accountability and ethics.

Institutions must be effective enough in promoting ethics and accountability. The researcher in this study also argues that if accountability institutions are put in place and remain strong and independent, they will reinforce the proper implementation of reform programs. Thus, accountability and ethics and further delivery of quality service will also be improved. On the other hand, if the actual roles of these accountability bodies remain poor, it will affect accountability and ethics as a whole negatively as they are complementing each other. The central argument here is that if the aim of accountability bodies is ensuring accountability, an enabling environment for effective oversight should be provided and they have to be capacitated to be able to achieve the very objectives of their establishment.

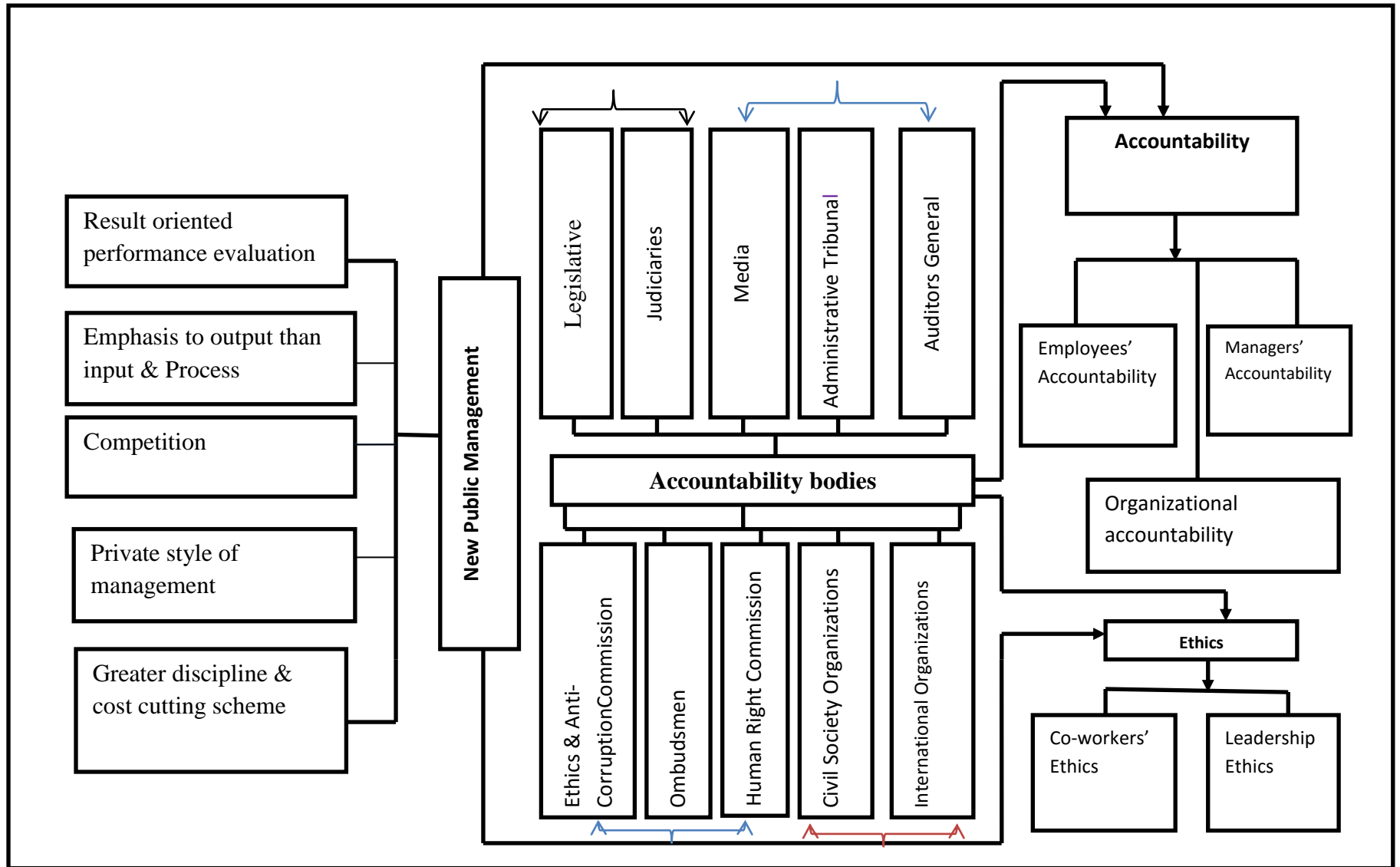
In the framework, ethics is classified as co-workers' and leadership ethics. Accountability is also classified as employees' accountability, managers' accountability, and organizations' accountability. In the principal-agent model for accountability to exist, there should be a clear relationship between the agent and the principal. Therefore, accountability for all categories is measured on the basis of the following three fundamental themes of accountability: giving an account, holding to account and redress.

To ensure how the accountability situation looks like and how it is related with NPM in AACA, answerability and enforcement are obligatory.

Answerability signifies that an agent has to provide information about her/his action/s and justifies the correctness of the action/s. However, answerability alone will result in weak form of accountability. A stronger form is enforcement, which means that the agent will suffer from penalties if actions or justifications are unsatisfactory. Therefore, giving an account, holding to account and redress are the main analytical themes used in this study. Thus, to ensure accountability, an organization must integrate these three dimensions into its policies, procedures and practices at all levels and stages of decision making and implementation in relation to both internal and external stakeholders.

The other important issue depicted in the framework is ethics. To measure ethics and examine its relationship with NPM, the ethical values or norms that public administrators must strictly adhere to in the process of delivering public services have been used as benchmark in analyzing employees' ethics in AACA. The following are the ethics values used: Rule of law, integrity, priority to public interests, impartiality, professionalism, and neutrality, loyalty, respecting others, justice and fairness, transparency, honesty, hating corruption and theft, and effectiveness and efficiency (See appendix 1). These core public service ethics values have been consistent with the often mentioned crucial public service values in a great deal of literature and public service code of conduct such as the African Charter on values and principles of public service and administration and the international code of conduct adopted by UN in 1996, the OECD (2000) countries' public service core values, the seven principles of public life in the United Kingdom and the ethical code of the American Society of Public Administration (ASPA) (2006). They are also closely related with the twelve ethical values that are indicated in FDRE CSRPs document. They are also most commonly used standards by which we evaluate the behavior of public servants, and they are informed by democratic principles, social norms, and professional ethics (MacCarthaigh, 2008). Besides, many of these values are common to more than one category. However, ethics values adopted from the work of Yukl, Mahsud, Hassan, and Prussia (2013) were used in examining leadership ethics in AACA (See appendix 1).

Figure 2-2: Depicting accountability and ethics relationships with New Public Management: An Analytical Framework



2.7 Summary

This chapter sought to review relevant and related literature to the study subjects. It has focused on the three important study variables such as NPM, accountability, and ethics. The chapter provides a brief overview of the traditional model of public administration. Various critics of the bureaucratic model have been discussed. The chapter also provides an overview of NPM which is also claimed by advocates as remedy for the weaknesses of bureaucratic model. The origin and reason for the emergence of NPM were also highlighted. Furthermore, various critics and problems of NPM as administrative models have been reviewed. Next, literature on accountability and ethics is also reviewed and discussed. From accountability theories, the principal-agent model and stewardship theories were the focus of this chapter. The principal-agent model has been justified to be used in the study in examining the status of accountability in AACA. In this chapter, the researcher has looked at the complexities and importance of accountability in public organizations.

Important accountability themes were also explained in this chapter. In addition, various types of accountabilities were discussed along with four important dimensions. It has been emphasized that civil servants as well as agents are not accountable only to one party; rather, nowadays, they are accountable to multiple principals.

Also, different ethical theories and important concepts including principles of public sector ethics and ethics infrastructure have been reviewed. It was also found that none of the ethics theories are complete by themselves and they cannot stand alone to be used as bed rock in examining the research questions of this study. Among the ethical theories, the three main streams of normative ethics: duty-based, results-based, and character based modes of reasoning have been elucidated. Therefore, for this study, ethics is understood as the sum total of the ethical theories mentioned above. Finally, analytical framework used in examining accountability and ethics relationship with NPM is depicted and explained in this chapter.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

This chapter discusses the philosophical assumption and the research design adopted in this study. Different and common philosophical assumptions were highlighted and presented in this chapter. Cognizant of the purpose of the research, pragmatist paradigm was chosen for the framework of the study. This chapter also describes the methodological procedures followed to realize the objectives of the study. Besides, the research approach and design employed to carry out this study have been discussed in order to achieve the objectives of the research. It also explains the research population, sample size, and sampling techniques and procedures. Moreover, this chapter presents the type of instruments utilized to collect data, and how such data were analyzed. Finally, it explicates ethical issues which were considered and adhered throughout the research process.

3.2 Research Paradigm

It is well understood that each type of research is conducted based on the respective underlying philosophical assumption relevant to what constitutes 'valid' research and which research method(s) is/are appropriate for the development of knowledge in a given study (Antwi & Hamza, 2015). Hence, in order to conduct any research, it is imperative to know what each assumption is referring to.

Similar terminologies are often used by different authors to explain the philosophical foundations including world view, assumptions and paradigms (Cameron, 2011). Consequently, any research process is regarded to have three important elements which include ontology¹, epistemology², and methodology³ (Ma, 2015). Paradigms are defined as research philosophies that guide the overall direction of the research process along with the above three important dimensions. Likewise, Morgan (2007) tries to state paradigms as the shared belief systems which influence the kind of knowledge that researchers seek and how they interpret the evidence they collect.

There are different philosophical worldviews that influence research undertaking. To mention a few, such as positivist, post-positivist, interpretive, critical, and constructivist paradigms. Pragmatism, feminism, and participatory perspectives are also emerged later as additional classifications by other authors (Creswell, 2009). However, explaining each of these paradigms is not the purpose of this section. This study gives more emphasis on the two predominant ontological positions which are assumed to shape the work of contemporary researchers: Objectivism and constructivism.

As stated by Bryman (2004), objectivism implies that the social entity in question adheres to an external objective reality which is independent of the researcher's awareness. It also suggests that objectivists need to advocate value free research. However, constructivist epistemological discourses emphasize on socially constructed nature of reality. Likewise, Scotland (2012) argues that in this kind of research environment, there is close relationship between the researcher and the study subject so that it provides the researcher an opportunity to observe, investigate and understand experiences through different strategies.

Given the fact that the study used mixed method design, the researcher adopted pragmatism philosophy as a guide to examine accountability and ethics relationship with NPM in AACA. As per pragmatists' view, the subjectivist and the objectivist perspectives are compatible (Johnson & Onwuegbuzie, 2004). Correspondingly, Tashakkori and Teddlie (1998) have considered the pragmatists' view as the best philosophical foundation for mixed method research.

Pragmatist paradigm employees 'what works' using various approaches, give values to both subjective and objective knowledge (Creswell & Plano Clark, 2011). Therefore, the combination of ontology and epistemology is acceptable to understand the research phenomena. Thus, mixed methodological approach has provided an opportunity to get potential benefit from multitude of methods employed in this study.

3.3 Research Design

This research positioned its study paradigm in the middle of the possible continuum of methodological choices. This positioning of the study's paradigm suggests a research

methodology that combined both perspectives, such as qualitative and quantitative, known as Mixed Methodology (Onwuegbuzie & Combs, 2011). Therefore, the study used a mixed-method research design that best testifies the basic research questions.

The primary reasons for choosing mixed-method approach is that either quantitative or qualitative method alone is not sufficient enough to generate the relevant information pertinent to the reform programs in AACA, and to understand accountability and ethics practices and challenges prevailing in the city administration in detail. It would be also difficult to identify any causal links, effects and direction of relation between NPM and accountability, and NPM and ethics in AACA. Therefore, integrating both approaches has a greater likelihood of enhancing the research findings and offers a greater understanding of the topic (Masadeh, 2012). In similar vein, Nyiro (2012) argued that combining various methods is helpful to effectively address the given basic research questions as it enables to draw more vigorous conclusions. It is also increasingly recognized as valuable as it can potentially capitalize on the respective strengths of quantitative and qualitative approaches (Stlund, Kidd, Wengstrom, & Rowa-Dewar, 2010).

In order to achieve the research objectives of this study, different kinds of information (qualitative and quantitative types) from different sources were required. Accordingly, multiple sources were used to triangulate information to enhance validity of the research findings. It also entails that mixed method research design enables the researcher to understand a phenomenon from different angles using multiple data collection instruments. It also provides a better opportunity to the development of a comprehensive data base than either of the research approaches alone. Along this line, Azorín and Cameron (2010) noted that the central premises of mixed methods is that the use of qualitative and quantitative approaches together provides a better understanding of the research phenomena than either of the approaches alone.

Triangulation by its very nature demands multiple approaches to study a particular topic using multiple sources of data, multiple strategies for collecting data, and different approaches in analyzing the data. Similarly, Leech and Onwuegbuzie (2009) argue that in mixed method studies, both quantitative and qualitative data are collected, analyzed, and mixed in the same research or a series of research. Mixed method approach is also preferred in this study to explain

the initial quantitative statistical results by making use of qualitative findings in more detail or to allow one form of data play a supportive role to the other. In the same vein, Creswell (2012) stated that in mixed approach, data from one source is helpful to enhance, elaborate, or complement data from the other source. Hence, the adoption of both quantitative and qualitative methods appears to be a pertinent combination in this study.

Many authors such as Creswell, (2012), Leech and Onwuegbuzie (2009), and Cohen, Manion, and Morrison (2011) advocate the relevance of pragmatism worldview and how pragmatism advances pluralistic approaches to a single study. Advocators of mixed method research also argue that quantitative and qualitative methods of measurement and accompanying analyses are compatible and complementary to each other in a mixed method research design (Johnson & Onwuegbuzie, 2004). It is also important to emphasize the presence of different types of mixed method research designs (Onwuegbuzie & Collins, 2007). Once a mixed method approach has been decided on, the next step is to determine the specific mixed method design that best addresses the research problem. For this study, the researcher adopted one of the mixed method research design suggested by Creswell and Plano Clark (2011).

The six mixed method designs suggested by Creswell and Clark (2011) were convergent parallel design, the explanatory sequential design, the exploratory sequential design, the embedded design, the transformative design and the multi-phase design. In a similar manner, Creswell (2009) has stated four major types of mixed method designs. These designs include the triangulation design, the embedded design, the explanatory design, and the exploratory design. However, this study used the concurrent triangulation approach where quantitative data from AACA's civil servants through questionnaire survey and qualitative data through an in-depth interview from service recipients, key informants in the field, and data from secondary sources were simultaneously collected and analyzed in addressing the research questions of this study. According to Creswell (2009), the concurrent triangulation is the most commonly used mixed method approach that helps to compare the quantitative and qualitative data to determine whether there is convergence, differences or some combinations.

The purpose of this design is to obtain different but complementary data on the same topic, and to better understand the research problem. This design is preferred and used in this study because the researcher wants to directly compare and contrast the quantitative statistical results with qualitative findings and validate quantitative results with qualitative data.

3.4 Population and Sample

3.4.1 Study Population

With regard to the study population, it consisted of all permanent employees currently working in AACCA, experts in the field (reform programs, accountability, and ethics) and AACCA's service recipients. The researcher thought that a combination of different groups of respondents would be important for this study. It was indispensable to find out what civil servants and group of professionals who are familiar with the study areas feel about the reform programs in AACCA as they are key partners in planning and implementing government policies. It was also important to include service recipients to find out how they viewed the services provided by the government and how accountability and ethics practices and challenges look like in AACCA.

3.4.2 Sampling Frame

A sample population was drawn from the sampling frame. A sampling frame encompasses the actual list of individuals included in the study population. The sampling frame for this study include the list of bureaus, sub cities, "Woredas" in the three sub cities, list of employees in selected departments at the city, sub city, and "Woreda" level and which were governed by AACCA's Civil Service Proclamation.

3.4.3 Sample and Sampling Techniques

Multi-stage proportionate random sampling method was used for the selection of study participants. As per proclamation No.35/2012, there are a total of 14 Bureaus in AACCA (AACCA, 2012). Five Bureaus, namely: Land Development and Management, Trade and Industry Development, Micro and Small Enterprises Development, Road and Transport, Construction and Housing were chosen using simple random sampling technique. A lottery method was applied to

select the required number of bureaus in this study as this method provides equal chances to all bureaus to be selected. Every bureau in the population has an equal chance of inclusion in the sample and the same probability of being selected. Each element was given a number and then numbers were individually written on slips of paper. The slips were put and mixed thoroughly and decided numbers of slips were drawn out.

At present, there are ten sub-cities in AACA. It would be too broad and needless to study all these sub-cities to make informed assessment. Hence, *Yeka*, *Bole* and *Arada* sub-cities were chosen using simple random sampling technique assuming the aforementioned three of the sub-cities can represent others. Simple random sampling technique was used to provide equal chances for the ten sub-cities of being included in the sample. In addition, all the sub-cities are assumed to provide the same kind of services and operate within the same legal, administrative and political jurisdiction. Besides, three “Woredas” from ‘Arada’ sub-city and four “woredas” each from ‘Bole’ and ‘Yeka’ sub-cities were selected. A lottery method was applied to select the required number of ‘woredas’ in this study as this method provides equal chances to all ‘woredas’ in each of the three sub cities to be selected. Samples were taken from all study offices, functional at ‘woreda’ level.

Survey respondents, who were permanent employees of the study organizations at the city, sub-city and “Woreda” levels of the city administration, have been chosen using proportionate sampling method and on the basis of the table developed by Krejcie and Morgan. Krejcie and Morgan (1970) (as cited in Hashim, 2010) have produced a table for determining the required sample-size given a finite population. According to them, for ordinal data at alpha 0.05 levels for 3500 population size, the lowest possible sample size is set to be 346 (See appendix 8). The table is applicable to any population of defined size.

Taking the size of the population into consideration i.e. 3448, the sample size for this study was decided to be 346. Thus, the total number of population at the city, sub-city and “Woreda” level, and the appropriate sample size in each of these administration echelons is depicted in the tables (See appendix 9). Proportionate sampling method was used in order to determine the sample size in each of the selected department at the three administration echelons. “Woredas” which were

randomly selected in each of the three sub cities including the target population and sample size in respective offices at city, sub city, and 'Woreda' levels are portrayed in the tables (Appendix 9).

3.5 Data Collection Methods

This study has employed data triangulation techniques by using a combination of different sources with the effect that the weaknesses in each source are compensated when they are used together. Therefore, it has employed both quantitative and qualitative data collection methods. *Per se*, multi-type data collection methods have been used for achieving the research objectives and improving the validity of the findings. This section presents the various data collection methods used in this study that include: Questionnaire survey, interview, observation and document analysis methods. Each data collection method was employed to generate different types of information from different sources. This was purposely done to realize the objectives of this study.

3.5.1 Questionnaire Survey

A survey method has been used to improve the researcher's understanding of the occurrences of a particular phenomenon and comprehend the relationship among the study variables. Hence, it has been conducted among permanent employees of the study organizations. A questionnaire was prepared to obtain relevant information on employees' background, nature and characteristics of reform programs with respect to NPM, civil servants' accountability and ethics, the role of accountability bodies and NPM's relationship with accountability and ethics.

The questionnaire was structured into six important parts. The first part of the questionnaire contains questions about the study participants' demographic data. These questions mainly focused on respondents' gender, age, level of education, name of the organizations they were working for and their work experiences; whereas, part two of the questionnaire was aimed at assessing the opinions of the employees on NPM and examining its practice in AACA. It comprises seven NPM components. These seven items were established by Hood (1991).

Part three comprises eighteen items intended to measure the views of respondents on employees' accountability, managers' and organizations' accountabilities. These items were constructed on the basis of the fundamental parts of accountability which were well explained in the literature review part of this study.

The fourth part of the questionnaire consists of thirty-eight items and this section was intended to capture the views of survey respondents with regard to the civil servants' ethics in AACAA. This part of the questionnaire has three important subsections. These sub-divisions were assumed to assess the opinions of survey respondents on ethical awareness levels of the employees, leadership and co-workers' ethics. Except the leadership ethics section, the items were designed on the basis of the literature reviewed. However, some items used for measuring the leadership ethics were adapted from the work of (Yukl, Mahsud, Hassan, & Prussia, 2013). Questions from section one up to section five were designed on the basis of five-point likert scale ranging from strongly disagree to strongly agree.

The fifth section of the questionnaire, however, was intended to assess the views of survey respondents on the roles of different oversight institutions in the promotion of accountability in AACAA. The measurement scale for these items ranges from very low to very high. This part of the questionnaire contains ten items. Section six of the questionnaire embraced nine important questions which are intended to illicit the views of respondents on accountability and ethics problems and the factors that are impeding the practices of CSRPs in AACAA. This part of the questionnaire consists of both open and close ended type of questions. Respondents were asked to answer using their own words and encircling alternative/s among those that best fit their thoughts. Open ended types of questions were used to capitalize on the strength of qualitative and quantitative approaches, and to compensate the weaknesses of each approach.

To effectively comprehend the questions and get hold of the required information, the English versions of the questionnaires have been translated into Amharic. It is because of the fact that Amharic is the lingua Franca of the Federal Government institutions including AACAA. Besides, some of the respondents may not understand the English language in a better way. The questions

were checked closely to ensure not to lose their meanings and the desired context during the translations.

A pilot-test of the questionnaire was carried out with a small group of individuals working at different capacity in AACCA in order to check the clarity of the wording of items in the questionnaire, the instructions and the layout. Conducting the pilot study allowed the researcher to ask participants for suggestive feedback on the survey and helped to eliminate the researcher's bias. Ambiguities and redundant questions were corrected before dispatching them to the respondents.

The purposes of the pilot were to test the reliability and validity of the questionnaires and to ensure that the questions are not confusing, appropriately designed and not embarrassing to the respondents. It enabled the researcher to ensure that the respondents have understood the questions appropriately. Questionnaires were successfully refined based on the suggestions given by the respondents in the pilot test. Each questionnaire has been accompanied by a cover letter, stating succinct explanation on the purpose of the study, request for co-operation, ensure confidentiality and anonymity, and the benefits of filling up the questionnaires. The purpose of the covering paper was to indicate the aim of the research, to give confidence for the respondents and encourage them safe reply.

Pre-tested structured and self-administered questionnaires with a few open-ended types of questions were distributed to a total of 356 randomly selected employees. Then, the researcher has taken a great deal of time and effort to ensure the proper administration of the questionnaires by handing them over to each respondent and collecting them personally. The researcher himself distributed and collected the questionnaires to ensure safety. Among 356 respondents to whom the questionnaires were distributed, 284 of them have completed and returned the questionnaires. This meant that 80% of the questionnaires originally distributed were actually returned for analysis. Therefore, it was beyond an acceptable rate (Sivo, Saunders, Chang, & Jiang, 2006). Response rate in survey research refers to the number of people who completed the questionnaire divided by the number of people in the sample.

$$\text{Response rate} = \frac{\text{Number of individuals who have completed the questionnaire}}{\text{Total number of individuals contacted}} \times 100$$

The data obtained through questionnaire have helped the researcher to elicit pertinent information mainly on how reform programs conform to NPM model and NPM's relationship with accountability and ethics in AACA. It has also helped the researcher in examining the role of different accountability bodies, identifying the key factors deterring the practices of NPM and obstructing accountability and ethics situations in AACA.

3.5.2 Semi-Structured Interview

For the purpose of this study, semi-structured interviews were conducted with two groups of interviewees. These include government employees who have expertise and better knowledge in the field, and members of the community who are seeking service from the city administration. Semi-Structured interview was preferred for several reasons. First, when compared with the structured interview, the semi-structured interview provides greater scope for discussion and learning about the problems, opinions and views of the respondents. It is also more flexible for the researcher in collecting the required data because the researcher can ask additional questions if he thinks they are useful. Besides, each interviewee will have different characteristics and can make it difficult for the researcher to adhere strictly to questions that are prepared in advance. In this study, semi-structured interviews were conducted to triangulate the data with the information obtained through other data collection methods (survey questionnaire, observation and document review). Face-to-face interviews were conducted with thirty-six informants. From the total of thirty-six interviews, twelve interviews were conducted with officials who deal with CSRPs, and accountability and ethics as part of their regular job attributions. Twenty-four interviews were from the civilian population who often visit government offices for getting different kinds of services. As per the promise and informed consent made, the author has undertaken care to protect informants from risks that may emanate from the information they provided. They therefore remain largely unidentified. The names of each research participants are not included under any context in the research. Rather, generic terms, like respondents or informants, coupled with few the institutions under study are appeared

and used in the analysis. Discussions on these two categories of interviews are presented below in a separate manner.

The first group of interviewees was government employees who have expertise and better knowledge on the topic areas the researcher intended to study. These interviewees include people who had been serving under various capacities and better understand or express their knowledge and expertise on the topic of discussion. It was assumed that these interviewees would provide authentic information related to the study subject. Accordingly, the researcher contacted 12 people from the respective bureaus including Capacity Building Bureau and Municipality's ethics and anti-corruption office for the interviews (See appendix 10). Nine informants who involved in this study were identified from the five bureaus chosen in this study.

Likewise, two informants were identified from Capacity Building Bureau. These informants were chosen because the organization they were working for is basically takes part in monitoring, supervising, coordinating and guiding the implementation of capacity building initiatives and reform programs of different bureaus in AACA. Besides, these informants have reasonable knowledge about the topic under investigation as they are working on reforms. Finally, the researcher included an informant from AACA's Municipality Ethics and Anti-Corruption unit with the objective of getting relevant information on accountability and ethics issues, particularly on matters that are related to corruption in AACA. Out of twelve individuals, the proportion females have accounted for is seventeen percent while ninety three percent of them were males. This disproportionate balance of gender is an indication of a limited number of females occupying managerial or leadership positions in the civil service. The interviewees were selected purposefully because of their roles, experiences, and knowledge in connection to CSRPs, accountability, and ethics. These experts were chosen for the interview as they are placed in a better position to provide first-hand information about the development, implementation and context of CSRPs, accountability and ethics in AACA. Therefore, the quality of the interviews is fairly adequate in providing vital information to this study. In order to be consistent with all participants, the interviewer has set a preplanned core questions for guidance so that the same areas are covered with each interviewee.

It focused on reform programs that have been embarked on in AACCA. The interview has also helped to obtain target information on the accountability and ethics situations of AACCA. In addition, accountability and ethics relationship with NPM and the key factors that are impeding the practices of NPM were the focus of the interview. It has further helped the researcher to find out the important factors which are negatively affecting accountability and ethics in the city administration. English and Amharic checklist were prepared and given to the interviewees before the interview date to give them adequate time to go through it and ensure for themselves to avoid discrepancies in the intent of questions included in the checklist. The interview held with experts was conducted in their own offices and the researcher has arranged an appropriate schedule with each of them. There are some limitations arising from using an interview as data collection method in this study. First of all, it was difficult to conduct an interview because each of the interviewee has different characteristics. Therefore, it was hard to use the same pattern or the same method of interview. Some of the interviewees has shown the tendency to reply 'yes' and 'No' answers and were reluctant to give detail explanations. However, this may not be considered as the main problem because the study utilizes information from others sources that could help for further substantiation.

The second groups of semi- structured interviews were conducted with service recipients of AACCA in order to get their views, opinions and understandings on the status of civil servants' accountability and ethics in their respective offices especially during provision of services. This was done in order to effectively substantiate and augment the quantitative data. These include citizens who are directly affected by many of the decisions made by AACCA and its service delivery. These interview participants were selected based on pre-determined and relevant criteria pertinent to the research objectives. The criteria used include: currently living in Addis Ababa, service users of the study organizations, not employee of the study organizations, and those willing to be interviewed. To determine the number of service recipients participated in this semi-structured interview, data saturation method was used. Due to the size of service recipients of AACCA and the qualitative nature of the data required from interviewees, applying data saturation technique was found to be indispensable. As stated by Guest, Bunce, and Johnson

(2006), it is very common to use data saturation point for determining the number of people for interview in the context of large size population.

According to Thomson (2011), from the analysis of 100 articles, the recommended sample size in which the researcher should plan to take was 30 interviewees. Other researchers have also suggested 30 or lesser than 30 interviewees. For example, in grounded theory studies, Creswell recommends at least 20 to 30 interviewees; Morse recommends 20 to 30 interviewees (Marshall, Cardon, Poddar, & Fontenot, 2013). Hence, in light of what is stated above and given the purpose of the qualitative data, data saturation has been considered in determining the number of service recipients' interviewees in this study. Guest et al. (2006) noted that data saturation can work in semi-structured type of interviews although it is difficult in unstructured interview. On top of this, the researcher has made a programmed visit of the institutions and interviewed the citizens when they were waiting to get the desired services.

Those potential service recipients were asked a semi-structured type of questions in a face-to-face manner in a language that can be well understood easily. The interviewer then recorded the responses of the interviewees. This approach is useful to increase the overall response rates since the respondents have the opportunity to clarify their answers. In addition, the open-ended types of questions have provided the interviewer and interviewees with an opportunity to discuss accountability and ethics in more detail. Most importantly, service recipients have expressed their views on accountability and ethics problems and the factors that are contributing to the declining of accountability and ethics in AACA. They have been also asked about the roles of different oversight institutions including Courts, FEACC, Ombudsman, Media, and Human Rights Commission are playing in promoting accountability and ethics in AACA. New themes stopped emerging after 24 interviews and the stage of thematic saturation reached. Hence, by aggregating responses, discussions have been made about service recipients' views on the status of civil servants' accountability and ethics, and the accountability and ethics problems they have been experiencing in AACA (See Appendix 11).

3.5.3 Non-Participant Observation

Considering the demands of the study and the research questions, non-participant field observation has been conducted. The observations serve as a complementary method to enrich and triangulate the information gathered via other techniques and address the research questions adequately. The observation as a data collection method has provided an important opportunity to gather valuable facts during the field work. The researcher has visited different offices that are included in this study during the provision of services to the public in order to get first-hand experience on how they are discharging their duties and how service recipients are served by employees. The intention of the researcher at this stage was mainly to secure an opportunity to observe and record issues of interest as far as the accountability and ethics situations are concerned. It was about the availability of employees during office hours, the way they are treating service recipients, the amount or reasonableness of time they spent to provide service to the public, their transparency and willingness in providing information when they are asked by the citizens who are seeking service, record keeping and management, the synergy among individuals or departments have been considered during observation.

The observation was conducted two days in a week and an hour a day in five different offices for a month beginning from June 25/06/2015-July 25/06/2015. According to Creswell (2009), qualitative observations are those in which the researcher takes field notes on the behaviour and activities of individuals at the research site. As a result, checklist has been prepared as a guide to observe and take notes on relevant information to the study (See Appendix 7).

3.5.4 Document Analysis

Primary and secondary data were employed in this study as the researcher was seeking an understanding of reforms within the context of NPM and examine accountability and ethics relationship with NPM. Although primary data are very critical in answering the principal research questions in this study, secondary sources were also utilized as they broaden understandings of theories, key concepts, and empirical results. On top of the primary data generated through quantitative methods, documents were considered as important sources of

information that have enormously supplemented the data obtained through questionnaire, interview and observation. Document analysis is often used in combination with other methods as a means of triangulation in the study of the same phenomenon or corroborate evidences from other sources (Bowen, 2009). The secondary data used in this study include governments' publications, periodic reports of some of the bureaus in this study, study reports in connection with ethics and accountability, proclamations, regulations and directives, newspapers, magazines and other ethics, accountability and CSRPs documents. The analysis of information obtained from the sources mentioned above has helped the researcher obtain the information necessary to analyze civil servants' accountability and ethics. Reform documents pertinent to the research objectives were reviewed in examining the CSRPs within the context of NPM in AACA. The other documents examined in this study were the 1995 constitution of Ethiopia, Addis Ababa City Charter, FDRE and AACA's Civil Service Proclamations. These documents specify and illuminate what are and are not considered appropriate and acceptable conducts for holders of public offices in AACA. The evidences from sources mentioned above is also used to confirm and complement some of the information obtained via survey questionnaire, interviews and observations.

Despite the importance of data collection and analysis, data quality is also a pervasive and thorny problem. The presence of incorrect or inconsistent data can significantly distort the result of the analysis. Therefore, in order to maintain the quality of data, the researcher has conducted reliability, and validity tests as follows.

3.6 Reliability and Validity Test of Data Collection Instruments

In quantitative research, reliability and validity of the instruments are very crucial for decreasing errors that might arise from measurement problems in the research study. Reliability refers to the accuracy and precision of a measurement procedure. The reliability of the survey instrument can be obtained through the pilot testing of the instrument. However, in this study, in addition to the pilot test, Cronbach's alpha was used to ensure the reliability of the measuring instrument. Tavakol and Dennick (2011) argue that high quality tests are important to evaluate the reliability of data supplied in a study and alpha is a commonly employed index of test of reliability.

To test the reliability, the questionnaire was analyzed using Cronbach's α values for each dimension using data on NPM, accountability, and ethics. The value of the Cronbach's α was above 0.7 and the result shown that these measures were reliable. According to Gandhi (2012), Cronbach's alpha result which falls within the range of 0.7-0.8 is acceptable.

Table 3-5: Reliability of Measuring Instrument

Measuring Instrument	Number of Items	Cronbach's Alpha
Elements of New Public Management	7	0.836
Employees' Accountability	6	0.782
Managers' Accountability	6	0.852
Organizations' Accountability	6	0.845
Ethical Awareness of Employees	10	0.890
Leadership Ethics	15	0.955
Coworkers' Ethics	13	0.950
Roles of Accountability Institutions	10	0.897

Source: Field survey, December, 2014- May, 2015

The other important issue which has been given important consideration in this section was validity. Kothari (1990) argues that validity is the most critical criterion to validate the degree to which an instrument measures what is supposed to measure. The questionnaire should adequately address all aspects of the issues assumed to be addressed by it. In this research, face and content validity were used to ensure that the instrument measures what it is presupposed to measure.

As per Kothari, content validity is used to refer the extent to which a measuring instrument provides adequate coverage of the topic under study. A content validity test checks that there are enough and relevant questions covering all aspects being studied and the irrelevant questions are not asked. The test was based on judgment as there is no objective method exists. Seven academicians in the field of public administration and political science have been consulted to evaluate the content of the questionnaire. On the basis of their feedback, its validity was checked. The other validity test used in this research was face validity. According to Neuman (2007), the easiest to achieve and the most basic kind of validity is face validity. It is the judgment by the scientific community that the indicator really measures the construct.

On the other hand, to attain trustworthiness and validity of the qualitative data and its findings in this research, the following strategies as indicated by Creswell (2009) were used. These strategies include triangulation of different data sources, clarifying the bias that the researcher brings to the study, spending prolonged time in the field, using peer debriefing to enhance the accuracy of the account, and using an external auditor to review the entire project. These strategies have helped to determine whether the findings are accurate from the stand point of the researcher, the participant, or the readers.

3.7 Data Analysis Method

This section sought to describe the process and procedures employed to analyze the data obtained from questionnaire, face-to-face interview, observation, and documents. The data collected through the above techniques were analyzed using several methods. The data analysis methods were chosen based on the type of data used and the nature of the research questions and objectives of the study. In this study, a blend of quantitative and qualitative data analysis methods was employed. In addressing the research questions and to achieve the research objectives, the data that were collected through the methods discussed in the preceding sections were carefully checked, organized, analyzed and interpreted. To bring meaning to the text from the documents reviewed, face-to-face interviews, and observations, themes were identified and organized into coherent categories.

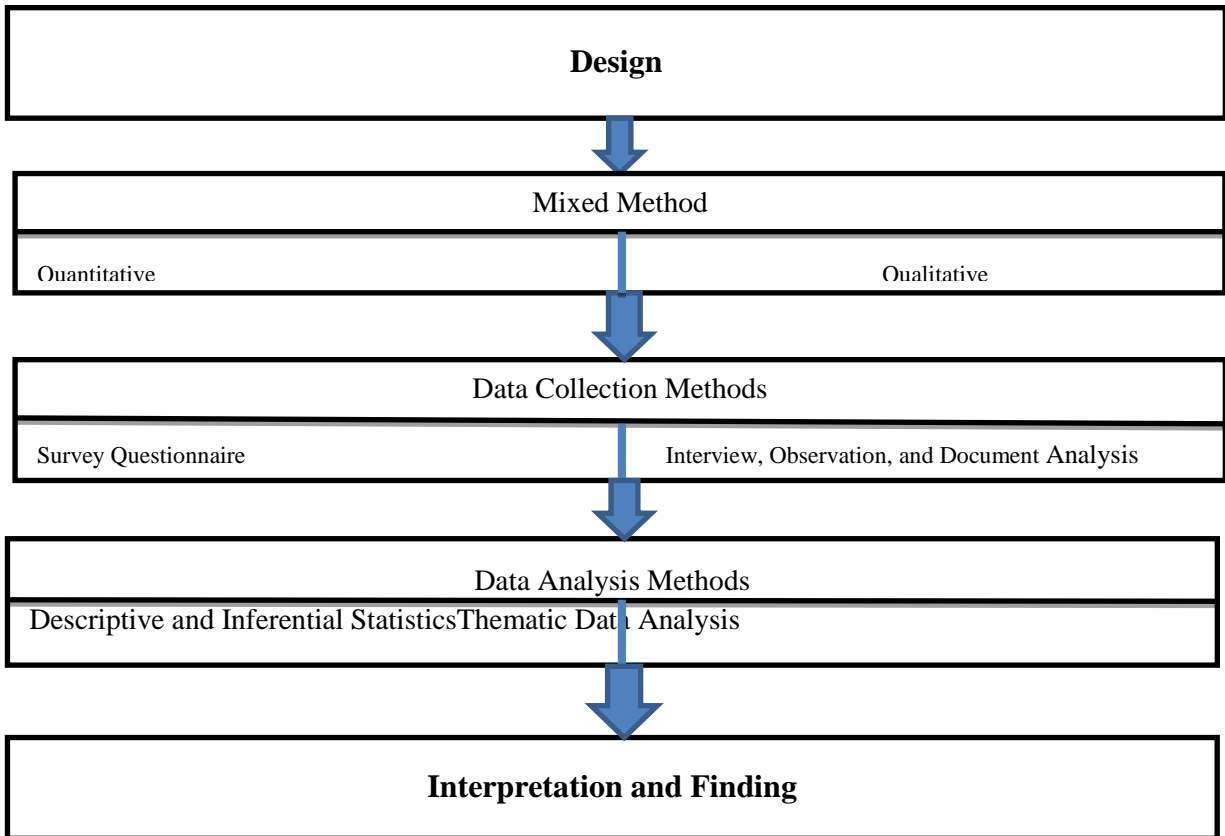
Thematic and content analysis methods were used in this study for qualitative data collected through the questionnaire (open-ended questions), face-to-face interviews, observation and documents reviewed. Consequently, the field notes as qualitative responses generated from in-depth and semi-structured interviews, observations and documentary analysis were organized, and analyzed using thematic and content analysis techniques. Content analysis is the process of organizing information into categories related to the central questions of the study (Bowen, 2009). Relevant themes that are significant to the study were identified and used for analysis. Afterwards, the qualitative findings were presented theme by theme in integrated manner with the results of the quantitative data analysis to triangulate the findings of the survey.

The principal research question predetermined the choice of statistical test and analysis to be used in the study. As the primary purpose of this phase of analysis was to correctly determine the effects of NPM on accountability and ethics, statistical analysis of the quantitative results was conducted with the help of Statistical Package for Social Sciences software (SPSS), Version 21. Descriptive statistical methods including frequency tables, figures, correlations and measures of association were used. Ordinal regression analysis from inferential statistics was also used. These techniques were employed as a statistical test to analyze quantitative data with the purpose of addressing the research questions and achieving the research objectives. The analysis of the quantitative data was supplemented by Microsoft Excel. This computer application has helped the researcher to plot graphs and demonstrate the findings of the study.

However, for the qualitative part, before the data is analyzed, the researcher has translated all Amharic written interviews, documents and field notes (observation) into English. The process of the translation has allowed the researcher to become well acquainted with the data. In analyzing qualitative data, the steps which are suggested by Creswell have been followed. According to Creswell (2009), the steps in qualitative analysis will include: first the collection of raw data. Second, organizing and preparing the data for analysis should be done. Third, preliminary exploration of the data by reading through the transcripts and writing memos is essential. Fourth, coding the data, segmenting and labeling the text are critical. Fifth, codes help to develop themes by aggregating similar codes together and theme description. Sixth connecting and interrelating themes will come. Finally, we will do interpreting the meaning of themes and constructing a narrative.

Figure 3.1 below portrays the overall research design of the study. Mixed method research design was used by administering a questionnaire, semi-structured interview and observation as instrument in order to collect quantitative and qualitative data respectively. The data obtained from the questionnaire were analyzed using descriptive and inferential statistics and information gathered through interviews and documents were coded and analyzed using thematic and content analysis methods.

Figure 3-1: Diagrammatical Representation of the Research Design



3.8 Ethical Issues: Consent, Access, and Participants Protection

This section emphasizes informed consent, the right of privacy of the respondents and professional honesty as the basic requirements for this study. Since the research involved human subject, the researcher has tried his best level to be honest and keep the ethical promise intact. Participants of the study have been informed about the objectives of the study emphasizing that data would be used only for the intended academic purpose.

Because of the apathetic behavior of the respondents in keeping their signature on the document, written consent agreement was not done. However, oral consensus with all participants and an official letter from the Department of Public Administration and Development Management, Addis Ababa University, was taken to the field. Respecting the rights, needs and values of the

study subjects were given utmost importance. Participants have been assured that the sources of data collected would remain confidential and anonymity would be maintained.

To ensure anonymity and confidentiality, each respondent has been represented by a coded number, with no reference to name or position and each questionnaire has been collected in a sealed envelope. As per the researcher's commitment, he has undertaken care to protect the informants from risks that may emanate from the information they provided.

No particular attempt was made to incriminate any specific individual as well as organizations in the study and participants would be given access to the final copy of the study up on their request without bias as a way of appreciating and recognizing their participation. The researcher was not biased to the responses of any of the participants. In reporting the study, the anonymity, confidentiality and dignity of the respondents were carefully protected. All participants were made aware that their participation was voluntary, and they could withdraw or stop their involvement at any time during the time of data collection. In dealing with the two group interviewees (experts and service recipients), the purpose and conditions of the interview were explained succinctly to the participants. Interviews were written after fully demonstrated agreement and in all cases, reports were prepared as of the interview date. All the interviewees were promised that their responses would be kept confidential and no one in any case is identified with the information he or she provided. As a result, this has boosted the self-confidence of the informants and also encouraged them to provide genuine information without associating it with negative consequences.

3.9 Summary

This chapter presented the research methodology used to achieve the research objectives in this study. Mixed method research design and concurrent triangulation approach were employed in order to analyze CSRPs in the context of NPM and examine the effects of NPM on accountability and ethics in AACA. After the proper identification of the target population or group and the purpose of the particular information sought from each group of respondents, multi-stage proportionate sampling methods were used in selecting respondents of the study. The

research employed a questionnaire survey, face-to-face semi-structured interviews, non-participant observation, and document analysis as data collection methods. Thus, the combination of qualitative and quantitative methods has helped the researcher to achieve the research objectives and address the research questions adequately.

This chapter also discussed the research ethics that has been observed to ensure that the findings are of better quality. Before collecting the required data, consent from the respondents was secured. The data collection procedures were intended to produce adequate and unbiased report mainly on the state of accountability and ethics and NPM's relationship with accountability and ethics in AACCA.

The reliability of the scale was tested using coefficient alpha which showed that the scale as highly reliable. The validity of the scale was also tested using content and face validity. From 346 questionnaires distributed to the employees of the city administration, 284 were returned. In achieving the research objectives and addressing the research questions of this study, thematic and content analysis methods were employed for the qualitative data. However, the quantitative data were analyzed using descriptive and inferential statistics including frequency tables, figures, and Spearman Correlation Coefficient and Ordinal Regression analysis methods respectively.

CHAPTER FOUR

NATURE AND CHARACTERISTICS OF REFORMS IN ADDIS ABABA CITY ADMINISTRATION

4.1 Introduction

The drives to improve management in governments through PSRPs and enhancing the delivery of quality service to the public have been common to many developed and developing countries including Ethiopia. Indeed, the principal purpose of this chapter is not to appraise the success or failure of the PSRPs *per se*, rather it aspires to look at the nature and characteristics of the CSRPs that are carried out over the past decades by AACAA in the context of NPM. Hence, the chapter focuses on four principal sections.

The first section presents the socio-economic and historical background of AACAA and the need for CSRPs. Next, an overview of Post-Dergue public sector reform programs in AACAA is dealt under section two. The third section deals with the practice, nature and characteristics of CSRPs in AACAA with respect to NPM. In examining the nature and characteristics of CSRPs in AACAA, the seven NPM elements, which have been explicitly depicted by Hood (1991), are used as a framework. Thus, the fundamental question raised in this section is about whether the CSRPs in AACAA are in alignment with NPM paradigm or not. Finally, section four deals with the factors that impede the practices of the reform programs in AACAA.

4.2 Socio-Economic and Historical Background of AACAA and the Need for CSRPs

Addis Ababa City is the largest and the hub of Ethiopia (Fekadu, 2013). It was founded in 1886 by the then Ethiopian King, Emperor Menelik II and his wife Empress Taitu (Bahiru, 2013). Geographically, the city lies at the center of the country and connects with all regions. Since its establishment, Addis Ababa served as the country's administrative, economic and political capital and covers 54,000 hectares of land and it accumulates an estimated population of 3.2 million (Aerni, 2010). The city is not only the political, economic and cultural center of the

country but also the hub of African diplomacy (Gormesa, 2015; MoFA, 2014) and the fourth diplomatic center in the world (Yntiso, 2008).

Accommodating about 30 percent of the urban population of Ethiopia, Addis Ababa is one of the fastest growing cities in the continent and its population has nearly doubled every decade (UN-HABITAT, 2008). The higher concentration and relatively growing levels of industrial activities and infrastructural facilities are often noted as among the factors that attract many of the migrants to Addis Ababa and these make it a single primate city in the country (Kassahun & Tiwari, 2012). The city is estimated to be fourteen times bigger than the country's second largest city, *Dire Dawa* (Demeke, 2015; Fekadu, 2013; MoFED, 2006). Hence, dozens of migrants are engrossed by Addis Ababa city soliciting better job opportunities and utility of social services (Alemu & Yosef, 2013).

Structurally, AACA is accountable to the Federal Government and embraces the legislative, executive and judiciary branches of government. The current administrative system, AACA comprised ten major administrative sub-cities that are further divided into districts locally known as "*Weredas*", which are the smallest administrative units of the city (AACA Communication Bureau, 2004). In addition, 14 bureaus with a clearly defined legal personality or objectives and accountable to the Mayor are established (AACC, 2012).

High rate of unemployment, widening income disparity, overcrowded concentration of slum dwellings, and poor housing, meager infrastructure, and sanitary development characterize Addis Ababa more than the few good features it possesses (Un-Habitat, 2007). These changes and associated problems cannot be handled through traditional public organizations, personnel or methods, and administrative capabilities have to be upgraded to meet new demands and situations. This implies that the city cannot afford to have a civil service that is unable to cope with the increasing domestic and international demands on its services and infrastructures. Hence, in order to ensure good governance and effective and efficient service delivery, AACA requires proficient civil service. Consequently, considerable reform measures have been taken in the civil service to improve the prevailing administrative defects since EPRDF took power in the

early 1991. The underlying objective of the CSRPs in AACA is to implement government's plan in an effective and efficient manner (AACA, 2004). Section 4.4, however, examines the nature and characteristics of the CSRPs that have been introduced and practiced to date (2016) in AACA in order to know how far they comply with NPM.

Although many reforms such as decentralization, civil service reforms, community participation and improved service delivery (Yntiso, 2008) have been carried out to reverse the old aged practices of AACA, the city administration is still struggling with the predicaments of instituting democracy and good governance. Thus, poor public service accountability and deficiency of ethical operations are mounting over time (Atikilt, 2015).

4.3 An Overview of Post- *Dergue* Public Sector Reform Programs In AACA

Over the past 25 years, major reform initiatives have been taken in Ethiopia with the objective of changing rule-bound public service to one that serves the interests of the public. The PSRPs can be mentioned among the initiatives that had been taken place in the country in collaboration with other international partners. Aid conditionality by donor organizations such as WB and UNDP was an important factor for embarking on public sector reform programs in Africa including Ethiopia. Larbi(1999), Mackintosh (1998), Minogue (2000), and Polidano (1999) (as cited in Paulos, 2013) stated that multi-lateral institutions have played a role in encouraging developing countries to begin pro-market and pro-private sector reforms.

Considering the present effect of past public service delivery setbacks along with international pressure by WB, UNDP and others, the FDRE Government began to implement the reform programs in the public sectors beginning from the early 1990s onwards. AACA has also been touched by the wave of this international trend and direction of reforms. There were similar genres of public sector reform program packages designed to AACA except the possible variation across states in terms of the magnitude of the practices. AACA is rather better positioned than other regional states in implementing the PSRPs. The city had a competitive advantage of running decentralized civil service programs and relatively equipped with necessary resources compared to other regional states (Mellors, et al., 2007).

Beginning from 1991, the EPRDF led Government commenced series of economic and political measures with the intention of reversing the previous old aged arrangements of the government machinery (Tilaye, 2007). It was in the early 1990s that SAPs were first begun to be introduced in Ethiopia. SAPs launched in the early 1990s by the government consist of political and economic reforms (Getachew & Common, 2006; Yimer, 2015). The political dimension of the reforms was expressed in the following ways: effecting changes in the constitution, transition from single party hegemony to the multi-party democratic system, changing the form of government from unitary to federal, and instituting regional self-governments by way of devolving tasks and authority to the newly created sub-national entities. The economic dimension of the reform, however, included denationalization and deregulation of public enterprises that were formerly under the government control (Tilaye, 2007). However, Ethiopia does not have success stories with regard to performance of SAPs like many of the Sub-Saharan African Countries. SAPs in Africa had neither accelerated growth nor reduced poverty (Lopes, 2013).

The other reform package which immediately followed SAPs and considered as part of NPM is CSRPs. CSRPs have been increasingly adopted in Africa often linked to SAPs (Wescott, 1999). African countries have been reforming the civil service with the intention of making the civil service accountable, transparent, and responsive to the public in the delivery of public goods and services (Islam, 2015). Right after coming to power, the current government of Ethiopia initiated a first phase reform program (1991-1996) to overhaul and enhance the civil service system through a retrenchment and redeployment programs (Paulos, 2001).

In 1996, the government established a task force aiming to assess problems in the civil service system and to recommend plans forwards. The taskforce found that the orientation, attitude and work practices of the bureaucratic machinery were ill-suited to the needs of the new policy environment of the country. Lack of clear national service delivery policy, attitudinal problems, insufficient recognition of citizens' rights, lack of accountability, excessively hierarchical organizations, giving priority to the convenience of providers instead of users, more concern on inputs and routine activities, less on achieving tangible outputs, lack of

consultation with clients, and lack of complaint-handling mechanism were among the major problems identified (Government of Ethiopia, 2001).

Thus, the government initiated its second phase of the reform (1996-2003) program in the form of comprehensive CSRPs. It possessed wide-ranging components that included five major sub-programs. Similarly, AACA has also put in place the CSRPs with its core components. To this end, the following five major sub-programs were undertaken; namely, (a) the expenditure management and control sub-program, (b) human resource management sub-program, (c) top management system sub-program, (d) service delivery reform sub-program and (e) the ethics reform sub-program (AACA Capacity Building Bureau, 2008; AACA, 2004). In addition to the components of the CSRPs noted above, different reform initiatives and management techniques like BPR, BSC, and development of change or reform army are some of the major reform tools that the government has introduced and implemented in accomplishing the objectives of service delivery reform and enhance organizational performances (Zerihun & Tesfaye, 2014). Reform or change army in the civil service could be seen as a group of civil servants structured together at various levels of an organization with the purpose of shared organizational mission and strategy which mainly focuses on the satisfaction of customers. It refers to a group of people organized as stand by armed force to perform organizational missions as effectively as possible (Ministry of Civil Service, 2014). Nevertheless, the implementation of change army team in Addis Ababa has multiple problems. According to Miruts and Daba (2016), the communication system in change army teams is found to be very poor, top-down, not participatory, and it is not integrated with organizational goals. CSRPs were sought to enhance the capacity of the civil service so that it will be effective, efficient, transparent, accountable, ethical, performance oriented, and promotes good governance, provides client oriented service delivery and supports the government's social and economic development policies and private sector development.

The CSRPs appears to be consistent with NPM perspective, and it often seeks to dismantle the existing civil service systems and replace them with models closely resembling those found in the private sector. It is directly related to NPM concepts applied in managing public sectors using the principles similar to those used in private sector (Lukumai, 2006). Like many African

Countries, Ethiopia is also embracing elements of the NPM and the CSRPs that the country has embarked on are in line with the NPM concept (Paulos, 2001; Peterson, 2001 as cited in Getachew & Common, 2007). Corroborating the above arguments, Gebre and Melesse (2014) stated that the concept of NPM was introduced in Ethiopia with the principal objective of transforming the civil service from bureaucratic, unaccountable, inefficient and ineffective institution to a flexible and fair, responsible and participative, accountable and efficient, ethical and transparent civil service that can help achieve sustainable socio-economic development, good governance and democracy. Hence, on the basis of what is stated by Gebre and Melesse (2014) and Paulos (2001), it is possible to deduce that the CSRPs initiated and operationalized by AACA are in line with NPM concept. NPM paradigm has tended to focus on how to improve service delivery to citizens and how to make it more responsive and effective (Crook, 2010). Thus, the focus of NPM complies with what the CSRPs intended to achieve.

From the preceding discussions, it is apparent that AACA has embarked on NPM. According to Hood (1991), NPM is the fusion of managerialism and liberal institutional economics. Managerialism connotes the introduction of private sector entrepreneurial management principles to the public sector. It comprises professional management, explicit standards and measures of performances, managing by results, offering value for money, and customer as a focus for service delivery. All these elements covered under managerialism have been part of the CSRPs in AACA (AACA, 2004). The new institutional economics, on the one hand, refers to the introduction of incentive structures such as competition, customer care public service provision, greater competition through contracting out and quasi markets.

Noteworthy initiatives have been underway in the last two decades to improve accountability and ethics, and to improve the quality of services to the citizens in AACA. These initiatives include creating public organizations that are flat in hierarchy, flexible, decentralized, and greater consideration for performance management (AACA, 2004). All these initiatives were embedded within the frameworks of NPM. Therefore, AACA's Public Administration has been affected by and benefited from the impact of the international trend of NPM.

4.4 Background Information of Survey Respondents

Table 4-1 shows respondents' gender distribution, education and respondents' organizations. As it is depicted in Table 4-1, out of sampled respondents, 173 (60.9%) and 111 (39.1 %) of them are males and females respectively. It entails that male employees are larger in size in AACAA than females are. The educational qualifications of survey respondents reveal that those possessing first degree holders had the highest frequency of 146 which is 51.4 % and 37.7 % of them represents college diploma graduates with a frequency of one-hundred-seven. However, 17 (6.0%) and 14 (4.9%) of survey respondents have second degree and certificate respectively. It therefore, implies that the professionalization of the civil service in AACAA is getting improved compared to the previous arrangements. The professionalization of the service is also one of the essential ingredients of NPM.

Among 284 survey respondents, 25 (8.8%), 32 (11.3%) and 50 (17.6 %) of them are from Micro and Small Enterprise Development, Housing and Construction, and Road and Transport offices respectively. However, 35 (12.3%) and 142 (50%) of them are from Trade and Industry and Land Development and Management offices respectively. This entails that the work force in Land Development and Management Bureau is very large as compared to others.

Table 4-1: Survey Respondents' Background Information

Item	Description	Frequency	Percentage
Sex	Male	173	60.9
	Female	11	39.1
Education	Certificate	14	4.9
	Diploma	107	37.7
	BA Degree	146	51.4
	Master's Degree	17	6.0
Study Bureaus	Micro and Small Enterprises Development	25	8.8
	Housing and Construction Development	32	11.3
	Road and Transport	50	17.6
	Trade and Industry Development	35	12.3
	Land Development and Management	142	50.0

Source: Field survey, December, 2014- May, 2015

Table 4-2 shows employees' educational level in terms of sex. It reveals that male employees are better educated than female employees. The number of male employees who have Master's Degree, Bachelor Degree, Diploma, and Certificate are 10,109, 48, and 6 respectively. Similarly, the number of female employees who have Master's Degree, Bachelor Degree, Diploma, and Certificate are 7, 37, 59, and 8 respectively. As the level of qualification decreases, the number of female employees increases compared to the number of male employees. This difference might be the result of unequal educational opportunity that prevails for many years in the country.

Table 4-2: Respondents' Education in terms of Sex

		Respondents Education				Total
		Certificate	Diploma	BA Degree	Master's Degree	
Sex of respondents	Male	6	48	109	10	173
	Female	8	59	37	7	111
Total		14	107	146	17	284

Source: Field survey, December, 2014- May, 2015

Table 4-3 shows employees' age and work experiences, who have participated in the survey. It reveals that their maximum and minimum work experiences in AACA are thirty-three and one year respectively. Nine years as an average working experience and thirty-two years as an average age of respondents show that the pool of candidates who are currently working in AACA have better experiences and relatively at active and productive working ages. The practices of NPM in AACA are examined below on the basis of the views of survey respondents, key informants and review and analysis of secondary sources.

Table 4-3: Age and Work Experience of Survey Respondents

		Respondents work experience	Age of respondents
N	Valid	284	284
	Missing	0	0
Mean		8.78	32.27
Std. Deviation		6.816	6.669
Minimum		1	20
Maximum		33	55

Source: Field survey, December, 2014- May, 2015

4.5 Practices, Nature and Characteristics of CSRPs in AACA

This section attempts to examine the nature and characteristics of CSRPs in the context of NPM AACA. In doing this, survey was conducted with the city administration's civil servants. In addition, interview and document review were also employed for the same purpose. The data obtained from survey questionnaire, informants interview and review of documents regarding the nature and characteristics of CSRPs in the context of NPM in AACA are presented and analyzed below.

As depicted in Table 4-4, a series of questions were asked to respondents in order to elicit out their own views on the practices of NPM in AACA. Accordingly, it reveals that greater discipline and cost cutting schemes in resource use 163(57.4%), private style of management 161 (56.7%), greater emphasis on output than input and process 159(56.0%), result oriented performance 157(55.3%), competition 154 (54.2%) are proved to be practiced in AACA by more than fifty percent of respondents. But, the level of agreement on the presence of managerial autonomy and disaggregation of units were found to be 102 (35.9 %) and 124 (43.7%) respectively. These insinuate that despite the possible existence of some variation on the practices of these reform components, five of the NPM elements have been put in place in AACA. Nevertheless, survey results are triangulated with data obtained through interview and document analysis below Table 4-4 with the objective of verifying the reliability of the information provided by survey respondents.

Table 4-4: Survey Result on the Practices of NPM in AACA

No.	Item	Response categories	Frequency	Percent	Cumulative Percent
1	There is managerial autonomy to make important decisions in the organization.	Disagree	162	57.0	57.0
		To some extent	20	7.0	64.1
		Agree	102	35.9	100.0
		Total	284	100.0	
2	Result oriented performance evaluation has been practiced in the organization so far.	Disagree	101	35.6	35.6
		To some extent	26	9.2	44.7
		Agree	157	55.3	100.0
		Total	284	100.0	
3	The organization has given greater emphasis to output than input and process.	Disagree	93	32.7	32.7
		To some extent	32	11.3	44.0
		Agree	159	56.0	100.0

No.	Item	Response categories	Frequency	Percent	Cumulative Percent
		Total	284	100.0	
4	There is disaggregation of units that allow separate provision of services.	Disagree	127	44.7	44.7
		To some extent	33	11.6	56.3
		Agree	124	43.7	100.0
		Total	284	100.0	
5	There is greater competition among departments and employees for better results.	Disagree	91	32.0	32.0
		To some extent	39	13.7	45.8
		Agree	154	54.2	100.0
		Total	284	100.0	
6	The private styles of management have been practiced up to now.	Disagree	83	29.2	29.2
		To some extent	40	14.1	43.3
		Agree	161	56.7	100.0
		Total	284	100.0	
7	There is greater discipline and cost-cutting schemes in using resources.	Disagree	88	31.0	31.0
		To some extent	33	11.6	42.6
		Agree	163	57.4	100.0
		Total	284	100.0	

Source: Field survey, December, 2014- May, 2015

In addition to the results obtained from survey, NPM features were also included in the CSRPs documents. To mention a few, result oriented performance management, greater emphasis on output than input and process, flat organizational structure and delegation, one stop service, cost containment or economical usage of resources, customer oriented service, value for money, and decentralized form of management are part of NPM that were also embraced in AACA's CSRPs(AACA, 2004). During observation the researcher has witnessed the fact that all offices at different echelons of the city administration are organized to give one stop service to service recipients. In this regard, Bureaus of Land Development and Management, and Trade and Industry Development can be mentioned as good examples to corroborate what is noted above. Hence, in order to substantiate what is discussed above, the subsequent analysis had emerged from the informants' views and secondary sources.

Civil servants' views were triangulated and verified through the feedback obtained from informants. Informants were asked to give their overall evaluation on the implementation of Hood's NPM elements in Bureaus they are working for. Interviews and discussions held with informants revealed that the above survey respondents' opinions widely shared and known among them. According to the majority of informants, despite the gaps in implementing these reform elements, many of NPM ideas are being practiced in AACA "as innovative

approach responding to changing environments”. Their responses confirmed that these NPM elements have been put in place in AACA over period of years. In explaining the issue further, informants have been asked a series of questions. The result obtained from informants’ interview and documents are presented and analyzed below.

Managerial Autonomy: Informants were asked whether there is managerial autonomy or not in AACA. In response, many of the informants whom the researcher interviewed in different bureaus praised that AACA was decentralized and divided into ten sub-cities. Similarly, two of the informants from Bureau of Trade and Industry Development, and Road and Transport stated that the activities which were previously managed at center are now decentralized to the sub city and ‘woreda’ level. According to these informants, executives at each administrative echelon and managerial levels are relatively empowered compared to the previous old bureaucratic arrangements and have been given autonomy to manage or decide on matters for which they are responsible for. They can implement government policies and make important decisions without consultation and lengthy negotiations with the top management body at the center as before. The majority of informants hold the viewpoint that civil service managers are allowed to control their subordinates though the authority to plan and control the financial resources are still constrained and highly influenced by the center.

Informants with whom the researcher conducted face-to-face interview in Bureaus of Land Development and Management indicated that human resource issues and functions such as planning, recruitment, selection, placement, staff performance appraisal and training and development decisions, and disciplinary actions are made at lower level compared to the pre-reform arrangements. However, these informants did not deny the intrusion of politics in the management of human resources. An informant in Bureau of Capacity Building has also expressed his views stating that “many of the managerial positions are occupied by politically affiliated individuals and ruling party members.” Likewise, complementary view is held by Miheret (2016) stating that ‘Woredas’ in AACA have some autonomy over human resources management; however, capacity problems and political infringements are constraining their activities.

Many of survey respondents have also verified the political interferences in the course of managing human resource issues. As it is elucidated by survey respondents, the politicization of manpower engagement process and disregarding the significance associated with job description, job specifications and job performance in the recruitment and promotion decisions are becoming overt and regular phenomena. Besides, human resource management is not the only measurement of managerial autonomy. Among the most commonly used indicators of managerial autonomy, financial freedom is the vital one. Sub-cities as well as “*woredas*” in AACCA do not have financial autonomy. They do not have the freedom to mobilize and finance their own activities using the resources they have because of the intervention from the center.

Discretion in determining what to do without undue constraint from the higher levels of the city administration is non-existent. Addis Ababa City Charter unambiguously stated that sub-cities and the *kebeles*, now the *woredas* do not have financial autonomy. Article 32 (1) of the charter has stipulated that the sub-city council allocates the budget assigned to it by the city council (HPR, 2003). It signifies that neither the sub-cities nor *woredas* can generate and finance the money on their own activities. If the lower level public administration problem solving efforts are based on approvals from the central authorities, this would generate phenomena of bureaucracy, lack of initiatives, and negative consequences for the administrative activities at the lower level.

Few respondents, however, have argued and tried to explicate that lower level managers do have autonomy. They strongly expressed that managerial autonomy is interlinked with corruption in some contexts. Two informants from Land Development and Management Bureau stated that autonomy has facilitated corrupt and unethical practices by those individuals who occupied managerial positions and who are provided with discretionary authorities. One of these informants has explained the situation as follows:

In Land Development and Management Bureau, managerial authority is devolved to lower levels and top executives at the center do not have legal power to involve and interfere in important decisions made by officials at the sub-city level. As a consequence,

corruption is escalating at the sub-city level. However, whenever there is corruption suspect or any other types of misbehaviors are registered, top management officials at the center can take part in the process of making people who are holding managerial positions at sub-city level accountable through “gimgema”.

The word ‘gimgema’ noted above refers to face-to-face evaluations that are conducted on regular basis among government employees and officials with the objective of disclosing and correcting the malpractices committed by each organizational member. It is a serious examination and judgement of one’s own behaviors and job performances by himself or herself (self-criticism or self-evaluation), colleagues, immediate bosses as well as by other external parties in front of the crowd of people who would verbally challenge the person until he/ she confessed or give some kind of justifications.

It is important to note here that this opinion is also shared by many of the informants in the bureaus that are included in this study. In the same manner, Addis Ababa City Charter, Article 32(1) has also explicated that power is decentralized from the center to the lower level (AACA, 2003). As stated by AACA’s Executive and Municipal Service Organs Re-Establishment Proclamation, powers and functions, and accountability of subcities and “Weredas” are separately indicated (AACC, 2012). However, what is stated above by interviewees and AACA Executive and Municipal Service Organs Re-Establishment Proclamation do not validate the presence of managerial autonomy in the city administration. Besides, AACA’s Charter do not provide sub-cities and *woredas* with the autonomy to make important decisions in their jurisdictions.

As stated by Paulos (2001), replacement of highly centralized organization structure with a decentralized management environment where decisions on resources allocation and service delivery are taken closer to the point of service delivery is an important element of NPM. Similarly, Hope and Chikulo (2000) hold the view that one of the central elements in the application of NPM is the concept of decentralization and within the context of NPM, decentralization is seen as the means for increasing managerial autonomy by reducing central administrative controls. All the initiatives, however, suggest that decentralization of management

authority in AACAs is greatly restrained and it has remained more of deconcentration than devolution. Therefore, it is possible to argue that the current decentralization practices in AACAs do not reasonably explain the NPM model.

Result Oriented Performance Evaluation: The other key element in Hood's (1991) NPM model involves setting explicit standards of performance. The traditional performance management measures were found to be outdated and inappropriate and result based performance management system (RBPMS) becomes one of the elements of CSRs in Ethiopia. As stated by Tesfaye and Atakilt (2012), FDRE Government has adopted the implementation of result oriented performance in the civil services although its implementations were challenging. They have also added that due to RBPMS many public organizations have slightly improved their performances in the provision of services to the public.

Similar to the FDRE Government, the RBPMS was an essential part of AACAs' CSRs (AACAs, 2004). Now the city administration has introduced BSC as performance measurement tool in the civil service. BSC is one of the performance measures which enables organizations translate vision and strategy into tangible set of performance measures (Geda, 2015). As stated in the training manual prepared by AACAs' Capacity Building Bureau (AACACBB), BSC is needed and adopted in AACAs to appraise performances on the basis of results (AACACBB, 2008). Likewise, Girum (2014), stated that AACAs has put in place result oriented performance management system. According to him, BSC in the city administration has five steps: (1) Planning which includes work plan and performance objectives, (2) Performance follow-up and feedback, (3) Measuring performance based on results, (4) Conduct training for poor performers, and (5) Provision of reward for better performers. He also added that the preparation of performance appraisal plan should be participatory, transparent, result oriented, and measured based on work quality, quantity, cost and time dimensions. AACAs' civil servants' proclamation, Article 32(1) has also emphasized the need for performance management and rewards based on results achieved (AACG, 2008). This verified the fact that AACAs has adopted and practicing result oriented performance management system.

In setting explicit standards of performance in AACA, there were no meaningful differences in many of the informants' opinions. The informants, whom the researcher interviewed in Addis Ababa, at Bureaus of Capacity Building, Land Development and Management and Trade and Industry Development stated that with result oriented management scheme, each employee, executive, department and the institution at large has been being evaluated on the basis of the results each achieved. These informants further corroborated that BSC, which is currently in place across the city administration, requires each of the above actors to periodically give an account of the resources utilized and the output obtained. In addition, reports are often examined and compared against the approved plans in order to ensure that they are accomplished accordingly and find out any possible discrepancies.

Informants from all bureaus contended that performance agreements would assist employees to focus better on their responsibilities and help ensure that their performance targets are aligned with the objectives of their organizations. They also indicated that each bureau's objectives and strategies were clearly identified in the agreements. Knowledge in prevailing literature also supports their views and considers BSC as an integral part of NPM. Beginning from NPM reforms of the late 1980s and early 1990s, public sector organizations around the world have been facing continuous pressures to exhibit effective performance management. One of the tools widely accepted as having the potential to support this performance management was BSC (Bilku-Thompson, 2003; Modell, 2004; Aidemark, 2001 as cited in Northcott & Taulapapa, 2012). As stated by Dereje (2015), AACA has implemented BSC since 2010 in order to improve the performance of public sector. It is the increase in social needs and community expectations about the quality of service delivery, the increase of budget limitations, and the definition of citizen satisfaction as the mission of public organizations that justify the adoption of a strategic management model in public management (Gomes, Mendes, & Carvalho, 2010). Hence, BSC as strategic tool in AACA is also an integral part of NPM. Thus, what is stated above suggested that performance management or result oriented performance management system have been used as an instrument to improve the performance of the civil service in AACA and can explain the NPM model.

Emphasis on Output than Input and Process: The next point of enquiry was aimed at to know whether there existed increased emphasis on output control or not in AACA. Based on the qualitative data obtained, greater emphasis is given to output than input and processes in AACA. It is also one of the reasons that necessitate the need for reforming the civil service in AACA as well as at the Federal Government level. As stated by AACA (2004) and Government of Ethiopia (2001), in the past, Ethiopian civil service was procedure and input oriented. As a result, output oriented reform has been introduced. This idea has been extended further by many of the informants. The informants were asked about the implementation of the reform element that emphasizes output than input and process in bureaus they are working for. Informants, with whom face-to-face interview was conducted, in Bureaus Land Development and Management, Trade and Industry Development, and Road and Transport have verified that output orientation is the essence of the CSRPs in AACA and since the introduction and implementation of result oriented performance or BSC, the city administration is more concerned with output control than input and process. These interviewees argued that the city administration's focus on output control had greatly increased with the adoption and implementation of result oriented performance management system.

Disaggregation of Units that Allow Separate Provision of Service: The next question sought the informants' outlook on the practices of disaggregating monolithic government organizations into different units. Many of the informants have reflected similar views on the disaggregation of units in AACA. According to two informants from Bureaus of Land Development and Management, and Capacity Building, different activities in each bureau are disaggregated into different departments and units. They have argued that AACA has undergone a significant restructuring of large unitary bureaucracies into a smaller and task oriented units with the objective of improving public service delivery. An informant from Bureau of Capacity Building has also explained further about the presence of the practices of disaggregation of units by giving Health and Education Bureaus as example.

As he stated, Addis Ababa food, medicine and health administration and control authority (AAFMHACA) is responsible for regulatory activities and public hospitals and health

centers are in charge of the provision of services. Similarly, AACA's Education Bureau has established units for maintaining education quality and relevance, and schools are in charge of the provision of services.

His view is also validated by proclamation No.30/2012. According to this proclamation, AAFMHACA is established with the objective of protecting the health of consumers in Addis Ababa city by ensuring food safety and quality, the safety, efficacy, quality and proper use of medicines, competency and ethics of health professionals, the standard of health institutions, and the hygiene and environmental health protection suitability for individual and community health (AACA, 2012). However, what is stated above by an informant, proclamation No.30/2012, and the restructuring of organizations and establishments of different departments do not adequately explain NPM model. According to Hood (1991), disaggregation of units needs separate production and provision of products and services. However, no evidence of production and provision split is found in the study bureaus. Hence, the responses given above or the departmentalization of activities as stated by informants do not adequately explain NPM model.

Competition: Informants were next asked to provide their views on the presence of public-private competition and outsourcing of organizational activities to the private sectors in AACA. Many of these informants in the study bureaus replied that competition between public and private organizations and outsourcing of organizational activities to the private sectors in AACA is inconsiderable. However, some of these informants further explained that, though outsourcing of organizational activities to the private sectors and public-private competition are insignificant, there are few beginnings to demonstrate its existence. As they have stated, there are competitions between private and public organizations mainly in health and education sectors. According to them, in harmony with NPM principles, schools and hospitals are competing for students and for people who are seeking medical services respectively and citizens have freedom to choose their own schools and hospitals in AACA. Outsourcings of some activities to the private sectors are also being practiced in some government organizations.

An informant in Bureau of Capacity Building has expressed his view on the outsourcing of some activities from the public to the private in the health sector with the objective of improving health service delivery. According to him, many of the ancillary and non-clinical activities such as food preparation, security and laundry and cleaning services are outsourced to the private providers. As to the informants from Bureau of Road and Transport, there are outsourcings of activities which were previously provided by the government to the private sector. These include regulatory activities, vehicle technical inspection activities which are the fundamental part of vehicle regulation are outsourced to the private sector. Driver licensing activities are also partly outsourced to the private sector. Besides, road construction and maintenance activities are mainly outsourced to the private sectors through competitions.

There is also public-private partnership between Trade and Industry Development Bureau and private partners. As to the informant from Bureau of Trade and Industry Development, partnership and collaboration have been created between Chamber of Commerce and Trade and Industry Development Bureau in terms of capacity building and some regulatory activities. This informant has explained the prevailing partnership between Trade and Industry Bureau and consumers' cooperatives. It aims at regulating price, affordability, and quality of products and services. He has also added that Trade and Industry Development Bureau is using consumers' cooperatives as regulatory instruments.

Apart from the existence of few competitions between government and private sectors, there are also the practices of competition within the government institutions. According to two informants from Bureaus of Capacity Building, and Micro and Small Enterprises Development, there are good beginnings in the promotion of internal competition within and among government institutions by the objective of enhancing efficiency and promoting standard of service delivery. They have confirmed the presence of competitions among sector offices in all sub-cities, among schools and health centers in all sub cities based on objectively measurable standards. According to these informants, in many government organizations, there are practices of identifying exemplary performers of the month or the year and these practices are more reinforced after the introduction of result oriented performance appraisal system which also

enables objective evaluation of performances. Informants, whom the researcher interviewed in the study bureaus, have unanimously verified the presence of competitions among departments and offices since the city administration encourages it among government agencies.

Competition within units of government and across government boundaries to the non-profit and for-profit sectors is one of the principles that remain at the core of NPM (Denhardt, 2011; Łukomska-Szarek, 2013). Competition means that departments with the government and employees have to compete with each other in the delivery of public services for which they are responsible (Kalimullah, et al., 2012). According to Moore (1996), NPM emphasized that individuals and small groups should be placed in some kind of competition with one another and be rewarded for their effort and performance. As stated by Paulos (2001), “enabling managers within government to act as public-sector entrepreneurs, fully utilizing the value of capital, goods, and staff within government to deliver specified objective” is an element of NPM. It shows that public-private competitions, internal competitions within the public sector as well as competitions among employees and government organizations confirm the practices of competition as NPM element.

The Private Style of Management: The next question sought insights on the responses of interviewees on whether AACA had introduced the private style of management or not. As many informants replied, the private style of management has been put in place to some degree in the city administration. They have mentioned the strategic management models such as BPR and result oriented performance management system or BSC, customers as a focus for service delivery and the idea of competition, and emphasis on efficiency were meant to show the presence of private style of management in AACA.

BPR is also known as parts of NPM model. According to Fragoso (2015), the main components of NPM model are known as “5R’s”: restructuring, process reengineering, reinvention, realignment and reconceptualization. Similarly, Getachew and Common (2006) have affirmed the acceptance of BPR by public sector reformers as part of a package of NPM reforms. It has been stated that NPM is related to the notion of re-engineering the public sector (Hope & Chikulo,

2000). As stated by AACACBB(2008), the city administration has been practicing BPR and BSC in the government machineries. This entails that the public sector is operating more like a business than ever before. It is therefore, possible to argue that the private style of management that are being practiced in AACCA so far can explain the NPM model.

Greater Discipline and Cost Cutting Scheme in Using Resources: The next question has aimed at informants' response on whether AACCA emphasized greater discipline and parsimony in resource use or not. The majority of informants, with whom the researcher has conducted interview in AACCA, have agreed that the city administration has been trying to apply efficient cost utilization and cost containment schemes. An informant from Capacity Building Bureau further explained that these days, greater discipline and economy in resource use has been given greater priority in the course of implementing reform programs in the city administration. This informant noted that AACCA had been trying to improve its efficiency and its services by reforming its organizations and introducing various projects such as BPR, BSC, Kaizen, program based budgeting system (PBBS) and application of information and communication technology. Likewise, an informant from Construction and Housing Development Bureau stated that reforms are introduced to allow the city administration carry out its activities in a more efficient, cost effective way by providing more effective means and better information to those making decisions.

BPR involves the discovery of currently operating business process and how to design these processes to eliminate redundant effort, wastage, and improve efficiency and competitiveness (Lilian, Uzochukwu, & Francisca, 2015). Performance management on the basis of 'Balanced Scorecard' approach is also seen as a means to ensure best use of limited resources. BSC has feature of linking goals, resources, strategies and results. As stated by Fekadu (2014), PSRPs were introduced because traditional system of public administration was ineffective and inefficient in the delivery of public goods and services. Similarly, efficiency and effectiveness are among the objectives of CSRPs in AACCA. It was found that in the past the civil service had been suffered from inefficiency and poor performances and reforms were introduced to make the civil service efficient and effective (AACCA, 2004). This shows that discipline in

efficient usage of resources is one of the concerns of CSRPs that has been practiced in AACA so far. Similar view is held by Ministry of Civil Service on cost containment and the efficient utilization of resources. According to Ministry of Civil Service (2013), the CSRPs seek to achieve effectiveness and efficiency at federal and regional levels through transformational measures.

Moreover, informants have disclosed that AACA encouraged the participation of the general public on the affairs of the city administration. They have elucidated further the citizen charter (CC) in explaining the participation of the public in the affairs of government. According to an informant from Bureau of Capacity Building, CC is introduced in AACA most recently to let people participate in government affairs. As to this informant, CC is part of NPM model and acts as a bridge between service providers and beneficiaries for providing quality and accessible service. The commencement of CC is needed in AACA for multiple reasons such as making the public aware of their rights, satisfying the people by improving the standard and quality of services, making the service providers more responsible and accountable to the citizens and maintaining public trust on government institutions. The public can make complaints, provide feedback, and share opinions on matters that are affecting them. As stated by Fekadu (2014), CC is also very useful in achieving efficiency and accountability in the public sector. In a nutshell, from the analysis of the data obtained through survey questionnaire, informants' interview and document review, it can be argued that AACA has adopted some of public administration reform programs that were closely related to reform elements coined by Hood (1991) and these rubrics of the reform programs marked departure from rigid adherence to the Weberian bureaucratic principles.

From the foregoing analysis, despite the variation in the respondents' view and the possible disparities in the degree of practices of the reform programs, the most notable components of NPM: (1) Result oriented performance management, (2) Greater emphasis on output controls, (3) Competition, (4) Emphasis to the private style of management, and (5) Greater discipline on resource use have been put into practice in AACA. However, it was not in a very comprehensive and consistent manner. Besides, practicing NPM reform programs in AACA in no way is

expected to be the same as the practices in developed countries. Thus, problems that are making the reform practices slow and challenging are recognized in this study. The next section offers emphasis to those factors that are impeding the exercise of NPM in AACA.

4.6 Factors Impeding NPM Practices in AACA

This section examines major difficulties encountered in practicing NPM in AACA. In order to identify these factors, a range of instruments such as survey questionnaire, informants' interview and secondary data were deployed. As it has been addressed in the literature review section under chapter two, NPM has been implemented in many countries across the globe since 1970. Nevertheless, the success story is different.

As discussed in the preceding sections, AACA has put in place NPM type reform programs since the early 1990s to date (2016). However, in many cases, the practices are challenging and slow. Many factors, therefore, have been accounted to this phenomenon. To say few about the factors that were obstructing the practices of NPM, questions were asked to civil servants in the survey. The survey result seems to indicate that a significant number of employees feel that that multiple factors are hindering the practices of NPM. As reflected below in Table 4.5, 204 (71.8%), 226 (79.6%), and 198 (69.72%) of survey respondents have identified lack of firm political commitment, weak support from the bureaucracy, and inadequate material and financial resources respectively as important factors that are deterring the implementation of NPM in AACA. Likewise, lack of qualified personnel, absence of adequate training and weak monitoring and follow up from the reform leading institutions were reported to be the most influential factors that are curtailing the effective implementation of NPM in AACA by 200 (70.42%), 197 (69.4%), and 182 (64%) of respondents respectively.

Table 4-5: Factors Halting the Implementation of NPM in AACA

No.	Item	Frequency	Percentage
1	Lack of firm political commitment	204	71.8
2	Lack of support from the bureaucracy	226	79.6
3	Lack of material and financial resource	198	69.72
4	Lack of qualified human resource	200	70.42
5	Absence of adequate training	197	69.4
6	Lack of monitoring and follow up from reform leading institutions	184	64

Source: Field survey, December, 2014- May, 2015

Corroborating what is stated above, two informants the researcher interviewed in Bureaus of Trade and Industry Development, and Road and Transport have expressed their concern while stating the important factors that are obstructing the proper implementation of NPM in AACA. These informants have ascertained that, leaders lack important leadership competency revealed in their knowledge, skill, vision and commitment required in the implementation of reforms. They have emphasized the importance of producing leadership with the required knowledge, skill, and attitude. An informant from Road and Transport Bureau further reported that weak diagnosis of the existing practices and problems before embarking on reforms, absence of customization and mere adoption of programs, negative attitude of employees in accepting changes fearing that the effective implementation of NPM would reduce their administrative power and status are the important factors that are deterring the effectiveness of the reform programs.

Two informants from Bureaus of Land Development and Management, and Road and Transport explained that employees' low level of self-development desire, inadequacy of inputs especially capital intensive inputs and poor information technology infrastructure, lack of practical training and inadequate supervision from reform leading institutions, poor working environment, poor salary scale and reward mechanisms, the politicization of the reform agendas and the weak participation of the citizens in government affairs and lack of citizens commitment in

challenging service providers are among the important factors that are hindering the proper execution of the reform programs. Many of the informants contend that citizens' expectations of quality service and efficient provision from the city administration are very low. According to the majority of informants, the public believe that complaints against public service delivery by the city administration are worthless and lack feedbacks. As a result, the reform programs that are being undertaken in AACCA have fewer opportunities to be realized fully on the ground. From the above discussion, the introduction of NPM does not guarantee the successful accomplishment of the desired goals and objectives. It is rather important to give emphasis to those factors that are possibly deterring the successful implementation of different reform programs.

4.7 Summary

This chapter discusses socio-economic, and historical background of AACCA altogether with the need for CSRPs. It has also briefly discussed post-Dergue public sector reforms. The chapter has thrown light to the questions of whether there has been an alteration of public administration from the bureaucratic model to NPM in AACCA. Results revealed that despite problems in practicing the CSRPs programs effectively, many of the reforms that have been put in place in AACCA comply with Hood's (1991) NPM model. However, the city administration is still struggling with a number of problems and many factors are holding back the implementation of these reform programs.

In assessing the factors that are potentially impeding the practices of NPM in AACCA, the following has been identified as worth mentioning: lack of firm political commitment, absence of competent leadership, weak diagnosis of the existing practices and problems before embarking on reforms, challenge and lack of support from the bureaucracy. scarcity of material and financial resource, poor information technology infrastructure, shortage of qualified and competent human resource, absence of adequate and practical training, poor working environment, poor incentive and uncompetitive salary scale, lower participation of the public in government affairs, weak culture of the citizens in challenging service providers and inadequate monitoring and follow up from the reform leading institutions.

CHAPTER FIVE

THE CURRENT STATUS OF CIVIL SERVANTS' ETHICS IN ADDIS ABABA CITY ADMINISTRATION

5.1 Introduction

This chapter is aimed at examining the current status of civil servants' ethics in AACA. In doing this, institutional and legal frameworks that are governing employees' and officials' ethics are highlighted. It depicts and tries to uncover unethical practices and undesirable behaviors prevailing in the city administration. In addition, the chapter discusses co-workers' and leadership ethics. It also briefly explains the challenges that are calling the attention of the city administration's decision makers and other stakeholders so as to curb the undesirable behaviors in the city. In order to analyze the ethics situations in AACA in general and leaderships' and co-workers' ethics in particular, the researcher mainly relied on employees' survey, informants' and service recipients' interviews as well as workplace observation. The researcher also collected data from written sources such as books, journal articles and various reports.

5.2 Institutional and Legal Frameworks Governing Civil Servants' Ethics

The civil service is responsible for delivering timely, high quality and cost-effective services to the public. To realize this, ethics infrastructures play paramount roles. As it is stated by OECD (1996), political commitment, effective legal framework, efficient accountability mechanisms, workable code of conduct, professional socialization mechanisms including training, supportive public service conditions, the existence of central ethics coordinating bodies, an active civil society which is able to act as watchdog over the actions of public officials or public involvement and scrutiny are core elements of ethics infrastructure. Cognizant of this fact, in the ethics components of the CSRPs, ethical code of conduct, ethics education and the establishment of Ethics and Anti-Corruption organ were accentuated (Gebre and Melesse, 2014). In light of this, the upcoming sections deal with code of conduct, Ethics and Anti-Corruption organs, and ethics training in AACA in a separate manner.

5.2.1 Code of Conduct

This section presents and discusses issues related to Code of Conduct. It examines the institutionalization of the code of conduct and its effectiveness in AACA. A code of conduct functions as an internal document, regulating activities and decision-making process, encourages public servants to be in line with mandatory and permissible conducts (Gundu, 2011).

As described by Fatile (2013), code of conduct is an indispensable weapon in the fight against unethical behaviors such as indiscipline, corruption, slackness and abuse of public office. As the Ethiopian CSRPs encompass all government institutions, AACA has also put the reform programs in place. Besides, Addis Ababa is better suited to have well trained human resources and better infrastructures (Mellors, et al., 2007). For this reason, it can put the CSRPs in general and the ethics reform in particular into actions better than other regional states.

In the country, comprehensive code of conduct for civil servants is not yet endorsed by the Council of Ministers as well as the HPR despite the preparation of the draft by the Ministry of Civil Service (Ministry of Civil Service, 2010). Similarly, AACA do not adopt its own code of conduct. Therefore, there is no any short cut modus operandi to build ethical and responsible civil servants without fulfilling the necessary requirements. Formulation, adoption, and communication of the ethical code of conduct for civil servants is an indispensable step in transmitting the ethical values of organizations to members and impacting their behaviors (Wotruba et al., 2001).

Informants were asked for their opinion on whether the study bureaus were adopted a code of conduct or not. According to the responses obtained from informant interviews, AACA in general and the study organizations in particular do not have code of conduct yet though they have the mandate to prepare it. Therefore, it will make the efforts of the city administration unproductive as organizations with a formal code of conduct are more likely to feel encouraged and behave ethically than organizations without a code (Adams & Shore, 2001; Wotruba et al., 2001).

As to the researcher's observation and review of different countries' experiences such as Nigeria, Kenya, and Uganda, comprehensive and national code of conduct for civil servants should not be considered as lavishness for any nation. It is rather, a necessity and a means of regulating and setting limits on the behavior of civil servants so as to make them responsive and ethical in their official duties. However, in the Ethiopian context neither the Ministry of civil service nor FEACC has prepared it to date (2016).

According to Sakyi and Bawole (2004), code of ethics is usually used interchangeably with code of conduct. Nevertheless, the two are different. Code of ethics unlike code of conduct are reasonably general and short documents, encouraging groups and individuals to display and promote particular characteristics such as loyalty, selflessness, honesty, objectivity, probity, integrity and so on. On the other hand, codes of conduct identify specific acts that must be either adhered to or avoided. The intention of this chapter is neither to elucidate the differences between code of ethics and code of conduct nor to discuss the ethics condition in Ethiopia rather it is to draw attention to the ethics situation in AACA and to know on what basis malpractices of public officials and employees are being judged.

AACA Civil Servants' Proclamation No.6/2008 unambiguously elucidates that the city cabinet shall issue detailed code of conduct regulations for civil servants without prejudice to the provisions of Article 62 of this proclamation (AACG, 2008). However, there is no any code of conduct yet. According to the researcher's view and interpretation of the facts noted above, it is AACA's lack of commitment and negligence not to enact a law on the issue for about eight years beginning from the time when AACA's Civil Servant Proclamation No. 6/ 2008 is enacted to date (2016).

What is stated above can convey a message that the fight against unethical practices in AACA is not seriously taken. Therefore, it is cumbersome and unpersuasive to coat the weak political commitment of AACA and very difficult to justify why couples of years are passed away.

5.2.2 Ethics and Anti-Corruption Liaison Units

This section discusses issues related to Ethics and Anti-Corruption offices. This study found that Ethics and Anti-Corruption liaison units are established in all study bureaus in AACCA with the objective of co-coordinating ethical issues. The Council of Ministers Regulation No.144/2008 enacted to provide for the functioning of ethics liaison units has stated that all public offices and public enterprises are legally required to establish ethics liaison units. Key informants were also asked if their bureau has ethics liaison office and an ethics officer responsible in managing ethics related issues. Unanimously, these informants have confirmed the presence of ethics liaison offices/units in the institutions they are working for.

As stated in Regulation No. 144/2008, ethics liaison units are established to deal with ethics issues, investigate working procedures that are susceptible to corruption, and strengthening the anti-corruption struggle, and advising the head of public offices and public enterprises in the fight against corruption. However, many of the informants believed that the ethics liaison units established in various bureaus are weakly organized and lack the necessary resources, support and independence from the executives. As the interview result showed, many of the ethics officers neither have the capacity nor the commitment to enhance ethical atmosphere to the desired level.

5.2.3 Training on Ethics

Informants were also asked for their opinion on whether training on ethics is given to employees on regular basis or not and to what extent the training has impacted the employees' behavior to the desired level. In response to the questions, all informants confirmed that ethics training is provided to employees and officials on regular basis in the organizations they are working for. According to informants from Bureaus of Trade and Industry Development, and Micro and Small Enterprises Development, Ethics liaison units are facilitating trainings on ethics in collaboration with FEACC. An informant from Micro and Small Enterprises Development Bureau further explained that Ethics liaison units are taking part a role in impacting employees' behaviors positively by distributing different ethics related materials such as brochures,

pamphlets, newspapers, and magazines. However, survey respondents have identified lack of adequate training as a problem in the course of putting reform programs in place. Considerable number 184 (64%) of employees have replied that insufficient training is one of the important problems that are hindering the effective implementation of reform programs in AACA. Regarding the impact of the ethics training on employees' behaviors, informants have divergent views. Two informants from Capacity Building Bureau stated that there are positive developments regarding changes in employees' behavior due ethics trainings though a lot of work is required in the future to reinforce the positive developments to the desired level. In the contrary, an informant from Land Development and Management Bureau stated that the change brought through ethics training is trivial and in most cases employees are not taking into account what they have learnt from the training in their day to day work life. According to this informant, ethics training, and ethics related rules and regulations are insufficient to create the necessary ethical atmosphere and bring about the desired behavioral changes. According to this informant, effective mechanism should be put in place to ensure the enforcement of rules, regulation, and statutes.

5.2.4 Ethics Principles, and Employees' Awareness

Responsible public agent should be able to account for her/his conduct; for example, to the respective boss, to the public, to the court or to any other accountability institutions by explaining both positive and negative outcomes of her/his duties. Ethics is absolutely essential to satisfy different kinds of responsibilities. In addition, responsible public agents should be equipped with ethics to get things done with others, to have better understandings of their own commitment and serve the public at large ethically. Therefore, raising questions to know how far AACA is committed in applying the ethics principles and familiarizing its employees with the necessary ethical values is appropriate.

In Table 5.1 below, employee respondents were presented with a series of related questions in order to map their level of awareness on the ethics issues and to better recognize whether the ethics principles are properly applied in AACA or not. According to survey result, 187 (65.85%) of the respondents agreed that ethical standards are made clear to civil servants. Similarly, 194

(68.3%), and 181 (63.7%) of them have agreed that ethical standards are reflected in the legal framework, and management policies, procedures, and practices promote ethical conducts respectively. More than half of the respondents 157 (55.3%) believed that human resource management practices promote ethical conducts. Likewise, 173 (60.9 %) of them agreed that appropriate procedures, and sanctions are existing. However, the practical applications of the rest of ethics principles are poorly perceived by the respondents.

The finding above shows a mixed result. A fairly significant number of survey respondents believed that almost fifty percepts of the ethics principles noted in Table 5-1 are being exercised. Conversely, employees' perception on the implementation of the remaining ethics principles is lower than average. Thus, the analyses made above showed that AACA does not take the implementation of many of the ethics principles very seriously. The failure of AACA to meticulously apply all of the ethics principles will result in irresponsible public agents who are not ethically equipped and less committed to maintain integrity in the course of discharging their duties.

Table 5-1: Ethics Principles and Employees' Awareness

No.	Item	Response categories	Frequency	Percent	Cumulative Percent
1	Ethical Standards are made very clear to employees.	Disagree	78	27.5	27.5
		To some extent	19	6.7	34.2
		Agree	187	65.8	100.0
		Total	284	100.0	
2	Ethical standards are reflected in the legal framework.	Disagree	45	15.8	15.8
		To some extent	45	15.8	31.7
		Agree	194	68.3	100.0
		Total	284	100.0	
3	Ethical guidance is easily available to all employees.	Disagree	116	40.8	40.8
		To some extent	39	13.7	54.6
		Agree	129	45.4	100.0
		Total	284	100.0	
4	The system allows the employees to know their rights and obligations.	Disagree	114	40.1	40.1
		To some extent	42	14.8	54.9
		Agree	128	45.1	100.0
		Total	284	100.0	
5	There is political commitment to promote employees' ethics.	Disagree	128	45.1	45.1
		To some extent	59	20.8	65.8
		Agree	97	34.2	100.0
		Total	284	100.0	
6	Decision making processes in the	Disagree	138	48.6	48.6

No.	Item	Response categories	Frequency	Percent	Cumulative Percent
	organization are transparent and open.	To some extent	43	15.1	63.7
		Agree	103	36.3	100.0
		Total	284	100.0	
7	Managers often promote and show ethical conduct.	Disagree	144	50.7	50.7
		To some extent	34	12.0	62.7
		Agree	106	37.3	100.0
		Total	284	100.0	
8	Management policies, procedures and practices promote ethical conducts.	Disagree	57	20.1	20.1
		To some extent	46	16.2	36.3
		Agree	181	63.7	100.0
		Total	284	100.0	
9	Human resource management practices are promoting ethical conducts.	Disagree	85	29.9	29.9
		To some extent	42	14.8	44.7
		Agree	157	55.3	100.0
		Total	284	100.0	
10	Appropriate procedures and sanctions exist to deal with any kind of misconduct.	Disagree	72	25.4	25.4
		To some extent	39	13.7	39.1
		Agree	173	60.9	100.0
		Total	284	100.0	

Source: Field survey, December, 2014- May, 2015

5.3 Leadership and Co-workers' ethics in AACA

In this section, a series of interrelated questions were presented to employee respondents to investigate their perceptions of leadership and co-workers' ethics. Ethics for leaders and co-workers is measured on the basis of the ethics values attached in the appendices section (See appendix 3). The results obtained and the analyses made are presented below in separate manner.

5.3.1 Leadership Ethics

This section examines the views of employees on leadership ethics in AACA. Leaders who are committed to ethical leadership are needed to foster an organizational atmosphere for ethical practice. Elected as well as appointed officials in the civil service need to be exemplary of high standards of professional and personal integrity. In order to understand the views of employees on leadership ethics, a series of interrelated questions were asked.

As it is indicated in Table 5.2, the responses obtained from survey show the presence of ethics deficiencies on people who are entrusted with leadership positions. 130 (45.8%) and 137(48.2%)

of the respondents have agreed that leaders are honest and can be trusted to tell the truth, and keep their actions consistent with the stated values respectively. 134 (47.2%) and 137 (48.2%) of the respondents have also agreed that leaders are fair and unbiased when assigning tasks to members, and can be trusted to carry out promises and commitments. Similarly, 134 (47.2%) of them have agreed that leaders insist on doing what is fair and ethical even in a difficult situation. 136 (47.9%), and 117 (41.2%) of them have agreed that leaders are fair and objective when evaluating members' performance and providing rewards, and put the needs of others above their own self-interests respectively.

It is rather easy to say that the majority of respondents choose either "disagree" or "to some extent" or a combination of the two (disagree and to some extent) in response to the above stated statements. However, 192 (67.6%) and 200 (70.4%) of survey respondents have agreed that leaders oppose unethical practices to increase performances and hold members accountable for using immoral practices in their work respectively. Obviously, leaders are relatively in a better position with reference to the above two ethics values that people in a leadership positions are expected to respect. However, these cannot be considered as an ideal type of behaviors. From the responses stated above, it can be inferred that further efforts are required by AACA for better enhancements of leadership ethics.

Table 5-2: Employees' Perception of Leadership Ethics

No.	Item	Response categories	Frequency	Percent	Cumulative Percent
1	She/he shows a strong concern for ethical and moral values.	Disagree	110	38.7	38.7
		To some extent	26	9.2	47.9
		Agree	148	52.1	100.0
		Total	284	100.0	
2	She/he Communicates clear ethical standards for members.	Disagree	88	31.0	31.0
		To some extent	40	14.1	45.1
		Agree	156	54.9	100.0
		Total	284	100.0	
3	She/he Sets an example of ethical behavior in her/his decisions and actions.	Disagree	87	30.6	30.6
		To some extent	49	17.3	47.9
		Agree	148	52.1	100.0
		Total	284	100.0	
4	She/he is honest and can be trusted to	Disagree	107	37.7	37.7

No.	Item	Response categories	Frequency	Percent	Cumulative Percent
	tell the truth.	To some extent	47	16.5	54.2
		Agree	130	45.8	100.0
		Total	284	100.0	
5	She/he Keeps his/her actions consistent with the stated values (“Walk the talk”).	Disagree	94	33.1	33.1
		To some extent	53	18.7	51.8
		Agree	137	48.2	100.0
		Total	284	100.0	
6	She/he is fair and unbiased when assigning task to members.	Disagree	105	37.0	37.0
		To some extent	45	15.8	52.8
		Agree	134	47.2	100.0
		Total	284	100.0	
7	She/he can be trusted to carry out promises and commitments.	Disagree	94	33.1	33.1
		To some extent	53	18.7	51.8
		Agree	137	48.2	100.0
		Total	284	100.0	
8	She/he insists on doing what is fair and ethical, even in a difficult situation.	Disagree	93	32.7	32.7
		To some extent	57	20.1	52.8
		Agree	134	47.2	100.0
		Total	284	100.0	
9	She/he acknowledges mistakes and takes responsibility for her/him.	Disagree	91	32.0	32.0
		To some extent	47	16.5	48.6
		Agree	146	51.4	100.0
		Total	284	100.0	
10	She/he regards honesty and integrity as important personal values.	Strongly Disagree	78	27.5	27.5
		To some extent	45	15.8	43.3
		Agree	161	56.7	100.0
		Total	284	100.0	
11	She/he sets an example of dedication and self-sacrifice for the organization.	Disagree	81	28.5	28.5
		To some extent	56	19.7	48.2
		Agree	147	51.8	100.0
		Total	284	100.0	
12	She/he opposes unethical practices to increase performance.	Disagree	52	18.3	18.3
		To some extent	40	14.1	32.4
		Agree	192	67.6	100.0
		Total	284	100.0	
13	She/he is fair and objective when evaluating members’ performance and providing rewards.	Disagree	92	32.4	32.4
		To some extent	56	19.7	52.1
		Agree	136	47.9	100.0
		Total	284	100.0	
14	She/he puts the needs of others above her/his own self-interest.	Disagree	98	34.5	34.5
		To some extent	69	24.3	58.8
		Agree	117	41.2	100.0
		Total	284	100.0	
15	She/he holds members accountable for using unethical practices in their work.	Disagree	53	18.7	18.7
		To some extent	31	10.9	29.6
		Agree	200	70.4	100.0
		Total	284	100.0	

Source: Field survey, December, 2014- May, 2015

For the remaining statements, closest to half of the respondents have agreed that leaders are often practicing ethical behaviors. Almost, nearest to fifty percent of the respondents have disagreed or/and have slightly agreed on the statements presented to the respondents. The results depicted in the table above indicated the need for ethical leaders in AACCA. As leaders become more ethical, better service delivery can be fostered. The responses obtained further revealed that the leadership in AACCA is lacking ambition for high ethical standards and without such leadership, subordinates will have little courage or motivation for better change.

Similar problems have also been reported by some of the informants. Corroborating what is stated above, two informants, whom the researcher met in Addis Ababa at Bureaus of Micro and Small Enterprises Development, and Land Development and Management have expressed their concern stating that “Many people who are engaged in managerial or leadership positions at different echelons of AACCA often exhibit undesirable behaviors.” The same informant from Land Development and Management Bureau has further explained undesirable behaviors of leaders. Failure to apply governmental rules and regulations or unfair enforcement of laws and regulations, using organizational asset for personal benefit, stealing and abusing working times, receiving bribes and gift takings, violation of appointment schedules with service recipients and discriminatory treatment of employees and service recipients are among the problems noted.

5.3.2 Co-workers’ Ethics

As it is shown below in Table 5-3, a series of interrelated questions were presented to the employees so as to appraise respondents’ perception of co-workers’ ethics. A significant number of respondents 211 (74.3%) have acknowledged that co-workers or fellow employees do respect the rule of law in the performance of their duties. On the contrary, 48 (16.9%) of them disagreed that coworkers do respect the rule of law in the performance of their duties; while a small number of respondents 25 (8.8%) have agreed a little bit. They asserted that employees in AACCA give due respect to the rule of law and its enforcement by the coworkers is relatively better.

In an attempt to know whether the coworkers are impartial in the performance of their duties or not, 169 (59.5%) of the respondents felt that coworkers are impartial in the performance of their

duties. In the contrary, 75 (26.4%) of them claimed that coworkers are not impartial in the performance of their duties, and 40 (14.1%) of them have scantily agreed. Thus, respondents' perception of coworkers' impartiality in doing their own job is fairly positive. However, the desired level of behavior is not yet achieved. It rather showed impartiality deficiencies on the coworkers' side.

Survey respondents were also asked for their opinion on whether the co-workers often demonstrate loyalty in the performance of their duties or not. 185 (65.1%) of them have agreed that they often demonstrate loyalty in the performance of their duties. In contrast, 57 (20.1%) of them indicated their disagreement on the same statement and 41 (14.4%) of them have agreed a little bit. The above survey result ensures that coworkers' loyalty in the performance of their duties in AACCA is quite good. Nonetheless, the responses suggested us the presence of disloyalty. Therefore, AACCA should work more to make the administrative staff more loyal to their work as well as to the public at large.

When it comes to the statement that coworkers are open and transparent in discharging their duties, 187 (65.8%) of them have expressed their agreements. Conversely, 61 (21.5%) of them thought that coworkers are not open and transparent in discharging their official duties; while, 36 (12.7%) of them have slightly agreed. The result indicated the need for more coworkers' transparency and openness in discharging their official duties. Precisely, ethical delivery of public service can be achieved only when civil servants accomplish their duties and make transparent and open decisions.

The next question focused on the integrity of coworkers. 204 (71.8%) of survey respondents have agreed that the coworkers often demonstrate integrity in their work. However, 47 (16.5%) of them do not agree that co-workers demonstrate integrity in their work. 33 (11.6%) of them have agreed a little bit. This shows that status of co-workers' integrity is moderately good. And the co-workers are aware of their moral obligations to the organizations they are working for and to the public at large. However, it is hardly possible to deduce that those employees do not have integrity problems.

The next point of enquiry was focused on the professionalism of the coworkers in the performance of their duties. 186 (65.5%) of the respondents have agreed that coworkers are performing their duties professionally. In contrast, 54 (19%) of them interestingly thought that co-workers are not discharging their duties in a professional manner; while, 44 (15.5%) of them have slightly agreed. It would mean that professionalism of coworkers is reasonably in a good situation. It could not be denied; however, more effort is required to make professional performances of employees in AACA better.

A question was presented to employee respondents with the aim to learn their perception about employees' respect towards others. The survey result shows that 197 (69.4%) of the respondents have agreed that co-workers often give due respect to citizens and fellow civil servants. In comparison, 41 (14.4%) of them have expressed their disagreement; while, the smallest portion 46 (16.2%) of respondents have agreed a little bit. This presupposes that co-workers are better in respecting and treating citizens and colleagues. Honesty was the next question raised to the respondents. 165 (58.1%) of them have agreed that co-workers are honest in the performance of their duties. Conversely, 59 (20.8%) of them have expressed their disagreements on the same question and 60 (21.1%) of them have scantily agreed. The data reveal that more of the co-workers are honest and sincere in handling their official duties and responsibilities though the desired level of honesty is not yet achieved.

The other question the researcher posed to the respondents was whether the co-workers give priority to the public interest. 132 (46.5%) of them have agreed that the co-workers often give priority to the public interest than their own. Nevertheless, 79 (27.8%) of them do not think that coworkers often give priority to the public interest than their own. 73 (25.7%) of them have slightly agreed.

The above survey result overtly communicates the presences of ethics deficiencies. Undoubtedly, morality demands service providers to work toward the wellbeing of the public than focusing on one's own interest. Accordingly, private interest should be subordinate to the interest of the public. In case of conflicts between public and service providers' interest, priority must be given

to the public interest or to the common good of the public. Therefore, to enable civil servants make the right decisions that respect individual's rights as well as the public at large, there is an immense work required from AACA.

The researcher also forwarded a question to know the views of the respondents on the neutrality of the co-workers while doing their job. Closest to fifty percent of them, that is, 139 (48.9%) of the respondents have agreed that the workers are neutral in the performance of their duties; while, 70 (24.6%) of them have expressed their disagreements. 75 (26.4%) of them have slightly agreed. The result above showed that parts of the co-workers are not neutral in discharging their duties. Civil servants are supposed to be politically neutral in carrying out their duties. Besides, they should not assume the role of politicians as well. When civil servants let their own political stances stumble their neutrality, ensuring ethics in the public service will become difficult.

The researcher also asked respondents to know their opinion about co-workers' adherence to clear standards that are just and reasonable. In response, 180 (63.4 %) of them have agreed that co-workers often adhere to clear standards that are just and reasonable. Conversely, 53 (18.7%) of them have disagreed and 51 (18%) of the respondents have slightly agreed. Ethical principles are determined by one's compliance with moral values. As expressed by Garofalo, et al. (2001), deontological ethical principles explain that right actions are based on the obligation to adhere to moral principles. The above survey result portrays that employees are fairly adhering to ethical standards that are just and reasonable. However, the desired results are not yet achieved.

Survey respondents were asked whether co-workers in their own institutions hate corruption and theft very much. Closest to fifty percent of the survey respondents, 140 (49.3%) have agreed that co-workers hate corruption and theft very much. Conversely, 80 (28.2%) of them felt that the co-workers do not hate corruption and theft very much. Only 64 (22.5%) of them have agreed to a small degree. Hence, the above survey result indicated the prevalence of corruption and theft in AACA. This shows an exercise of official power by service providers against the public interests and abuse and misuse of public offices and public properties for private gain.

This study also posed a question to respondents so as to know the effectiveness and efficiency of co-workers in the performance of their duties. In response, 176(62%) of them have agreed that co-workers discharge their duty effectively and efficiently. However, 59(20.8%) of the respondents do not think that coworkers are effective and efficient in the performance of their duties. Only 49(17.3%) of them have agreed a little bit. The analysis reveals that the effectiveness and efficiency of co-workers in AACAA are at moderate level of performance. Evidently, the responses also revealed effectiveness and efficiency defects. Therefore, in order to reinforce effectiveness and efficiency of the administrative staffs, more effort is required from AACAA.

The majority of respondents have agreed on many of the statements presented to them, but with lower percentages. Respondents who have agreed that co-workers give priority to the public interest than their own 132 (46.5%) are below fifty percent. In addition, those who have agreed that co-workers are neutral in the performance of their duties, and hate corruption and theft very much constitute 139 (48.9 %), and 140 (49.3%) respectively. Besides, over fifty percent of respondents' agreements on the proposed statements do not mean that coworkers' ethics is best and to the required standard. The figures and percentages rather communicate the need for further improvement of their behaviors. To sum up, encouraging employees to act ethically is a preventive measure to hold or keep back undesirable behaviors in AACAA.

Similarly, service users and informants have also been asked for their opinion on civil servants' ethics in AACAA. Service recipients, whom the researcher interviewed in Addis Ababa at Bureaus of Land Development and Management, and Road and Transport, have expressed their concern stating that "Some civil servants have ethics deficiencies and they often consider themselves as master than servant." As to these service recipients, lack of transparency, partiality, corruption, and failure to give due respect to service recipients are some of the unethical behaviors often exhibited in AACAA. Informants, whom the researcher met in Addis Ababa at Bureaus of Land Development and Management, Capacity Building, Micro and Small Enterprises Development and Road and Transport have also substantiated the prevalence of the problems stated below (see the detail under section 5.4). Hence, service recipients and informants have similar opinion about

the existence of undesirable behaviors of AACA's civil servants though it is not exactly the same.

Table 5-3: Employees' Perception of Co-workers' Ethics

No.	Item	Response categories	Frequency	Percent	Cumulative Percent
1	They do respect the rule of law in the performance of their duties.	Disagree	48	16.9	16.9
		To some extent	25	8.8	25.7
		Agree	211	74.3	100.0
		Total	284	100.0	
2	They are impartial in the performance of their duties.	Disagree	75	26.4	26.4
		To some extent	40	14.1	40.5
		Agree	169	59.5	100.0
		Total	284	100.0	
3	They often demonstrate loyalty in the performance of their duties.	Disagree	57	20.1	20.1
		To some extent	42	14.8	34.9
		Agree	185	65.1	100.0
		Total	284	100.0	
4	They are open and transparent in discharging their duties.	Disagree	61	21.5	21.5
		To some extent	36	12.7	34.2
		Agree	187	65.8	100.0
		Total	284	100.0	
5	They often demonstrate integrity in their work.	Disagree	47	16.5	16.5
		To some extent	33	11.6	28.2
		Agree	204	71.8	100.0
		Total	284	100.0	
6	They perform their duties professionally.	Disagree	54	19.0	19.0
		To some extent	44	15.5	34.5
		Agree	186	65.5	100.0
		Total	284	100.0	
7	They often give respect to citizens and fellow civil servants.	Disagree	41	14.4	14.4
		To some extent	46	16.2	30.6
		Agree	197	69.4	100.0
		Total	284	100.0	
8	They are honest in the performance of their duties.	Disagree	59	20.8	20.8
		To some extent	60	21.1	41.9
		Agree	165	58.1	100.0
		Total	284	100.0	
9	They give priority to the public interest than their own.	Disagree	79	27.8	27.8
		To some extent	73	25.7	53.5
		Agree	132	46.5	100.0
		Total	284	100.0	
10	They are neutral in the performance of their duties.	Disagree	70	24.6	24.6
		To some extent	75	26.4	51.1
		Agree	139	48.9	100.0
		Total	284	100.0	
11	They often adhere to clear	Disagree	53	18.7	18.7

No.	Item	Response categories	Frequency	Percent	Cumulative Percent
	standards that are seen as just and reasonable.	To some extent	51	18.0	36.6
		Agree	180	63.4	100.0
		Total	284	100.0	
12	They hate corruption and theft very much.	Disagree	80	28.2	28.2
		To some extent	64	22.5	50.7
		Agree	140	49.3	100.0
		Total	284	100.0	
13	They are efficient and effective in the performance of their duties.	Disagree	59	20.8	20.8
		To some extent	49	17.3	38.0
		Agree	176	62.0	100.0
		Total	284	100.0	

Source: Field survey, December, 2014- May, 2015

5.4 Unethical Behaviors in AACA

Unethical behavior is comprehended as deviance from the right conduct. It is breaking one or more of the behavioral standards which define civil service's operation (Năstase, 2012). The problems of ethics in public bureaucracy connote a situation where by civil servants individually or collectively use the positions entrusted to them in a manner contrary to the public confidence and trust (Kwaghga & Beatrice, 2013). According to Solomon (2013), the Ethiopian civil service is knotted with accountability and transparency problems.

Likewise, unethical practices also remain the major challenges confronting AACA. From the work of Atikilt (2015), nepotism, corruption, using political power for self-enrichment, conducting employees' recruitment, promotion and career development on the basis of political party loyalty and loyalty to the individuals in power, corruption in employment and the provision of contracts, lack of commitment, transparency and accountability, and the prevalence of weak discipline are some of the unethical conducts manifested in AACA. Similar types of civil servants' and officials' malpractices in AACA are also stated in the document entitled 'Developmental State Civil Service Building and the fight Against Rent Seeking'. According to this document, there are civil servants who are stealing or appropriating resources. Some civil servants and officials embezzle government funds and demand bribes from service recipients or clients (FDRE, 2012). Especially, the deliberate delay or denial of services, extorting payments in exchange for expediting and shortening process or approving permits and disregarding

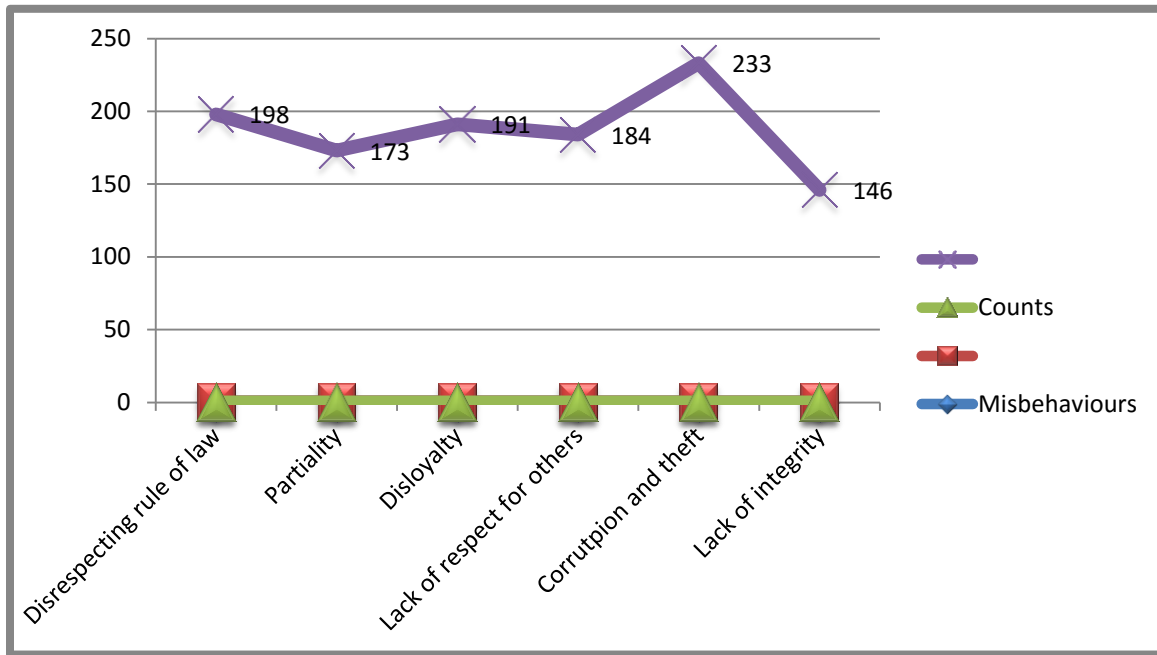
complaints from the public, and doing personal businesses during official working times are some of the important problems identified.

Substantiating what is stated above, AACA's good governance booklet has depicted various unethical behaviors in the city (AACA, 2015). Absenteeism from work, disrespecting service recipients, using office hours for personal benefits, partiality and open request for bribe, using public property for personal benefits, failure to provide timely service to service recipients are identified as the most common undesirable behaviors in Land Development and Management Bureau. Similarly, rent seeking, discriminatory treatment among trade communities and renewal of trade license without the fulfillment of the necessary requirements are few of the unethical practices recognized in Trade and Industry Development Bureau.

Likewise, various undesirable practices are also identified in Road and Transport Bureau. As pointed out by the booklet noted above, provision of quality assurance certificate in the absence of vehicles, provision of driving license in the name of deceased, asking bribe and kickbacks in exchange for services, abusing office hours, regular absence of executives from office and violating scheduled appointments with clients are among the problems observed.

In the survey questionnaire, employees were asked about the most common ethics problems that they are experiencing in the organization/s they are working for and how these problems manifested. Figure 5.1 below reveals that civil servants in AACA very often breach the following ethical values: (1) Rule of law, (2) Impartiality, (3) Loyalty, (4) Respect for people, (6) Hating Corruption and theft, and (7) Integrity. Discussions and analysis for each of the unethical behaviors is presented below Fig.5.1 in separate headings. In addition to survey responses, information acquired from key informants, interview with service recipients, observation and document analysis are included in the analysis.

Figure 5-1: Common Ethics Problems in AACA



Source: Field survey, December 2014- May, 2015

5.4.1 Disrespecting Rule of Law

Rule of law is recognized globally as one of the important elements of good governance (Adem, 2012). It is the extent to which public agents and citizens are governed and act consistently with the law (Apaza, 2007). As stated by Mukoro (2003), rules and regulations are established in order to ensure that organizations are moving in the right directions and in accordance with the set objectives and goals.

As it is stated by Nwokocha and Urmadu (2012), in order to achieve organizational objectives and deliver public service effectively and efficiently, service providers have to function with bodies of rules and regulations. Restrictions are included in many countries' constitutions and legislations with the intention of imposing limits on governments as an aspect of public accountability and responsiveness (Beckett, 2010). The FDRE Constitution is also established and promulgated with the objective of building a political community founded on the rule of law (Adem, 2012). However, as to the participants of this study, doing one's own duties without due

respect to the rule of law is a common phenomenon in most of the study bureaus despite the constitution and other proclamations of the FDRE Government and AACA.

As it is depicted in Fig.5.1 above, considerable portions that is 198 (69.72%) of survey respondents have corroborated that lack of attention to the rule of law is one of the common ethics problems in AACA. In principle, the supremacy of the constitution and other proclamations must be accepted and respected by all government officials and the citizens at large. Nevertheless, acts have been observed above the rules enacted and promulgated.

Informants, whom the researcher interviewed in Addis Ababa at Bureaus of Capacity Building, Land Development and Management, and Micro and Small Enterprises Development have acknowledged that AACA has several legal and quasi-legal instruments and watchdog institutions established to ensure ethics and accountability. However, individuals often breach rules passed and promulgated by authorized bodies. The same informant from Land Development and Management Bureau further stated that despite a lot of efforts and modest achievements in curbing the violations of rules and regulations in AACA, problems are still continuing. The majority of service users whom the researcher interviewed have also expressed their concern about civil servants and officials violating the rule of law during provision of services to the public.

5.4.2 Partiality

Public agents are expected to treat people equally and fairly. The FDRE constitution, article 89 (2) stated that the government has the duty to ensure that all Ethiopians are provided with equal opportunity. However, according to survey responses, preferential treatment of people exists in AACA. 173 (60.1%) of the respondents revealed the presence of partial treatment of people in AACA. Many of respondents explained that discriminatory treatment on people is made based on ethnicity, nepotism, bribe, or political affiliation. Some of them have also stated, management positions are overwhelmed by politically appointed officials and unofficial discriminations also surpass among the AACA employees. As to these respondents, authorities unjustifiably place

people in different positions for reasons that do not have relationship with the employees' qualification and performance.

Equality of employees is clearly stipulated in the FDRE constitution, article 89(2), in the FDRE Government civil servants' proclamation (Proclamation No. 515/2007), in AACA civil servants' proclamation (Proclamation No.6/2008), and in AACA's permanent employees' recruitment guidelines (AACA, 2009). The responses above, however, imply that despite the availability of legal provisions which guarantee the equality of civil servants and unwanted political interference, in practice, provisions have been compromised.

As indicated by some of the survey respondents, one of the important reasons for partial treatment of employees in AACA is political inclination. As they explained, employees affiliated to the ruling party have a better chance for promotion, appointment, and training opportunities than employees who are neutral or belonging to opposition political parties. These respondents added that the politicization of human resource management process and disregarding the significance associated with job description, job specifications and job performance in the recruitment and promotion decisions are becoming overt and regular phenomena.

In order to understand their views, informants were asked if they know the very existence of the problem stated above. Two of the informants whom the researcher interviewed in Addis Ababa at the Bureaus of Micro and Small Enterprises Development, and Trade and Industry Development have corroborated the existence of the problems cited above. According to these informants, political membership can be used as a cover for discriminatory treatment of staff in AACA. However, they expressed their concern stating that few individuals may discriminate people for their own personal advantages though the FDRE Government as well as AACA has set clearly biased acts as illegal. According to an informant from Micro and Small Enterprises Bureau, if the aggrieved persons are strong enough to challenge the prejudice made against someone, there is the possibility of correcting the misconducts. Similarly, an informant from Capacity Building Bureau added that if someone is proved to be discriminatory in treating people on political as well as on any other illegitimate basis and conflicting with job

requirements, there will be legal support to take appropriate and corrective actions. This informant further explained that when poorly performing and illegitimate people are denied positions for which they are applied for, there is the culture of associating every assignment with ruling party belongingness and political outlooks. On the other hand, the informants above highlighted the need to work more to make the civil service professional and independent.

In line with the above argument, Paulos (2001), has substantiated the pervasiveness of political patronage in appointment and promotion of staff in the country. According to him, in Ethiopia, politicians and top bureaucrats are mostly the same. Nearly all top bureaucrats secure managerial positions because of their political ties with the ruling party. If top bureaucrat positions are reserved for the ruling party members or for those who have strong ties with the party in power, arbitrary decisions and discriminatory acts are expected because administration and administration affairs are captured by politicians. Indeed, a person who is recruited in the civil service through patronage system sees nothing abnormal to do the same thing in the public service as her or his predecessors did.

Likewise, Gebrerufael and Yohannes (2014), have stated that an employee who is able to impress a political appointee in his/her political view or activity will be easily recruited for an opportunity even though he or she is otherwise unqualified. In this regard, political commitment beyond promulgation of rules and regulations is decisive for having better administration. Birhanu and Vogel (2006), expressed their concern stating that “partisanship and spoil system lead to unique brand of rent seeking among government officials in Ethiopia.” They explained that recurrent charges of wrong doing by the government have proved the existence of spoiled system. Therefore, despite an attempt to associate the problems with individuals, the views of the above informants seem far from denying the reality on the ground. Clearly, their response validated that discrimination among people on political basis is continuing in AACCA.

Patronage to Marshal (1977) and Schuster (2014) refers to the unrestricted power to hire and fire, recruit, promote and pay public personnel on the basis of their support to the politicians in

power. They explained that a patronage bureaucracy is an instrument to facilitate political survival of the party in power. Therefore, the practice cited above is not an exception to be called a patronage. It violates the FDRE and AACA's civil service recruitment and promotion laws and it is not in agreement with article 89 of the FDRE constitution as well as the already accepted merit principle.

The Federal Civil Servants' Proclamation No.515/2007 in general and the AACA Civil Servants' Proclamation No.6/2008 in particular unequivocally state that merit principle is imperative and should be respected. As per these proclamations, civil servants' recruitment shall be made on the basis of applicants' qualifications and merits (AACG, 2008; HPR, 2007). Besides, there shall be no discrimination among job applicants or civil servants on the basis of ethnicity, sex, religion and political outlook. However, due to the problems stated above and poor implementation of the proclamations, many employees remain dissatisfied. In order to improve the performance of AACA, reduction of the increasing political intrusion of the administration is helpful.

There is no doubt that violation of the merit principles in any nation or organization will lead to ineffectiveness and inefficiency. Adebabay (2011), at the United Nations panel discussion on capacity building held in Addis Ababa, stated that many of the merit principles are adapted to the Ethiopian Civil Servants' Proclamations. He explained that, having the right principles by law is the cornerstone of any professional civil service; however, encroachment of these principles leads to ineffectiveness. Although the civil service law, AACA Civil Servants' Proclamation No.6/2008 and the FDRE constitution do not require civil servants to be necessarily members of the ruling party, in practice, many posts are held by party members and loyalists.

Added to these, there are acts of favoritism and preferential treatment among service recipients especially at some stages in the provision of services. Needless to mention, public institutions must not be discriminatory during the provision of services to service recipients; rather, civil servants should serve the public equally and in a friendly manner. Therefore, employees have an obligation to live up to these expectations. However, as to the responses obtained from the

survey, informants and service recipients, people discriminate citizens on the basis of different criteria such as economic background, ethnicity, religion and willingness to give bribe.

Informants, whom the researcher met in Addis Ababa at the Bureau of Road and Transport, Land Development and Management, Trade and Industry Development, Capacity Building have emphasized the presence of employees who are discriminating service recipients during the provision of services on different basis. According to an informant from Land Development and Management Bureau, the most predominant criterion for discrimination is money or unofficial payment. Similarly, two service recipients from Road and Transport Bureau stated firmly that “As long as service recipients are willing to give bribe to those service providers who in need of it, they can get the required services easily.” The data show that, regardless of social, economic and ethnic background, the ability and willingness to pay unofficial payment (bribe) will provide them the chance to get better service.

Service recipients of Land Development and Management bureau interviewed at Addis Ababa have also expressed their concern while stating, “Corruption problem in Land Development and Management Bureau is the worst of all that they have experienced ever.” As to these service recipients, there are occasions when they are openly asked by service providers to pay money for the services that the establishment of the organizations is justified. One of the service user in the same bureau added that some officers who gain control of important positions often do not see the authority entrusted to them as an opportunity to serve the interest of the public rather they see it as a route to accumulate wealth for themselves as well as for their family and relatives.

Most of the interviewed service recipients have lost confidence in the institution charged with Land Development and Management. It is often very difficult to get timely service unless their demand for bribe is answered. As to these service recipients, employees and officials get into the habit of holding back all papers until unofficial payment is made. They can even keep the issue unsolved for more than a year or sometimes for couples of years. Notably, in the case of corruption, there is already established strong network across corrupted employees and the

nearby and upper level managers. In other words, there are managers who often give cover, protection and security to corrupted employees and vice versa. These service recipients believed that they would not be protected from potential harassments as well as losses if they reported the corruption practices.

Many of the informants from Bureaus of Land Development and Management, Capacity Building, AACA's municipal Ethics and Anti-Corruption office have confirmed the rent seeking behavior that have been observed in Bureaus of Land Development and Management and Road and Transport. According to them, the main reason for corruption to be peculiar in Land Development and Management Bureau is the very nature of business itself. This very peculiar nature of the land makes the bureau very vulnerable to corruption as compared to others. Land Development and Management Bureau's periodical reports have also acknowledged the prevalence of the problems noted above. In the document entitled as two years strategic and three years growth and transformation plan evaluation report, rent seeking behavior, misinterpretations of policies, rules and regulations, lack of work initiations and commitment, weak service provisions to the public, and holding back deliberately service recipients' files and records to get unofficial payment are among the misbehaviors reported by Land Development and Management Bureau (AACALDMB, 2012).

The study conducted on corruption perception survey in which AACA was part of it has also substantiated the problems discussed above (K I L, 2012). In this study, offices responsible for land allocations are rated as one of the institutions where corruption was reported to be widespread. In addition, the study conducted by the World Bank described Land Development and Management Bureau as the most corrupted (Plummer, 2012). Despite the scope and magnitude of the problems, unethical practices are very common in many of the Bureaus in AACA.

As it is revealed by the Ministry of Public service and Human Resource Management, and center for policy research study, rent seeking behavior, hiding and holding back service recipients' documents and conducting technical investigation in the absence of vehicles are among notable

problems in AACCA's Road and Transport Bureau. Besides, absence of appropriate document to fight undesirable behaviors, poor implementation of rules and regulations, absence of just and fair service to users, provision of driving license in exchange for bribe and illegitimate network and benefit sharing with driving license training institutions or certifying of these institutions disregarding the necessary requirements are among the problems reported in the study (AACCA, 2015).

Likewise, the above study further explained the prevalence of related problems in Trade and Industry Development Bureau. Notably, rent seeking behavior, lack of transparency and accountability, unnecessary intervention of authorities, failure to implement rules and regulations equally to all trade communities are among the problems cited. In addition, weaknesses in monitoring and correcting defective rules and procedures, threatening service recipients and lack of public servants' mentality are identified as important problems.

5.4.3 Disloyalty

The loyalty of the civil servants is vital to any organization even other than the civil service. Loyalty refers to truthfulness of employees to their institution (Beetseh, 2014). Loyalty to an organization importantly affects productivity, management practices, and accountability (Quill, 2009). Beetseh (2014) further added that respecting or disrespecting loyalty principle by civil servants determines the opinions and images of the people about the government. Cognizant of what is stated above, AACCA civil servants' proclamation has explicitly depicted the need for the loyalties of civil servants.

As per proclamation No.6/2008, Article 62(1), any civil servant shall be loyal to the public and the constitution (AACG, 2008). However, survey responses illuminate that some civil servants are not loyal to the institutions as well as to the public at large. 191 (67.3 %) of them in the survey expressed their agreement to the proposition that untrustworthiness or disloyalty is one of the most common unethical behaviors observed in AACCA. Informants and service recipients were also asked for their opinion on the loyalty of service providers. In much the same manner as the survey response, informants and service recipients, whom the researcher met in Addis Ababa at

Bureaus of Land Development and Management, Road and Transport, and Trade and Industry Development have also agreed on the existence of the misbehavior pointed out above. According to them, individuals often behave unethically and act against the interest of the public and the organization they are working for.

Informants in the above-mentioned bureaus have agreed on the abuse of official time to a various extent and the use of public resources for private gain. They explained that such kind of problem cannot represent the majority of the employees though its existence cannot be denied. The other ethical deficit discussed and analyzed below is corruption and theft.

5.4.4 Disrespecting People

Respecting people and developing courteous behavior are the fundamental values required by all government officials in dealing with the public in general and colleagues in particular (Kwagha & Beatrice, 2013). However, according to the research participants such as civil servants, informants and service recipients, some employees and officials are behaving in unpleasant way and use abusive languages towards service users and to the employees themselves. They further explained that many civil servants tend to treat citizens not as clients, but as subjects that are dependent on their power and discretion. Moreover, some service providers often use disrespectful words and show unwillingness to assist service recipients when needed. The researcher through observation has also witnessed those individuals who are mistreating service recipients during service provision times. These types of misbehaviors are very evident especially in Bureaus of Land Development and Management, and Road and Transport.

As revealed in Fig. 5.1, 184 (64.8 %) of respondents witnessed the violation of the principle of respect and courteous behaviors. This author has also witnessed this type of unethical behavior in some Bureaus. Informants, whom the researcher met in Addis Ababa at the Bureaus of Land Development and Management, Road and Transport, Capacity Building, AACA Municipal Ethics and Anti-Corruption office have also confirmed the violation of the principle of respect and courteous behaviors especially during the provision of services to service recipients.

However, two informants from Capacity Building Bureau emphasized that individuals with this kind of behavior will not represent the majority of the employees in AACCA. They have also criticized service recipients. As they have stated, whenever civil servants show rude behaviors towards service users, their effort in bringing the case to the concerned bodies and the culture of confronting the misbehavior are very weak. Hence, persistence of this problem becomes a reality. Two service recipients, whom the researcher met in Addis Ababa at the Bureaus of Land Development and Management, and Road and Transport have also verified the prevalence of the problem mentioned above. According to them, some individuals do not give due respect to the public. They explained that management's commitment in regulating and correcting the misbehaviors of these employees is very not very strong. The researcher has also witnessed the existence of the problems stated above in AACCA.

The above malpractices reflect serious deficiency in ethics management. Such deficiencies are perhaps the result of weak control over various misconducts and a growing sense of unfairness and non-compliance with rules and regulations enacted. The existence of rules and procedures are not enough to have a civil servant with desired behaviors. The success of AACCA in general and the study bureaus in particular depends on fair, impartial and genuine enforcement of rules and procedures.

5.4.5 Corruption and Theft

Corruption is a major ethics problem in public sectors (Sebola, 2014). The problem is widespread in many countries across the globe. Ethiopian concern about corruption was manifested in the early 1990s though it was not institutionalized during that time (Larbi, 2001). To this end, the FDRE Government and AACCA have embarked on a fight against corruption. Over media, at conferences and seminars, at higher education institutions and schools, efforts are being exerted against this great societal disorder.

Corruption as a problem is severe in countries where institutions such as the legislatures and the judiciaries are weak, when rule of law is not rigorously observed and applied, where patronage system becomes persistent and the independence and professionalism of the public sectors is

eroded (Lawal, 2007). Civil servants in the survey felt that accepting bribe is often observed in AACA. As it is depicted in Fig. 5.1, a considerable portion of them 233 (82%) have replied that corruption and theft is a common unethical practice in AACA. Corruption in AACA is not only felt by survey respondents, but also by service recipients and key informants.

Service recipients who were interviewed on the prevalence of this problem in Addis Ababa at Bureaus of Land Development and Management, Road and Transport expressed their concern firmly stated that “Civil servants in AACA misuse and abuse their official positions frequently for aggrandizement of their personal interests through corruption and bribe.” According to them, corruption is prevalent though the act is prohibited legally. As one service user from Land Development and Management Bureau emphasize further, in most cases, it is very difficult for service recipients to exercise their right as service recipient without spending unreasonable and unjustifiable time or without bribing the officers. He added that it is hardly possible to get service right the first day and easier said than done to get the appropriate service within required days.

Similarly, informants were also asked about the existence of corruption and theft problems in AACA. All of the informants, whom the researcher met during the interview have agreed on the existence of corruption and theft problems in AACA. However, their perception of corruption in AACA is not as worse as that of the perception of service recipients. As to these informants' view, there are individuals who are using or abusing public offices for personal gain or enrichment through bribe and gift taking. However, it is hard to arrive at a blanket conclusion and difficult to put all service providers in the same basket.

Transparency Ethiopia (TE) has also substantiated the views of the survey respondents and service recipients. As to TE (2008), corruption is becoming a serious problem in AACA. According to it, bribery has become the norm to get things done in AACA. AACA's two budget years' development and transformation plan report have also corroborated what is stated above. According to AACA (2006), despite the positive achievements registered, corruption is still unsolved in many of AACA's Bureaus. Taking unreasonable time periods for providing services to service recipients, deliberate delaying of decisions even by hiding service recipients' files,

giving service in exchange for bribe and needlessly are some of the manifestations of corruption.

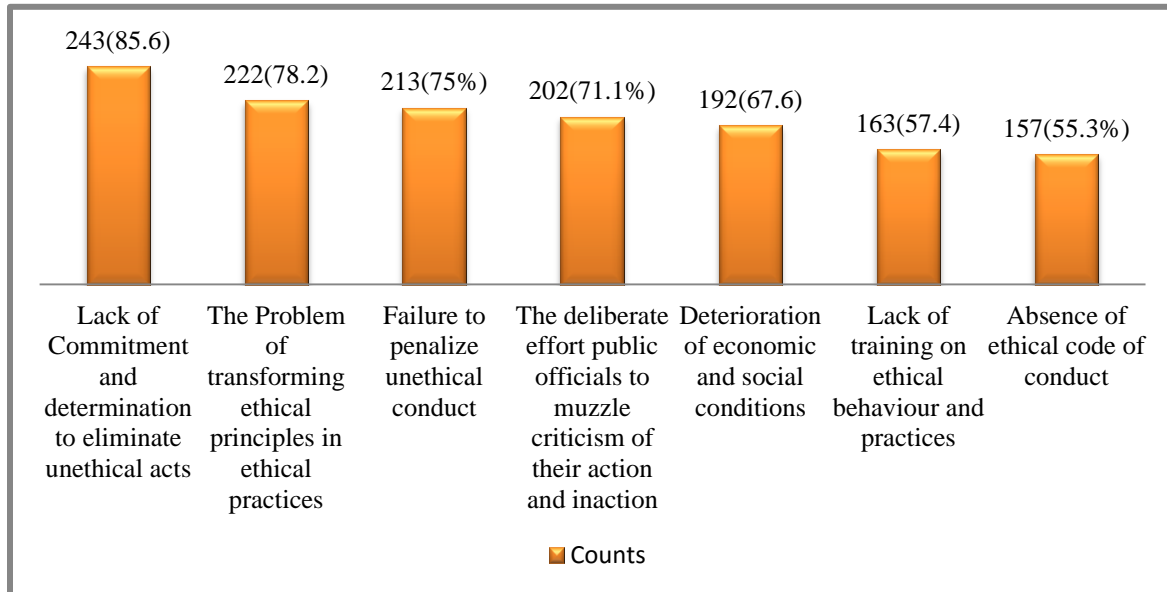
5.4.6 Integrity

Civil servants hold their office in trust and they shall not use public office for private gain. Holders of public office should not put themselves under any financial or other obligations that may seek to influence them in the performance of their official duties. They should also avoid conflict of interest and preferential treatment among individuals as well as organizations. However, as it is depicted in Fig 5.1, at about half of survey respondents 146 (51.4%) have identified the violation of the principle of integrity as one of the misbehaviors often exhibited in AACCA. When public servants honestly exercise this desirable behavior, ethics problems can be reduced. The above figure, however, shows that the quality of being honest and having strong moral principles is found to be unsatisfactory among civil servants in AACCA. Key informants, whom the researcher met in Addis Ababa at Bureaus of Land Development and Management, Construction and Housing Development, and AACCA's Municipal Ethics and Anti-Corruption office have also acknowledged the existence of the problem in AACCA.

5.4.7 Factors that are Contributing to the Existence of the Unethical Behaviors and Practices in AACCA

There are a number of reasons for the prevalence of the unethical behaviors. Research on ethics and accountability such as Ayee (1998) have identified causes that contribute to the deterioration of ethics and accountability in the public sector. In the case of AACCA, a multitude of factors are recognized as causes for the existence of unethical practices. In the survey, civil servants were asked about the existence of unethical practice/s in the organizations they are working for and the possible causes of it. In response, they have pinpointed the misbehaviors and the various causes of it. Hence, the most common factors attributed to unethical practices and the frequency and percentage of responses given by the employees is depicted in Fig. 5.2 below.

Figure 5-2: Factors that are contributing to the Existence of Unethical Practices in AACA



Source: Field survey, December, 2014- May, 2015

Ethics problems in AACA can be traced to various factors. As it is indicated in Fig.5.2 above, a number of factors contribute to the prevalence of unethical practices in AACA. As to survey result, seven variables are identified as a cause for the existence of ethics problems in AACA. As it is demonstrated above, the ethics problems in AACA is largely accounted to lack of political commitment and determination to eliminate unethical acts, the problems of transforming ethical principles into ethical practices, failure to penalize unethical conducts, deliberate effort of public officials to muzzle criticism of their action and inaction, deterioration of socio-economic conditions, inadequate training on ethical behaviors and practices, and absence enforceable ethical code of conducts. To ensure ethical behavior in government, political commitment and determination plays important roles. If the political leaderships that are supposed to enforce laws and punish violators are lacking the commitment or become the center of unethical practices, the road to build ethical behavior will become lengthy. Similarly, ethics principles in different organizations are established with the objective of promoting ethical conduct and ethical behaviors of organizational members. In this regard, the result revealed that AACA has problems in realizing what is written on paper on the ground. Obviously, if practical implementation of

ethics principles is lacking, attainment of the desired ethical behavior will remain very problematic. It is noteworthy underline the fact that the economic situation can also influence ethical behaviors of organizational members. If the economic situation is deteriorated and the purchasing power of people is dwindling, it is obvious that people will turn the other way round and get into the habit of developing unethical behavior such as corruption, gift taking and theft.

Also, written evidence supports the results obtained from survey. Atikilt (2015), for example, indicated that many factors are accounting to the poor state of ethics in AACA. These are weak commitment in implementing laws, regulations and directives, absence of civil service training and development policy, failure in implementing performance management indicators properly, transparency, accountability and merit deficit, inadequate amount of remunerations and inappropriate job organization and directives.

Service recipients at Bureaus of Land Development and Management, Road and Transport, and Trade and Industry Development explicated the most important factors that are exacerbating undesirable behaviors in AACA. According to them, weak management and poor accountability mechanisms, already established network among employees, and between employees and managers, weak implementation of government rules and regulations, lack of awareness of service recipients about their right and obligations and weaknesses in challenging service providers and government officials are the formidable ones.

In similar vein, informants, whom the researcher interviewed in Addis Ababa at the Bureaus of Land Development and Management, Trade and Industry Development, Micro and Small Enterprises Development, AACA Municipality's Ethics and Anti-Corruption office have identified the following factors as worthmentioning inhampering the fight against unethical practices: lack of leaders' and employees' commitment in fighting unethical practices, poor controlling mechanisms, attitudinal problems on the sides of service recipients and civil servants, the existence of weak accountability institutions or mechanisms, failure to have enforceable and comprehensive ethical code of conduct, weak participation of the public, the media and civil society organizations in the fight against unethical practices, poor records and information

management system, the politicization of civil servants or unnecessary political interferences, poor economic situation especially the very low remuneration paid to the employees, dwindling purchasing power and the desire to acquire and accumulate wealth at any cost and absence of protection for the people who are fighting unethical practices.

Two informants from Bureaus of Micro and Small Enterprises Development and Land Development and Management further explained that putting pressures alone on civil servants to properly serve service recipients does not produce the desired result. According to them, disregarding the salary expectation and other benefits of service providers will negatively affect their ethical behavior. When employees cannot meet their daily needs through their salaries and cannot live with dignity, they will resort to corruption and other unethical practices. They added that improving the living standard of the employees to reinforce desirable behavior is important. An interviewee, from AACA Municipality's Ethics and Anti-Corruption office, has also importantly raised the absence of strong Ethics and Anti-corruption commission and structural problems associated with the establishment of Ethics and Anti-Corruption liaison units as the core factors that impede the fight against unethical practices.

This informant has expressed his concern firmly stating that "AACA's municipal office did not have Ethics and Anti-Corruption liaison unit for the last six years till 2014 though proclamation for the establishment of Ethics and Anti-Corruption office was promulgated in 2008." The Council of Ministers Regulation No. 144/2008 stated that Ethics Liaison Units shall be established in public offices and public enterprises. However, it is very interesting to know why AACA municipality office spent couple of years to set up an Ethics and Anti-Corruption unit. Future researchers may examine reasons why AACA with very dynamic economic, political, social activities does not have an independent Ethics and Anti-Corruption Commission. An informant from AACA municipality office added that since the majority of Ethics and Anti-Corruption cases are centralized by the FEACC, the likelihood of getting timely solution is very unlikely and more complicated.

As the above informant explained further, even if the Ethics and Anti- corruption offices are established in many of the study bureaus, they are very weak and exist by name alone. Therefore, in a situation where commitment to fight unethical practices is very weak, it will be difficult to have responsible and ethical civil servants within reasonable periods. Especially, without the commitment of political leaders in the fight against unethical practices, all initiatives will fail on a barren ground (Washington, 1997).

5.5 Summary

The focus of this chapter was to critically examine the present status of civil servants' ethics in AACA. In doing this, legal and institutional frameworks established with the objective of governing ethics in AACA are explicated. On the basis of the analysis made many unethical practices widespread in AACA. Despite the degree of their prevalence, rule of law, impartiality, loyalty, respect to people, integrity, and honesty are found to be contravened in AACA. As it is elucidated in this chapter, many factors are attributed to the continuation of these unethical practices. Weak commitment and determination of leaders and employees to do away with unethical practices, problems of transforming ethical principles into actions, failure to criticize and penalize unethical conducts, deliberate efforts of officials to muzzle criticism of their action and inaction, deterioration of economic and social conditions, inadequate training on ethics, and absence of comprehensive and enforceable ethical code of conduct are found to be some of the major predicaments that are impeding the betterment of ethics in AACA.

CHAPTER SIX

THE CURRENT STATUS OF CIVIL SERVANTS' ACCOUNTABILITY IN ADDIS ABABA CITY ADMINISTRATION

6.1 Introduction

This chapter aims at examining the status of civil servants' accountability in AACCA. In doing this, the chapter discusses legal and institutional frameworks that are established to ensure accountability in AACCA. Employees' accountability, managers' accountability, and organizations' accountability are examined in the chapter in a separate manner. It also depicts existing accountability problems and factors that are exacerbating these problems in AACCA. In order to examine and analyze the accountability situation in AACCA, the researcher used employees' survey, informants' and service recipients' interviews as well as workplace observation. The researcher also collected data from secondary sources such as books and journal articles, Addis Ababa City Charter, citizens' charter, grievance and complaint handling guidelines, periodical reports, and from different types of proclamations promulgated with the intention of ensuring accountability.

6.2 Institutional and Legal Frameworks Governing Civil Servants' Accountability

Accountability is a mechanism which can help uphold and restrain the behavior of individuals and institutions (Bovens, 2010). It is the obligations of those holding power to take responsibility and be held answerable for their actions and behaviors (Efiong & Crowther, 2012). In ensuring accountability in any entity, the establishments of institutions, workable systems as well as procedures are imperative. It can be argued that accountability is the requirement for preventing the abuse of power by office holders and for ensuring that authority is directed towards the achievement of effective and efficient service to the public (Heerden & Steyn, 2012). Cognizant of this fact, the FDRE Constitution, Addis Ababa City Charter and other city administration's proclamations clearly stipulate that any government institution and official will be held

accountable for wrongdoings and scandals occur in government and when public office is used for personal benefits.

As it is noted above, the FDRE Constitution as the supreme law has emphasized public agents' accountability. The Constitutional position on the accountability of government or public officials in Ethiopia appears unequivocal. The Constitution articulates government organs and their officials to carry out their responsibilities in a transparent manner (Article 12/1). Second, it stipulates that any "Public official or an elected representative is accountable for any failure in official duties" (Article 12 (2)). Furthermore, the Ethiopian Government has used several mutually reinforcing mechanisms to restrain the behavior of individuals and institutions, and ensure the accountability of the civil service. For example, civil servants are made accountable to the minister or the head of the agency and have the duty to discharge public functions reasonably and according to the law (Article 61 of Proclamation No.515/2008).

In similar vein, Article 379 sub-articles 2 of the 2005 Criminal Code of the FDRE Government stipulates that any public servant who breaches public confidence and commits crime against the public interest is subject to rigorous punishment of five to twenty-five years or in severe cases; it will extend up to life time imprisonment (HPR, 2005). Likewise, the accountabilities of Bureaus, sub-city administrations, and '*Weredas*' are clearly stipulated in Article 4, 65, and 73 of the Addis Ababa City Government Executive and Municipal Service Organs Re-establishment Proclamation (AACC, 2012).

Transparency and access to information by the citizens about the activities of government officials can play a fundamental role in buttressing accountability in the country at large as well as in AACA. In this regard, Ibietan (2013) has stated that transparency and feedback plays an essential role in ensuring accountability. As it is stated by Osezua and Julius (2013), transparency can put governments open and make the public informed about government activities. Cognizant of this reality, the FDRE Government has established information law based on the Federal Constitution to allow the public have easy access to information. Article 29(2) of the FDRE Constitution and Proclamation No.590/2008 can be cited as good examples. Article 29(2) of the

FDRE Constitution clearly stipulates that everyone has the right to seek, receive and communicate information of all kinds regardless of frontiers, either orally, in writing or in print. In addition, the rights of citizens, private institutions, and civil service organizations to access information on government actions are guaranteed by Proclamation No. 590/2008.

It is clear that the FDRE Constitution and other laws of the country included more than adequate provisions in order to ensure accountability and transparency. However, the fundamental question is not the passing and promulgation of laws and proclamations; rather, it is the commitment of leaders in placing these laws and proclamations into actions. In the past few years, many activities were carried out by the city administration in order to solve governance and service delivery problems. The AACA has tried to establish transparent and accountability systems that can help reduce the causes of governance problems and rent seeking behaviors of service providers. However, the city administration has registered few successes in making service providers accountable although it differs from one institution to another (AACA, 2006).

In AACA, there are procedures and directives, which are also enacted to make public agents at all city administration level accountable. In addition to the above discussed proclamations and the FDRE Constitution, the Civil Service Proclamation No.6/2008 is also presumed to be very helpful in ensuring accountability in the city administration. Apart from the Federal and the city administration's oversight institutions, AACA also uses grievance hearing and complaint handling offices, gripe boxes and citizens' charters, civil servants' proclamations, management tools such as BSC and BPR in promoting accountability. In order to look at their contribution, each of them is discussed below in separate headings.

6.2.1 Service Recipients' Grievance and Complaint Handling Offices

The important task the AACA has accomplished to make service providers accountable is the establishment of service recipients' grievance and complaint handling units at the center, sub-city and 'woreda' level. There are various mechanisms in both developed and developing countries to public grievances and providing redresses (Brewer, 2007). In addition, government departments often have units or designated individuals to handle complaints. In the case of

AACA, there are units which are responsible for handling grievances. As observed by the researcher almost in all offices there are grievances and complaints handling units. There is also a guideline which is primed by the AACA with the intention of making service providers accountable for their actions and inactions. In the document entitled Grievance and Complaint Settlement Procedure and Accountability Regulation No. 48/2012, it is clearly specified that service recipients have the right to get information and the right to appeal for the correction of decisions made contrary to the law and against their own interests (AACA, 2012). Beyond applying the case directly to the work process where service is given to the customers, there are also grievance handling units at all levels of the AACA where customers can appeal to make service providers accountable (AACG, 2003). In addition, for anyone who believes the decisions made is unjust and her/his complaint is not adequately addressed, it is open to take the case/s to legally authorized bodies.

In order to understand their awareness level and the existing practices, service recipients were asked if they know the very existence of grievance and complaint handling units in government offices in AACA and whether there is any change positive on accountability. Service recipients whom the researcher interviewed in Bureau of Land Development and Management, and Road and Transport have described the situation as very problematic and difficult to exercise for justifiable reasons. According to these service recipients, most service users are ignorant of rules, regulations and directives that are enacted to make certain that public agents are discharging their duties properly and in a responsible manner. One service recipient from Road and Transport Bureau has also expressed her views stating “for those who are aware of the existences of rules and regulations, exercising the rights specified in government proclamations, regulations and directives is a very difficult path to be chosen”. In addition, the culture of lack of transparency and absence of appropriate and easily accessible channels especially for those service recipients, who are highly impoverished, is a hurdle to seek redress for their complaints and grievances on time. As one of service recipients from Land Development and Management Bureau has responded further, in most cases, people prefer to the other way round (bribing or keeping silent) than confronting the wrong acts of government officials or civil servants fearing the possible repercussions.

Likewise, informants from Bureaus of Land Development and Management, Trade and Industry Development, and Road and Transport have acknowledged the establishment of grievance and complaint handling units at different echelons of the city administration. Informants from Land Development and Management bureau stated that such practices have a limited impact on the promotion of accountability. They further explained that the public is less informed about grievance and complaint handling directive and little has been done in creating awareness within the larger community. Besides, they have explained the fact that in most cases, grievance and complaint handling units are responsible to the head of respective offices or bureaus. Thus, there are challenges to the positions they hold and executives tend to dominate their ideas instead of allowing them exercise the formal powers vested on them. Therefore, fearing the repercussions and knowing that the executive has power to remove them from office, they prefer to be reluctant in challenging undesired behaviors. These informants have expressed their concern stating that “unless alternative ways of institutional structure and protection are devised for these units, it will remain a very fruitless attempt.”

6.2.2 Suggestion Boxes and Books

The other important thing which is found to be common to all of the study bureaus is the availability of suggestion boxes and books. The present researcher has observed the existences of suggestion boxes and suggestion books in all study bureaus arranged to receive opinions from service recipients about the services they get from different offices. NPM calls for extensive use of techniques such as listening to the employees who are in frontline, surveys, hearing and systematic analysis of complaints from the customers as well as feedback mechanisms like suggestion boxes. One of the targets of NPM has been to develop a public service orientation focused on the public as client, with demand led services responsive to the needs of those being served (Araujo, 2000).

The suggestion boxes or books where service recipients can write down their opinions and attitudes about the service and service providers are considered as the positive step taken by AACA for enhancing the quality of service delivery and improve accountability and ethics. However, the question is how far the suggestions given by the citizens are taken seriously? Two

service users from Bureaus of Road and Transport, and Land Development and Management have expressed their strong concern, while stating, “Service recipients do not have trust on the purpose of the suggestion boxes.” They rather described it as a deceptive signal and arranged for public consumption purpose only. As they explained the situation, officials who are working at different echelons of the city administration often talk about suggestion boxes, transparency and accountability; however, these by itself do not translate into genuine commitment beyond giving lip services in the fight against unaccountable and undesirable behaviors. Service recipients’ view on the purposes of the suggestion boxes should not be undermined and it is an indication of the fact that suggestion boxes are not seriously taken for the purposes they are primarily established.

As per the above-mentioned service recipients’ view, AACA’s civil servants are less responsive to the needs and concerns of service recipients because the mechanisms instituted to ensure accountability are very weak and inadequate. Contrary to what is stated above, two informants from Bureaus of Road and Transport, and Construction and Housing have felt that service users are using suggestion boxes and books usually. According to these informants, suggestions given by the public are collected periodically and they are used as an agenda for improving service delivery and enhancing accountability. Particularly, an informant from Road and Transport bureau further explained that regular meetings provide an opportunity for members of the organization to come together and discuss accountability and ethics problems occurred in the course of providing service to the citizens. According to him, on the basis of the information obtained by means of suggestion boxes or books, further investigation will be made in order to prove how far the accusations given by service recipients are true and put sanctions upon those who are proven blameworthy.

6.2.3 Citizens’ Charter

CC is adopted in many countries across the globe with the intention of empowering citizens by stating their rights, privileges and duties. It is also needed to make the administrative apparatus less bureaucratic and enhance the delivery of government services (Mang'era & Bichanga, 2013). The basic foundation of CC revolves around the citizens’ right to information and transparent

governance. As quoted by Drewry (2007, p. 322), Mahatma Gandhi's words below can excellently justify the rationales of the CC:

A consumer is the most important visitor in our premises. He is not dependent on us, we are dependent on him. He is not an interruption in our work; he is the purpose of it. He is not an outsider to our business, he is part of it. We are not doing him a favor by serving him; he is doing us a favor by giving us an opportunity to do so.

The concept of CC is a recent phenomenon in Ethiopia. It appears as a concern in the civil service after three decades of its birth in United Kingdom. The original version of the UK CC was first published and launched in 1991 (Drewry, 2005). In this regard, the FDRE Ministry of Civil Service officially announced the launch of CC in 2012 and insisted government organizations to develop their own CC for strengthening accountability and transparency (Fekadu, 2014).

In addition to the establishment of grievance and complaint handling units and preparation of accountability directive by AACA, CC is also instituted to improve and reinforce accountability in all bureaus. It is found that all bureaus involved in the study have prepared and published their own CC. As it is explicated in the handbooks produced by each bureau, the charter contains several sections including the type of services provided, the requirement to be fulfilled by service recipients, service standards, values, and full address of top management officials. However, it is not implemented properly.

In spite of the preparation of the CC, AACA did little in realizing the purposes of the CC on the ground. For instance, all bureaus had already enunciated the inauguration of the CC publicly in 2014. However, it does not move forward as it is anticipated though it seems premature to be criticized. It is a paradox by itself and very dubious to convince the public the reason why scarce resources are used up for the preparation of the CC and kept it on shelves. The most important issue here is not the procedural clarity alone rather how far these accountability mechanisms and procedures are put into effect.

The lack of effective implementation of the CC to civil servants and service users has also hampered its sound implementation. Two informants from Bureaus of Land Development and Management, and Micro and Small Enterprise Development expressed their strong concern while stating “grievance handling directives and the CC are not properly communicated to all staff and the public at large.” Similarly, an informant from Construction and Housing bureau emphasized the ineffectiveness in communicating the CC to the employees and public at large. According to this informant, due to ineffective communication between leaders and subordinates, between government offices and the public at large about CC, many employees and citizens remain uninformed about the essence, goals and objectives of it. Therefore, whatever the guidelines, procedures and CC are believed to be important unless they are effectively communicated and made popularized to civil servants and service recipients, the accountability situations will not improve to the desired level and the CC, grievance handling documents and any other accountability instruments will remain merely paper work.

Participatory accountability arrangements can foster better services by reducing the transaction costs of service users and the costs which are associated with monitoring services. This can be reduced by the publication of information such as service-delivery plans and procedures, operation and maintenance schedules, and CC outlining users’ rights and obligations in service provision (Cavill & Sohail, 2004). However, AACA’s service users in general and service providers in particular are not effectively communicated the information that is helpful to make service providers accountable. CC may spell out the service standards and obligations of public agencies toward their clients; however, without redress, the obligations may not be enforceable (Ghaus-Pasha, 2004).

CC mainly focuses on improving the standardization of services, citizens’ rights to information regarding the public services, non-discrimination in dealing with the citizens, value for money and handling of the complaint system to improve the services according to the citizens’ convenience. As stated by Haque (2005), the objective of the CC is to make the government more accountable and responsive to the needs of the service users by making public service transparent and accessible. It is the driving force that engenders the pressure for key actor

involved to be responsive for and to ensure good public service performance (Turner and Hulme, 2004).

However, despite the initiatives and the good beginnings in preparing the CC by AACA, the purpose is not given due consideration almost in many of the study bureaus. Many of the informants expressed their concern stating “the CC is far from the knowledge of the public, the city administration’s employees and the objective initially desired to be achieved.” Therefore, it seems that the people remain unaware of the CC and they cannot find any noticeable differences among organizations that have the CC booklet and those which do not have. This entails that the inclusion of roles and functions of service providers in CC will not be enough in restraining the behavior of individuals and institutions.

In a similar vein, service recipients confirmed that the idea of CC is away from the knowledge of the majority of service users. According to service recipients from Bureau of Land Development and Management, and Housing and construction, they do not internalize the idea of the CC and the very important reasons for its establishment. According to service recipients noted above, without the commitment of the city administration in familiarizing the public at large about the idea of the CC and its purposes, talking about the CC is deceptive and futile. This implies that the participation of the public in preparing the CC is trifling and the influence of service recipients on civil providers is also insignificant.

In addition to what is noted in the preceding sections, there are also other proclamations which are publicized for the purpose of making civil servants accountable at the Federal as well as AACA level. The Federal civil servants’ proclamation No.515/2007 and AACA civil servants' Proclamation No.8/2006 can be pointed out as an example. Moreover, government offices have established rules and regulations that should be followed by each member of the organization.

The main reasons for the establishment of the above rules is to enable civil servants accomplish their duties properly. Therefore, civil servants will be obliged to strictly adhere and follow up these rules and regulations. Violation of the rules will result in penalties. As it is stated in AACA

civil servants' proclamation No. 6/2008, the types of penalties include simple kind of penalties and rigorous ones.

The rigorous type of penalties will extend to the point of terminating employment contract (AACG, 2008). With respect to discipline, each government office has the power to take disciplinary measures when employees failed to observe rules and regulations, behaved unethically as defined by the civil service law. According to proclamation No. 6/2008, the following acts will result in rigorous types of penalties: undermining one's duty by being disobedient, negligent or tardy or non-observance of working procedures, deliberate procrastination of cases or mistreatment of service recipients, accepting or demanding bribes, committing an act of theft or breach of trust. The proclamation also includes other acts: abuse of power and committing sexual violence at work place, unjustifiable repeated absenteeism or non-observance of office hours in spite of simple disciplinary penalties, initiating physical violence at workplace, neglect of duty by being alcoholic or drug addicted, committing fraudulent act, and inflicting damages to the property of the government.

Proclamation No.6/2008 equally works to all civil servants who are operating under AACA's jurisdiction. An informant from Land Development and Management Bureau has expressed his concern while stating "the majority of employees and the citizens do not have the necessary information about the proclamations and their understanding of the FDRE civil servants' proclamation No.515/2007 and AACA civil servants' proclamation No.8/2006 is very limited." As a consequence, the employees' awareness and fear of the possible reprisals and sanctions in case of wrong acts are very minimal. He explained that service users are not dedicated in defending their rights and restraining unaccountable acts of public agents at the maximum level possible as they are unacquainted with the rights and obligations of service providers.

6.3 Employees', Managers' and Organizations' Accountability

In order to better understand the status of accountability in AACA, a series of interrelated statements were proposed, as shown in Tables 6.1, 6.2, and 6.3 to the employee respondents with the aim to learn the perception of civil servants about employees', managers', organizations'

accountabilities. Accountability for all categories is measured on the basis of the following three important themes: (1) Giving an account, (2) Holding to account, and (3) Redress. The results obtained and the analyses made are presented below:

6.3.1 Employees' Accountability

Respondents were asked for their opinion on their own personal accountability status. In order to understand the status of employees' accountability, lists of questions were asked. Perceived employees' accountabilities have been measured using items identified in Table 6.1. The majority of the respondents 228 (80.3%) agreed that they often provide information about their duties to their immediate supervisors. However, 40(14.1%) of the respondents did not agree with the proposed statement. Only insignificant number 16(5.6%) of them have slightly agreed. This entails that employees' reporting to their supervisors or managers about their official duties is found to be good. Provisions of information by actors, in this context, civil servants about the performances of tasks, procedures and outputs to their immediate managers or to any concerned body is one of the important components of accountability (Bovens, 2010 &2007).

Explanation and justification of the appropriateness of their actions to their immediate supervisor was the second statement. In response, the majority of them 229 (80.6%) have confirmed their agreement. Conversely, 39 (13.7%) of the respondents felt that they do not often explain and justify the appropriateness of their actions to their immediate supervisors. Only 16 (5.6%) of them have slightly agreed. There is a wide spread agreement among survey respondents that if things do not go the way that they should be done and found to be unjustifiable, their immediate superiors impose sanction. 207 (72.9%) of the respondents have felt that supervisors take sanctions when their actions are found to be unjustifiable. On the contrary, 59 (20.8%) of them claimed that supervisors do not take actions against the employees for unjustifiable performances. 18 (6.3%) of them have agreed to some extent. For accountability to exist, actors should explain, justify their conducts to the principal/s or to forums. In case of unjustifiable actions, appropriate sanctions should be taken. The above survey result indicated that there is the practice of punishment when civil servants do not perform tasks appropriately.

There is clear split, however, in the responses for item four. 123(43.3 %) of respondents felt that if they do things the way it should be done, their immediate superior will give recognition or praise them. However, 130 (45.8%) of them saw it differently. They felt that if they do things appropriately it is unlikely to be recognized or praised by their immediate supervisors. The remaining 31(10.9%) of the respondents have slightly agreed. The above figures clearly showed accountability deficiencies. Recognition similar to sanction is an important component of accountability. If employees do not get recognition for their better performances, accountability will be considered as weak. Therefore, it is desirable to praise those employees when they accomplish tasks appropriately and put sanctions when they do things wrongly and fail to justify their reason. According to Bovens (2007), “Accountability is a relationship between an actor and a forum, in which the actor has an obligation to explain and justify his or her conduct, the forum can pose questions and pass judgement, and the actor has to face consequences”.

The next two consecutive questions were asked to know whether direct employees’ reports and the public can hold them accountable or not. The significant portion of them shared similar views on the proposed statements. There was an agreement by the majority of respondents. 186(65.5%) of them have felt that their direct reports can hold them accountable whenever their rights are affected by decisions made by employees. In contrast, 57(20.1%) of them have thought that their direct reports do not hold them accountable. However, 41 (14.4%) of the respondents have agreed to a small degree. 231(81.3%) of the respondents have also agreed that service recipients can hold them accountable when their rights are affected by the decisions made. On the contrary, 36 (12.7%) of them have felt that the public cannot hold them accountable. Only 17 (6%) of the respondents have slightly agreed.

From the responses and respective figures and percentages noted above, it is possible to deduce that service recipients and direct reports have the right to make those service providers accountable. However, this can be realized to the fullest level possible if and only if service recipients and colleagues are aware of their rights and the governance structure is getting improved.

Table 6-1: Perception on Employees' Accountability

No.	Item	Response categories	Frequency	Percent	Cumulative Percent
1	I often provide information about my duties which I am required to perform to my immediate supervisor.	Disagree	40	14.1	14.1
		To some extent	16	5.6	19.7
		Agree	228	80.3	100.0
		Total	284	100.0	
2	I often explain and justify the appropriateness of my actions to my immediate superior.	Disagree	39	13.7	13.7
		To some extent	16	5.6	19.4
		Agree	229	80.6	100.0
		Total	284	100.0	
3	If things do not go the way that they should be and it is found to be unjustifiable, my immediate superior will penalize me.	Disagree	59	20.8	20.8
		To some extent	18	6.3	27.1
		Agree	207	72.9	100.0
		Total	284	100.0	
4	If I do things the way that they should be done, my immediate superior will recognize it or praise me.	Disagree	130	45.8	45.8
		To some extent	31	10.9	56.7
		Agree	123	43.3	100.0
		Total	284	100.0	
5	My direct reports can hold me accountable when their rights or interests are affected by my decisions.	Disagree	57	20.1	20.1
		To some extent	41	14.4	34.5
		Agree	186	65.5	100.0
		Total	284	100.0	
6	Customers can hold me accountable when their rights or interests are affected by my decisions.	Disagree	36	12.7	12.7
		To some extent	17	6.0	18.7
		Agree	231	81.3	100.0
		Total	284	100.0	

Source: Field survey, December, 2014- May, 2015

6.3.2 Managers' Accountability

This section presents managers' accountability practice in AACA. In order to have better outlook on the managers' accountability, a series of interrelated statements were proposed. Survey respondents were asked to reflect their views on managers' accountability. Majority of them 194 (68.3%) indicated that managers often provide the necessary information for their actions to the immediate supervisors. In contrast, 49 (17.3%) of them indicated that managers do not provide information for their actions to their immediate supervisors. 41 (14.4%) of them have agreed a little bit.

The next question of inquiry was about the explanation and justification of managers' actions to supervisors. 196 (69%) of them have agreed with the proposition stating that managers often explain and justify their action to their immediate superiors. Only 49 (17.3%) of them have disagreed with the statement although 39 (13.7%) of them have slightly agreed. Therefore, there is a strong feeling by the majority of respondents that managers in AACA often explain and justify their actions to immediate supervisors. However, the weakness is evident on item three and four. It is only closest to fifty percent of the respondents 145 (51.1%) who agreed that managers will be sanctioned if they do not discharge their duties appropriately and fail to justify and defend their actions. 121 (42.6%) of survey respondents also give positive response to the statement that if managers carry out things the way that they should be done, they will be praised. On the other side of the spectrum, 108 (38%) of the respondents do not think that managers will be praised whenever they accomplish their duties in a proper manner while 55 (19.4%) of them have agreed a little bit on the same issue. It is, therefore, possible to deduce that managers' accountability is weak. An accountability system which neither penalize wrong acts nor praise better achievements will remain weak. Penalties for all inappropriate actions and recognition for better performances and achievements constitute the very defining element of accountability. The lack of sanctions and praise will erode accountability and it will remain incomplete and weak.

In responding to the question whether employees and the public can hold managers accountable or not, 171 (60.2%) of the respondents have agreed that employees can hold

managers accountable when their rights are affected by the decisions made. However, 86(30.3%) of them have disagreed. The remaining 27(9.5%) of the respondents, however, have slightly agreed. The next question was proposed in order to know whether the public can hold the managers accountable or not. The significant portion 194(68.3%) of the respondents felt that the public can hold managers accountable when their rights are violated. However, contrary to this, 61(21.5%) of them have felt that the public do not able to hold managers accountable. The remaining 29 (10.2%) of them have scantily agreed. Though better results are indicated, this finding brought to light the fact that many civil servants still see themselves as servants of their superiors and much is desired to make civil servants aware of their right. The public should also be informed the fact that they are principals and have the right to hold managers accountable for any inappropriate actions taken against their interest. Those, whose rights are adversely affected by the actions of someone else, have the right to hold that person accountable for the manner in which they have been treated. Accountability requires that public officials to render account of their stewardship to public and subject themselves for scrutinies as needed and must remain appropriate to the positions they hold.

Table 6-2: Employees' Perception of Managers' Accountability

No.	Item	Response categories	Frequency	Percent	Cumulative Percent
1	Often provide information about her/his actions to her/his immediate superior.	Disagree	49	17.3	17.3
		To some extent	41	14.4	31.7
		Agree	194	68.3	100.0
		Total	284	100.0	
2	Often has to explain and justify her/his actions to her/his immediate superior.	Disagree	49	17.3	17.3
		To some extent	39	13.7	31.0
		Agree	196	69.0	100.0
		Total	284	100.0	
3	If things do not go the way that they should be done and found to be unjustifiable, she/he will be sanctioned.	Disagree	71	25.0	25.0
		To some extent	68	23.9	48.9
		Agree	145	51.1	100.0
		Total	284	100.0	
4	If my boss carries out things the way that they should be done, she/he will be praised.	Disagree	108	38.0	38.0
		To some extent	55	19.4	57.4
		Agree	121	42.6	100.0
		Total	284	100.0	
5	Employees can hold my boss accountable when their rights or interests are affected by her/his decisions.	Disagree	86	30.3	30.3
		To some extent	27	9.5	39.8
		Agree	171	60.2	100.0
		Total	284	100.0	

No.	Item	Response categories	Frequency	Percent	Cumulative Percent
6	The public can hold my boss accountable when their rights or interests are affected by her/his decisions.	Disagree	61	21.5	21.5
		To some extent	29	10.2	31.7
		Agree	194	68.3	100.0
		Total	284	100.0	

Source: Field survey, December, 2014- May, 2015

6.3.3 Organizations' Accountability

Table 6-3 depicts the perceptions of survey respondents on organizations' accountability. As it is shown in the table, a series of interrelated statements were presented to survey respondents with the aim to understand their perception towards organizations' accountability. The majority of them 238 (83.8%) felt that organizations often provide information about their actions to whom they are accountable for even if 33 or nearly ten percent (11.6) of them have disagreed; while, 13 (4.6%) of them have slightly agreed.

The next statement was proposed to know respondents' view about organizations' duty to explain and justify their actions to authorized bodies. 226 (79.6%) of them have felt that organizations often explain and justify their actions to authorized supervising agencies. However, 34 (12%) of them have disagreed on the same statement. Only 24 (8.5%) of them have agreed a little bit. The next question was focused on the presence of penalties. 164 (57.7 %) of the respondents have agreed that if organizations do not discharge their own duties appropriately, penalties will be imposed upon them by different authorized bodies. On the other hand, 61 (21.5%) of the respondents have disagreed on the existence of sanctions or penalties. 59 (20.8%) of them have slightly agreed.

The next question of inquiry was proposed to the respondents in order to know whether there is recognition or not for better organizational performances from authorized agencies. 172 (60.6%) of them have agreed that organizations will be praised and recognized whenever they discharge their duties appropriately. Nevertheless, 65 (22.9%) of them do not agree that organizations' better performances are recognized. The remaining 47 (16.5%) of them have agreed inconsiderably. Enforcement of penalties and recognition of better performances are the fundamental components of accountability. As it is noted above, sanctions and recognition are

being exercised to a certain degree or organizations' accountability is not as strong as it has to be though it is not bad. However, it is much desired to get improved organizations' accountability by reducing the deficiencies noted above.

The next statements were proposed in order to know how far employees and the public can hold the organizations accountable. In response, 162(57%) of the respondents have agreed that employees can hold the organizations accountable when their rights are violated or affected negatively. On the contrary, 84(29.6%) of them do not think that employees can hold organizations accountable and 38(13.4%) of them have a little bit agreed. 193(68%) of them have also agreed that the public can hold organizations accountable when their rights or interests are violated. 63(22.2%) of them, however, felt that the public cannot hold organizations accountable. While 28(9.9%) of the respondents have somewhat agreed. Despite the positive response noted by the majority of the above respondents, significant numbers of them have opposite views. This implies that much is desired to enhance organizations' accountability in AACA.

Table 6-3: Employees' Perception of Organizations' Accountability

No.	Item	Response categories	Frequency	Percent	Cumulative Percent
1	The organization often provides information for its actions to authorized accountability agencies.	Disagree	33	11.6	11.6
		To some extent	13	4.6	16.2
		Agree	238	83.8	100.0
		Total	284	100.0	
2	The organization often explains and justifies its actions to authorized accountability agencies.	Disagree	34	12.0	12.0
		To some extent	24	8.5	20.4
		Agree	226	79.6	100.0
		Total	284	100.0	
3	If the organization violates its public duties, it will be sanctioned.	Disagree	61	21.5	21.5
		To some extent	59	20.8	42.3
		Agree	164	57.7	100.0

No.	Item	Response categories	Frequency	Percent	Cumulative Percent
		Total	284	100.0	
4	If the organization accomplishes public duties the way that they should be done, it will be praised or get recognition.	Disagree	65	22.9	22.9
		To some extent	47	16.5	39.4
		Agree	172	60.6	100.0
		Total	284	100.0	
5	Employees can hold the organization accountable when their rights or interests are affected by its actions.	Disagree	84	29.6	29.6
		To some extent	38	13.4	43.0
		Agree	162	57.0	100.0
		Total	284	100.0	
6	The public can hold the organization accountable when their rights are affected by its actions	Disagree	63	22.2	22.2
		To some extent	28	9.9	32.0
		Agree	193	68.0	100.0
		Total	284	100.0	

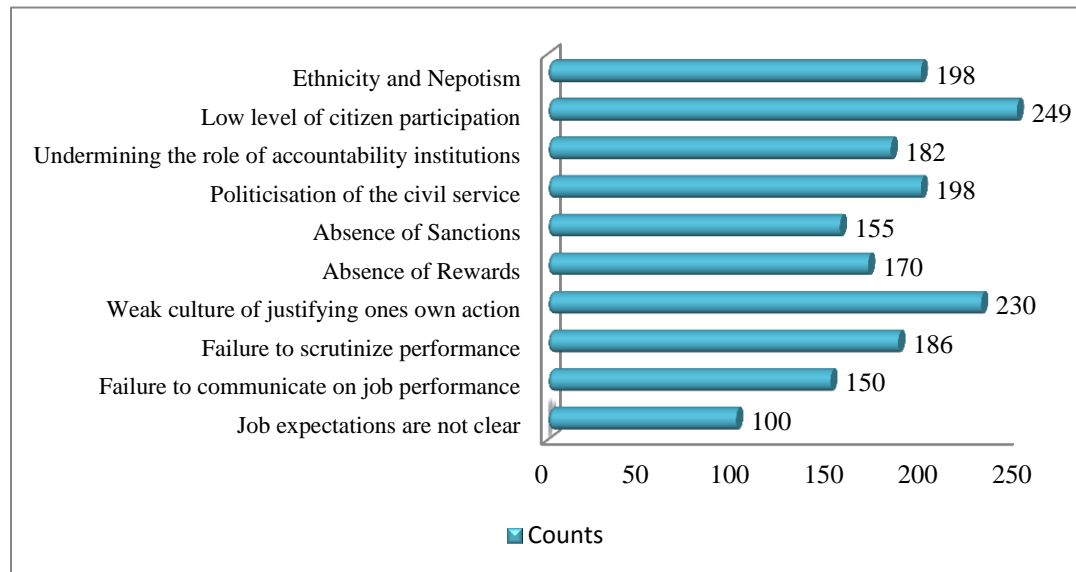
Source: Field survey, December, 2014- May, 2015

6.4 Factors Impeding Accountability in AACA

Different factors can contribute to the deterioration of accountability in either public or private organization. In many African countries, several reasons are mentioned as factors for the poor status of accountability. These include lack of enabling environment, partial enforcement of rules and regulations, resource constraint, accountability and transparency deficiency, weak administrative and legislative systems, poor political leadership and malfeasance in government (Efiong & Crowther, 2012). In order to understand the important factors that are impeding the enhancement of accountability in AACA, questions were asked to the study organizations' employees. Their responses have proved the existence of multiple factors as hindrance to the promotion of accountability in AACA. Those factors and the percentage weight given to each of them are indicated in Fig. 6.1 below. In addition to what is provided in the survey, the two

groups of interviewees, such as informants (experts) and service recipients have also revealed some of the factors that are hindering the promotion of accountability in AACA.

Figure 6-1: Factors Impeding Accountability in AACA



Source: Field survey, December, 2014- May, 2015

As illustrated above in Fig. 6.1, 249 (87.7%) of the respondents agreed that low level of citizen participation in the city administration is an important factor in deterring accountability. Similarly, 230(80.1 %) and 198 (69.72%) of the respondents have agreed that weak culture of justifying one’s own action or inaction, and politicization of the civil service or political interference are among the factors that are impeding accountability in AACA. 198 (69.72 %) of the respondents also agreed that ethnicity and nepotism undermines accountability in AACA.

Besides, for 186 (65.5%) and 182 (64%) of survey respondents, failure to scrutinize job performances, and undermining the roles of accountability institutions are important factors in exacerbating accountability problems in Addis Ababa city. Those who agreed that absence of rewards, absence of sanctions, failure to communicate job performances, and unclear job expectations as important factors that are contributing to the declining of accountability in

AACA constitute 170 (59.9%), 155 (54.6%), 150 (52.82%), and 100 (35.2%) of the respondents respectively.

Many research works on governance often emphasize the importance of citizens' participations in governments' decisions so as to ensure accountability. Citizens' participation is the situation where members of the public, who do not have formal positions in administration or government, have a share in influencing decisions (Baradei, 2014). Therefore, taken the low-level of citizens' participation into consideration, AACA should devise strategies that can enable the citizens to take part or influence government decisions.

The other identified problem in ensuring accountability in AACA is undermining the role of accountability institutions. These institutions are very common in many countries except the differences in governments' commitment in realizing the very reasons of their existence. To mention a few, legislative bodies, Media, Ombudsmen, Human Rights Commission, Ethics and Anti-Corruption Commissions, Auditors General, and Courts can be mentioned. In principle, these institutions are believed to be independent; however, in actuality, people are critical of some of these institutions for not discharging their duties to the level expected. Some of the informants have identified the important factors that are attributing to the weakening of accountability in AACA.

According to informants from Bureaus of Capacity Building and Micro and Small Enterprises Development, lack of commitment of leaders (more lip service than doing what they have promised), the relative administrative discretionary authority granted to public managers, weaknesses of oversight institutions, politicization of the bureaucracy are among the important factors that are impeding accountability in AACA. They have also added that the weak participations of citizens in the government affairs, poor reporting system and absence of appropriate rewards and sanctions against service providers on the basis of their performances are also hampering the promotion of accountability in the city administration.

Likewise, service recipients from Bureaus of Land Development and Management, and Road and Transport expressed their concern stating the following as worth mentioning problems: the

citizens' lack of knowledge about their rights and obligations, the culture of fearing of authorities, difficulties to access and reach people who are in the higher echelon of the administrative hierarchy, the prevalence of weak mechanisms to easily obtain redresses of grievances and the already established connections between the upper level public managers and those who often misbehave and mistreat service recipients.

6.5 Summary

The focus of this chapter was to examine the status of civil servants' accountability in AACA. On the basis of the analysis made, the efforts of the city administration in ensuring accountability have been examined. The establishments of different accountability tools like CC, grievances and complaints redressing mechanisms have been discussed. The city administration has also enacted different kinds of laws and proclamations. Nevertheless, the level of enforcement of these laws, and proclamations are found to be stumpy.

In examining the reasons that are exacerbating the poor status of accountability in AACA, many factors are found to be notable. Low level of citizens' participation, weak culture of justifying one's own action, politicization of the civil service, ethnicity and nepotism are identified as critical causes in impacting accountability negatively. Failure to scrutinize performances, undermining the role of accountability bodies, absence of appropriate rewards and sanctions, failure to communicate job performances and unclear job expectations are also among the factors that are deterring the promotion of accountability in AACA.

CHAPTER SEVEN

THE FUNCTIONS AND ROLES OF DIFFERENT OVERSIGHT INSTITUTIONS IN ENHANCING ACCOUNTABILITY IN AACA

7.1 Introduction

This chapter is aimed at examining the roles of different oversight institutions in reinforcing accountability and ethics in AACA. The chapter also briefly discusses the challenges that need to be addressed in order to help accountability bodies operate as effectively as possible in the fight against unaccountable practices. In order to analyze the data and address the objectives of this chapter, the researcher relied on employees' survey, informants' and service recipients' interviews. Moreover, the reading and analysis of books, journal articles and reports of different kinds were also taken into consideration.

7.2 Oversight Institutions and Accountability

As it is noted above at the beginning of this chapter, government institutions can play an indispensable role in ensuring accountability. They are needed to control people who are holding political and administrative powers and entrusted with authority to make decisions in favor of the public and for the public. Cognizant of what is stated above, Ethiopian Government has put in place different type of oversight institutions with the purpose of checking the act of power holders and improving accountability at different echelons of the administrative hierarchy. These institutions are being advocated to promote ethical standards, transparency and ensure accountability of public institutions and their members. In this section, therefore, the researcher has tried primarily to examine and appraise the roles played by different oversight institutions in the promotion of accountability in AACA.

Among the different institutions that are believed to have legal powers in reinforcing accountability in AACA, the legislative bodies, Media, Courts (the judiciary), Administrative Tribunals, Office of Auditors-General, Ethics and Anti-Corruption Commission, the Institution

of Ombudsman, Human Rights Commission, and CSOs are examined. Besides, the role of international organizations in reinforcing accountability in the city administration is also analyzed.

It is obvious that formal institutions of accountability are believed to be weak in developing countries (Lee, 2011). However, examination of the role of these institutions in reinforcing accountability in the context of AACCA is the subject of this chapter. As to the information obtained from respondents and the secondary documents reviewed so far, the above-mentioned accountability institutions are playing roles in bolstering accountability at different degree of influences in AACCA. The roles these institutions are playing in enhancing accountability in AACCA are examined and discussed discretely in the upcoming paragraphs based on the information obtained through a range of instruments. Table 7.1 below depicted the employees' survey responses on the roles of these institutions in promoting accountability in AACCA.

Table 7-1: The Roles of Accountability Institutions in AACCA

No.	Item	Response categories	Frequency	Percent	Cumulative Percent
1	The legislative body	Low	142	50.0	50.0
		Modest	82	28.9	78.9
		High	60	21.1	100.0
		Total	284	100.0	
2	Media	Low	139	48.9	48.9
		Modest	94	33.1	82.0
		High	51	18.0	100.0
		Total	284	100.0	
3	Judiciaries	Low	117	41.2	41.2
		Modest	88	31.0	72.2
		High	79	27.8	100.0
		Total	284	100.0	
4	Administrative Tribunal	Low	142	50.0	50.0
		Modest	85	29.9	79.9
		High	57	20.1	100.0
		Total	284	100.0	
5	Auditors General	Low	117	41.2	41.2
		Modest	117	41.2	82.4
		High	50	17.6	100.0
		Total	284	100.0	
6	Ethics and Anti-Corruption Commission	Low	100	35.2	35.2
		Modest	95	33.5	68.7
		High	89	31.3	100.0
		Total	284	100.0	

No.	Item	Response categories	Frequency	Percent	Cumulative Percent
7	Ombudsman	Low	182	64.1	64.1
		Modest	63	22.2	86.3
		High	39	13.7	100.0
		Total	284	100.0	
8	Human Rights Commission	Low	199	70.1	70.1
		Modest	47	16.5	86.6
		High	38	13.4	100.0
		Total	284	100.0	
9	Civic Society Organizations	Low	197	69.4	69.4
		Modest	59	20.8	90.1
		High	28	9.9	100.0
		Total	284	100.0	
10	International Organizations	Low	182	64.1	64.1
		Modest	59	20.8	84.9
		High	43	15.1	100.0
		Total	284	100.0	

Source: Field survey, December, 2014- May, 2015

7.2.1 The Legislative Bodies

The legislature is one of the most important institutions through which the sovereignty of the people is exercised. In Ethiopia, the legislature has the authority to oversight over the operations of the government. This is to ensure that government or public office holders conduct their duties in a responsible manner. The legislature is a key oversight body by which transparency can be ensured and enforced. The Federal and regional level institutions, executives and other government officials are required by law to report periodically to their respective legislature(Larbi, 2001). The legislative bodies as the highest representative body are accountable to the people. They must be reflective of public and social concerns if it is to retain public legitimacy and ensure its institutional accountability.

Legislative bodies have the authority to enact laws in order to address what they consider undesirable behavior of people and promote accountability and transparency(Stapenhurst, Johnston, & Pelizo, 2006).In this study, the legislative bodies refer to the House of the Peoples' Representative, Council of AACCA, the sub-city council and the “*Woredas*” council. Despite the degree and magnitude of influence, the above-mentioned bodies have their own authorization to call the executives to account for theirbehaviorswith the purpose of ensuring accountability and ethics. However, the role played by the legislative bodies as formal institution in ensuring

accountability in AACCA is found to be weak and inadequate. Half of survey respondents 142 (50 %) replied that the role of legislative bodies in ensuring accountability in AACCA is low. However, 60(21.1 %) and 82(28.9%) of them appraised the legislative bodies' role as high and modest respectively. It entails that the role played by the legislative bodies in controlling the executive and promoting accountability in AACCA is inadequate. The 2012 African Governance Experts' opinion survey also corroborates what is stated above.

According to the experts' opinion survey, the effectiveness of the legislative control over the executive is found to be very low in Ethiopia(UNECA, 2013). It conveys a message to the FDRE Government as well as AACCA to evaluate their commitments in enabling the legislative bodies or city councils to fully exercise their power in a manner that can help ensure accountability. However, two of the informants, whom the researcher met in Bureaus of Capacity Building and Trade and Industry Development have expressed the positive contributions of the legislative bodies in promoting accountability and ethics in AACCA. According to these informants, despite the presence of limitations, the legislative bodies are enacting and promulgating proclamations and directives that are helpful in restraining individual and institutional behaviors. In addition to what is stated above, they added that parliamentary committees from the FDRE Government as well as from the Addis Ababa city council often exercise oversight roles in promoting accountability and deter undesired behaviors in government's functionaries.

Their roles include exposing corruption, inefficiency and waste in administering and disbursing public money. The following are standing committees who are exercising oversight roles in AACCA: Legal and administrative affairs, government expenditure management and monitoring, urban development and environmental protection affairs, municipal service and capacity building and social affairs (<http://www.aacc.gov.et/index.php/en/administration.html>).

Substantiating what is stated above by key informants, it is affirmed that the Federal legislature has shown determination in fighting corruption and unethical behaviors by passing a series of laws though it is constrained by capacity limitations (K I L, 2012). To mention a few, the revision of criminal code (proclamation No.414/204) which covers a wide range of acts of

corruption and legal protection for whistleblowers, proclamation No.430/2005 (contains key provisions that address the issue of conflict of interest for procurement officials), proclamation No.515/2007 (seeks to promote and ensure a transparent, efficient, effective, and accountable civil service), proclamation No.590/2008 (seeks to ensure the right of citizens to access, receive and impart information), proclamation No.649/2009 (provide important provisions on property administration), and proclamation No.668/2010 (legislation on disclosure and registration of assets). Besides what is noted above, the legislature has also ratified different international and regional conventions and treaties on corruption. Among these, African Union convention on preventing and combating corruption, the UN convention against corruption, and the UN convention against transnational organized crimes can be mentioned.

The above stated facts imply that the Federal legislature has certainly put in place the necessary legal instruments in order to ensure ethics and accountability in the country. However, it is argued that the powers of the legislature to influence the activities of the executives are constrained in practice than the constitutional powers given to them formally. As it is stated by Mulugeta (2005), the Parliament is effectively dominated by the executive and in reality; it is an organ to rubberstamp government decisions. Similarly, in analyzing the legislative-executive interaction, Paulos (2007) has affirmed that the legislative is not in a position to make the executive branch of government accountable. According to him, the members of parliament were hand-picked by the central political leadership and passed through rigged elections although they are claiming that they are genuine representative of the people. It implies that in most cases the legislative body will not be able to challenge draft policy proposals, proclamations and procedures as long as they are aligned with the interests of the executive.

In much the same way as the members of the HPR, AACCA's City Council has also enacted worth mentioning proclamations, regulations and directives aiming at ensuring accountability in its own jurisdictions. To mention a few, proclamation No.6/2008 (Addis Ababa City Government civil servants' proclamation), proclamation No.16/2009 (A proclamation to Provide for the Financial Administration of Addis Ababa City Government), Proclamation No.17/2009 (the Addis Ababa City Government Procurement and Property Administration Proclamation),

proclamation No. 20/2009 (Proclamation to Establish the Mass Media Agency of Addis Ababa City Government), Proclamation No.29/2012 (City Government of Addis Ababa Office of the Auditors General Re-Establishment Proclamation), Regulation No.2/2009 (A Regulation to Provide for Amendment of the Addis Ababa City Council Working Procedure). However, despite the enactment of different proclamations by the Addis Ababa City Council, ensuring accountability still remains challenging. Therefore, the important question that should be raised by future researchers should be how far the proclamations, directives and procedures enacted by legislatures at different levels of government or the city administration are put into practice to realize their very objectives.

7.2.2 Media

In order to strengthen accountability in any government, the role of media cannot be underestimated. The significance of media in promoting good governance is paramount (Sowunmi, 2010). Free and independent media have great significance for a free and open society in making public agents accountable (Pope, 2005). Citizens' control over decision-makers would be possible when there is open access to information about official processes and government decision making (EAHRI and East African Law Society, 2004/5). It has an important role in monitoring as well as scrutinizing the actions of those in power and updating citizens about them (Nogara, 2009).

Media can serve as a conduit in communicating information between individuals, groups, and governments, and can help check governments' actions by reporting responsibly. Especially, the media plays a key role in revealing corruption and lifting up the awareness of society, promoting integrity and accountability norms and practices (Mendes, 2013). Hence, governments should learn to tolerate and recognize the contributions of an independent media in the reform process as an important channel of communication (OECD, 1996). President Jefferson's golden words can tell us succinctly the very rationale for the existence of media. Writing to Edward Carrington in 1787, Jefferson said the following:

The basis of our governments being the opinion of the people, the very first object should be to keep that right; and where it left to me to decide whether we should have a government without newspapers or newspapers without a government, I should not hesitate a movement to prefer the latter. But I should mean that every man should receive those papers and be capable of reading them (Prat, 2005, p. 2; Willis, 2007, p. 139).

In a letter to Thomas Cooper in 1802 and French General Lafayette in 1823, Jefferson added that the only security of everything is the free press and when it is not allowed to operate, all means of the general effort will vanish (Willis, 2007).

Cognizant of the above stated fact, the FDRE Government has given the importance of Media constitutional status. Article 29(2) of the FDRE Constitution and Proclamation No.590/2008 can be taken as an indispensable step in the development of Media in the Country. The need for freedom of information is clearly stipulated under Article 29(3) of the FDRE constitution. As per the constitution, everyone has the right to hold opinions, freedom of expression and ideas, regardless of frontiers, either orally, in writing or in print, in the form of art, or through any media of his or her choice. The right provides the very foundation of a free media that has a duty to inform, educate and entertain. In addition, the government has undertaken media reform in the past for its betterment. However, the actual role of media in strengthening accountability in Ethiopia in general as well as in AACAI in particular is found to be inadequate and below what it has to be.

As it is noted above, media is a powerful instrument in restraining the power of government officials and institutions. It can act as watchdog institution and capable of revealing the wrong deeds of those who are in power and entrusted with authority. It entails that governments cannot be held accountable if citizens are ill informed about the actions of officials and institutions. In many countries, the media sector ideally performs a number of roles. It provides accurate and reliable news and information to the public; it facilitates public debates and discussions on a wide range of issues and it sometimes sets the agenda for such debate; it holds powerful state and non-state actors accountable. In essence, independent media is a key factor in good

governance(Kalathil, 2011). Heerden and Steyn(2012), conclude that an increase by one standard deviation in a country's level of press freedom reduces the level of corruption in that country by 0.4 to 0.9 points. According to them, with a free press, members of the press will have incentives to investigate misconducts committed by government officials. Nevertheless, as it is explained in the upcoming paragraphs, the development of independent media that is capable of ensuring accountability in Ethiopia in general and AACA in particular are proved to be unsatisfactory.

Despite the relative freedom, the media industry still faces serious restrictions on its independence, assertiveness, transparency and impact on enhancing accountability. A number of factors can be pointed out as deterrence of media development in Ethiopia in general and AACA in particular. Principally, internal and external challenges are attributed to the prevalence of media problems in Ethiopia. According to Dagim and Asemahegn (2014), weak institutional capacity and poor professionalism are considered the internal challenges that are exacerbating the problems of private media in Ethiopia. However, the most important challenge is the external one. As it is stated by the above authors, the government does not recognize the very important roles private media can play in the country. In addition, the culture of judging the private media as enemy is threatening their very existence and contributions. Besides, the aforementioned problems, governments' intrusions and restrictive legal frameworks are identified as a bottleneck for independent and free operation of media.

The Ethiopian Government is often criticized by different parties for violating its constitution and deliberately holding back the development of media in the country albeit freedom of press and other mass media right are guaranteed in Article 29(3) of the FDRE constitution. As to Dirbaba and Donnell (2012), despite the constitutional right to hold opinions, thoughts and free expressions, various proclamations and laws have taken media governance back to the Marxist regime, the time when media manipulation and control were highly exercised. In their critics against the FDRE Government, they asserted that laws and policies that support greater press freedom and critical journalism exist, however, Ethiopia's media system is neither open nor liberal. In their effort in explicating the repressive nature of proclamations and laws, the 1999

media regulator law (proclamation No.178/1999), the 2008 Mass Media and Information Law (proclamation No.590/2008), and the 2009 Anti-terrorism law (proclamation No.652/2009) are emphasized as important factors in jeopardizing the relationship between the government and the press and limiting the freedom of journalists.

In much similar way with what is stated above, different national and international organizations are criticizing the Ethiopian Government for its lack of commitment in promoting the development of independent media in the country. Ethiopian opposition political parties, Civil Society Organizations, International Human Rights Organizations, and Committee to Protect Journalists (CPJ), Freedom House, Freedom Now and American State Department can be pointed out as examples from among the organizations which are very critical of the government's actions.

As stated by Ross (n.d), the FDRE Government has spent years retreating from the international norm of media right although the Ethiopian Constitution lays out the legal rights of citizens to hold opinions, thoughts and free expressions. Ross, further, added that without freedom of expression, it is futile to have transparent and accountable government. Self-censorship and fearing critical of the government's decisions and actions is the way of life in Ethiopia despite these acts are prohibited by FDRE Constitution (Article 29, 3a) (Human Rights League of the Horn of Africa, 2009, p. 2). Experts' opinion on media freedom in 2012 African Governance report survey verified that Ethiopia is one of the countries where media freedom is frequently violated (UNECA, 2013).

In addition to what is noted above, the number of private media in Ethiopia is declining from time to time. According to Dagim and Asemahegn(2014), the numbers of newspapers dealing with political, economic, and social issues from July 2004 to July 2005 weresixty-three; whereas, the total number of newspapers that included sports, culture, and arts, was one hundred-thirty-four and the total number of magazines were forty-six. However, the total number of newspapers and magazines circulated in January 2013 were eighteen and twenty-one respectively. Nevertheless, out of the eighteen newspapers, only twelve of them focused on political,

economic, and social issues; whereas, the rest focused on fashion, art, culture, and sports. Similarly, Abayneh (2017) has shown the fact that the number of private news papers that are currently functional in Addis are very few in number. He also added that 'Addis Zemen' is a government owned news paper that publish news on daily basis. Ethiopian reporter is a privately owned and bi-weekly newspaper with the highest number of circulation as compared to the nine news papers that are also privately owned and currently operating in Addis. This signifies that the number and role of the press in reinforcing accountability and ethics is declining from time to time.

The newspapers are mainly distributed and concentrated in Addis Ababa city (Skjerdal, 2010). Taking into consideration the fact that the country media market is concentrated in Addis Ababa, it will not be difficult to judge how it can potentially deter the efforts of ensuring accountability and ethics in AACAA. It becomes more difficult for citizens to hold public officials accountable in a situation where the development of media is backpedaling. In addition to what is elucidated above, deliberately established laws by the government have restrained the development of Media in Ethiopia. In reference to this, Bertelsmann Stiftung (2014) stated that media and CSOs have been forced by oppressive laws either to support the government line or to be dissolved. The report added that in 2011 and 2012, several publications and newspapers were banned. Self-censorship, intimidation and harassment of journalists and reporters become the trend in the country. Therefore, it can be inferred from the figures and facts mentioned above that the number of press that can help to monitor and regulate the behavior of individuals or institutions are declining from time to time.

The picture for radio and television broadcasting is similar. Most of the country's radio and television stations are owned and monopolized by the state. The country is characterized by strong state media institutions (Skjerdal, 2010). The roles of radio and television programs in reinforcing accountability and ethics in AACAA are insignificant and weak. Except few programs that are broadcasting from abroad via satellite, the television stations are entirely owned by the government. There are few privately owned FM radios in AACAA. Nevertheless, these FM radios have limited scope and are mostly engaged in entertainment and advertisement activities

(Nigussie, 2014). The media law environment is also criticized as undemocratic and a number of laws are enacted to enforce self-censorship and act against media practitioners. Especially, the situation became worse with the introduction of anti-terrorism laws and laws that are regulating non-governmental organizations since 2009.

In addition to the media outlets discussed in the preceding sections, social media can also play important roles in fostering accountability and ethics in AACAA. This days the influence of social media and user generated content was believed to be increased from time to time (Skjerdal, 2016). Likewise, Sileshie (2014) has explained that social media is being expanded to the extent that every one, who has access to computer, internet and who is skilled in using it, has the chance to easily access, write and transmit messages and meet some common goals. In this line, it can play a key role in facilitating the development of accountability and ethics. The use of social media in AACAA as well as the country at large is growing. As stated by (HRW, 2010) since 2010 Ethiopia's information technologies have grown by leaps and bounds though the country still lags far behind many African countries. The same report also explained that mobile usage is increasing in the country. Nevertheless, the internet usage is at an infancy stage and very limited in coverage. In this regard, Hwang, et al., (2016) stated that the government owns and controls the nation's sole internet service provider, Ethiopia Telecom and only 0.5 percent of the population is online.

There is no doubt that media condition in AACAA is the mirror image of media situations in Ethiopia. In order to have an insight on the state of media and the development of media in Ethiopia and examining what the reality looks like in AACAA, it is better to see back what is stated on the preceding page about the number and development of media ranging from 2003/2004-2013. In addition to what is stated above, civil servants and informants have also corroborated the fact that the contribution of media in restraining undesirable behavior of those who are entrusted with authority in AACAA is unsatisfactory. According to survey result, almost half of the respondents 139 (48.9%) replied that the media role in restraining institutional and individual behaviors in the city administration is negligible. However, 94 (33.1%) and 51 (18 %) of them thought the role of media in ensuring accountability in AACAA

as modest and high respectively. The survey results which are demonstrated in Table 6.1 evidently revealed the fact that media role in restraining the behavior of individuals and organizations is inadequate and it is enmeshed with a number of problems.

In augmenting what is noted above, informants, whom the researcher interviewed in Addis Ababa at Bureaus of Micro and Small Enterprises Development, and Trade and Industry Development have confirmed the fact that media in Ethiopia in general and AACA in particular is not vibrant in ensuring accountability, exposing corruption and unethical behaviors. These informants explained that it is not the interest of the executives or those people who are taking part in leadership positions in most cases to see the involvement of media in the affairs of the organizations they are managing. There is also lack of access to information with the government and the bureaucracy as needed. They rather give lip service to the public to be seen as very committed and responsible in fighting undesirable behaviors, they added. An informant from Land Development and Management Bureau has expressed his concern stating that “an important media program which is known as “*Aynachine*” is vanished from the Television broadcast.” As he replied, fearing the involvement of media in government’s affair is not only limited to AACA; it is rather the common problem in the country. Similarly, question was asked to service recipients about the functions and roles of media in ensuring accountability in AACA. Many of these respondents replied that the involvement of media in ensuring accountability in AACA is very limited.

As it is noted in the preceding discussions, Ethiopian Government has been criticized by different international organizations, opposition political parties and researchers for its lack of commitment in the promotion and development of free and independent Media. However, it does not mean that media did play nothing in promoting and ensuring accountability in AACA; rather, it is to underscore the fact that the progress of media is backward looking and its role is inadequate and unsatisfactory. Informants, whom the researcher met in Bureau of Capacity Building, stated that “AACA mass communication agency is exerting efforts to ensure accountability in the city administration though the participation of private media is trivial.”

What has been discussed above help a hand to the readers better understand the commitments of the government in promoting free and independent media in the last decades. As it is stated by Bruentti and Weder (2003), media growth has its own implication in the course of ensuring ethics and accountability in government. Nevertheless, its role in AACA is not encouraging.

7.2.3 The Courts (Judiciary)

The Judiciary is the branch of government which is responsible for the settlement of disputes, enforcement of civil and criminal cases, and interpretation and protection of the law of countries (Agbola & Sokro, 2012). In many of the political systems, courts play a formidable role in safeguarding the constitution and restraining the power of governments (Mulgan, 2000). Indeed, Ethiopia has established a constitution to ensure the independent function of the judiciary and brings about accountability in the country. As per the FDRE Constitution Article 50(1), there is constitutional division of state's authority between legislative, executive, and judicial branches. The main purpose of this constitutional division of power is to prevent state authority from being exercised arbitrarily by any one of the three branches of government.

According to Temesgen (2012), the principal purposes of making the judiciary independent is to allow the institution discharge its duties without illegitimate interference of either the legislative or the executive branches of government. The judiciaries are responsible in administering justice and punishing public officials who are abusing public offices. However, there are different critics on the effectiveness of the judiciary and positions of the Ethiopian Government on it. According to the report by Bertelsmann Stiftung (2014), the executive branch of government has undermined the judiciary in Ethiopia though the latter is officially an independent institution. The appointment of judges and high-level officers are the prerogatives of the political leadership in order to ensure that the government interests are protected.

In line with what has been stated above, employees in the survey replied that, the role of courts in ensuring accountability in AACA is low. In the survey, 79 (27.8%) of them replied that the role of judiciary in ensuring accountability is high. However, 88 (31%) and 117 (41.2%) of them felt its role as modest and low respectively. It entails that the judiciary as formal accountability

institution is not discharging its role at reasonable level of expectations and government has to do more to get the maximum benefit out of it.

Two informants, whom the researcher interviewed in Addis Ababa, at Bureau of Capacity Building, however, explained that the judiciary often makes independent decisions to make individuals and institutions accountable. However, contrary to these informants, corruption perception survey conducted by Kilimanjaro International Corporation Limited stated that the judiciary is stood as one of the most corrupted institutions in the minds of survey respondents. The lengthy and complex judicial process and the demand for bribe were identified as problems encountered by the users (K I L, 2012; Walta, 2015). Similarly, service users were asked their opinions about the functions and roles of the judiciary in AACAA. Many of them argued that the judiciary process in AACAA is very arduous and difficult to get things done easily. Especially, two service recipients from Land Development and Management office expressed their views stating that unethical behavior and corruption is an essential problem in many government offices in AACAA. According to these informants, corruption and unethical behaviors in Land Management and Development Bureau continues to affect the people in Addis Ababa as the judiciary system is ineffective and working in favor of the rich and corrupted officials. As to these service users, most people in prefer to be defendant than an appellant. Therefore, KIL corruption perception survey, the employees' survey result, the views of service recipients and secondary sources consulted proved that the role being played by the judiciary as oversight or regulatory institution in ensuring accountability in AACAA is inadequate and unsatisfactory. It entails that the government has to do more to enable the judiciary operate independently and at reasonable degree of acceptance.

7.2.4 Administrative Tribunals

AACAA has established administrative tribunal on the basis of AACAA's Civil Servants Proclamation No.6/2008 to improve the state of accountability in the city. This proclamation was also prepared on the basis of one of the components of CSRP which is known as human resource management. The Administrative Tribunal was established with the objective of hearing appeals

which are brought to it by AACA employees and adjudicating the dispute. It may include reconsidering and emending the decisions if it is found to be wrong or approving it. The AACA tribunal would revise administrative measures taken by any of the organization which is operating under the city administration's jurisdictions and which is submitted to it in the form of appeal by civil servants.

Fig.6.1 above shows the responses obtained from employees in the survey. As per survey result, 142(50%) of them replied that the role of the institution in enhancing accountability is low and the remaining 85(29.9 %) and 57 (20.1%) of them appraised its role in ensuring accountability in AACA as modest and high respectively. It illuminates the fact that as one of the accountability mechanisms, the role played by the administrative tribunal cannot be totally undermined. Informants, whom the researcher interviewed in Addis Ababa at the Bureaus of Micro and Small Enterprises Development and Capacity Building, have expressed their positive feelings on it. As per the views of these informants, despite the possible existence of few problems like capacity limitations, the administrative tribunal is doing its job fairly and in compliance with the law specified. They further witnessed that in many cases, the administrative tribunal has reversed decisions made by bureaus against their employees verifying the fact that it was wrongly decided.

In conformity with what is acknowledged above, Ayana (2011), in his work expressed that AACA's administrative tribunal is operating in compliance with the law and in a legally and procedurally sound manner. However, high involvement of politically appointed individuals in the affairs of the disciplinary committee and lack of better understanding of the substantive and procedural laws by disciplinary committee members are among the major problems notified. He has also elucidated further the fact that the practices of the disciplinary committee are entangled with many problems.

According to Ayana, making disciplinary decisions without giving due attention to the rules and procedures, failure to give equal hearing opportunity to the defendant and the appellant, weaknesses in scrutinizing evidences before the recommendation of penalties, failure to

complete the trial process within reasonable time schedule are among the erroneous acts committed by the committee members. Giving less emphasis to the relevance and adequacy of the information and giving recommendation on the basis of irrelevant information or on the basis of facts which are not stated in the charges are also noted as important problems of disciplinary committee.

Likewise, informants, whom the researcher interviewed at the Bureaus of Micro and Small Enterprise Development, and Land Development and Management, have also agreed with the problems associated with the management of disciplinary cases. These informants have expressed their strong concern while stating “whenever disciplinary committee members are elected, there is direct and indirect intervention by top executives with the intention of manipulating the committee’s decisions and satisfy their own personal desires.”

To put it in a nut shell, there are violations of rules and regulations at the level of disciplinary committee. Here, it is possible to deduce that the political commitment of leaders in correcting the problems associated with disciplinary committees and bringing about accountability and better service are lacking. It rather implies that the disciplinary committee weaknesses are the result of poorly committed organizational leaders, politicization of committee members and absence of sanctions for the wrong acts committed by the committee members.

Therefore, it is beyond the shadow of doubt that what is noted above is weakening the state of accountability in AACCA and at the same time, it gives the way for the violation of the ethical principles. However, it does not mean that it is not contributing at all in ensuring accountability in AACCA. It is rather intended to convey a message that the disciplinary committees in AACCA have deficiencies in discharging their duties and responsibilities.

7.2.5 Office of the Auditors-General (OAG)

An effective public-sector audit activity is essential to strengthen governance and increasing citizens’ ability to hold their government accountable. Auditors’ functions are crucial in the public sector for promoting credibility, equity, and appropriate behavior of government officials,

and for reducing the risk of public corruption. Therefore, government audit activities should be managed properly to achieve these objectives. In addition, auditors must be empowered to act with integrity and produce reliable services(Zeleke, 2007).In this regard, the FDRE Government has taken important measures in addressing the problems mentioned above. To mention a few, issuing proclamation No. 68/1997 and the issuance of internal audit procedure manual for the public sector and the issuance of proclamation No. 235/2001 to establish the FEACC and the implementation of CSRP are clear indicators of government's concern to promote good governance in the Ethiopian public sector (Ibid, 30).There is no doubt that AACAA Auditor-General also occupies an important position in ensuring accountability in the city administration.

As it is demonstrated in table 6.1, the role of Auditor General as accountability institution in AACAA is thought by the majority of survey respondents as modest. From among the employee respondents, 117(41.2%) of them replied that the role of Auditors General in ensuring accountability in AACAA is low. However, 50 (17.6%) and 117 (41.2 %) of them replied as high and modest respectively. It entails that further effort is required from the government side to enable the institution function to its fullest potential.In supporting what is stated above, key informants, whom the researcher interviewed in Addis Ababa at Bureaus of Capacity Building, Micro and Small Enterprises Development, Trade and Industry Development have put the roles of office of Auditor General in a better position in auditing and revealing different misconducts related to financial and accounting procedures as well as issue related to abusing of public resources despite the power to act on the reports is dependent up on the willingness and capacity of elected politician and government. As to these informants, as oversight institutions,it is doing well. However, they added that in order to enhance its performance at reasonable level, more autonomy and enabling environment has to be given to the institution.

7.2.6 Federal Ethics and Anti-Corruption Commission (FEACC)

FEACC was established in May, 2001 by Proclamation number 235/2001. The establishment of the institution was not stipulated in the FDRE constitution. However, it was instituted as an accountability mechanism capable of investigating and prosecuting, checking and preventing

corruption and other improprieties through the promotion of ethical values in the society (HPR, 2001).

The FEACC was commenced in response to the inefficiency and ineffectiveness of the public management system (Arsema, 2010). It was established with the following functions: Creating a society where corruption will not be tolerated by promoting Ethics and Anti-corruption education, prevent corruption offences and other improprieties by examining the practices and procedures in government offices and public enterprises, create and promote integrity in public service by detecting, investigating and prosecuting alleged or suspected cases of corruption offences and other impropriety, ensure the preparation and follow up of the implementation of codes of ethics for public servants.

Survey result below, however, revealed that the commission is still left with a lot of tasks to accomplish in order to meet its objectives to the fullest level possible. In the survey, 100 (35.5%) of the respondents replied that the role of the commission in ensuring accountability in AACA is low. However, 95 (33.5%) and 89 (31.3%) of them praised that the commission's role as modest and high respectively. It is an indication that the fight on corruption as well as unaccountable acts is not a success story and the commission has to do more to ensure accountability and ethics in AACA.

Ethiopian's challenges in fighting corruption is noted in 2011 APRM report. The report described that Ethiopia faces implementation challenges in the fight against corruption. Mainly, capacity constraints for inspection and prosecution on cases of corruption, limited judicial procedures, tolerance of the general public on corruption and absence of fully developed civil service code of ethics are mentioned as the main constraints in the fight against corruption (NEPAD, 2011).

Lack of independence of the institution is another challenge. According to Tewodros (2011), the commissioner and the deputy commissioner positions are both political appointment and FEACC is not independent enough to challenge the corrupt acts of the executive. He further added that appointees who are perceived to be ruling party yes-men or women will hardly secure public

trust to make the commission's work successful. In addition, informants whom the researcher interviewed in Addis Ababa at the Bureaus of Micro and Small Enterprises Development and AACA Municipal Ethics and Anti-Corruption Office revealed that the above views are the widely shared opinions among them. They have also added other problems related to the roles of Ethics and Anti-corruption office in ensuring accountability and ethics in AACA. As they have stated, the most important problem in building ethical and accountable public agents in AACA lies on the political leadership and FEACC. According to these informants, the establishment of strong Ethics and Anti-corruption office in AACA is not the interest of the majority of executives. They added, as a consequence, successful achievement has not been registered yet.

Corroborating the arguments mentioned above, they questioned why AACA is thwarted from establishing an independent commission to date (2016) and become dependent in most cases on the FEACC. They added that except Dire Dawa and AACA, all regional states have their own Ethics and Anti-Corruption Commissions. The regional Ethics and Anti-Corruption office establishment is extended up to the "Woreda" level. However, Ethics and Anti-Corruption offices in AACA are poorly organized, and their functions are very superficial and existing by name alone. They have expressed their strong concern while stating "it is the same as devolving insufficient number of police forces in a place where high level of crime is being committed". The best way to improve the situation is to change the current ethics and anti-corruption structures and the way they are functioning in AACA.

The Council of Ministers Regulation No. 144/2008 stated that Ethics Liaison Units shall be established in public offices and public enterprises in order to coordinate ethical issues and give advice to the head of public offices and public enterprises. However, an informant in Addis Ababa City Municipality was critical of the implementation of the rule stated above. This interviewee expressed his concern while stating "Closing the eyes to the above regulation, AACA's Mayor Office has spent couple of years without establishing ethics and anti-corruption offices." As to this informant, it is in 2014, the current AACA Mayor allowed the implementation of regulation No. 144/2008 at the Municipal level. It will be left for future researchers to examine

why an independent commission is not allowed in AACA. Six solid years are passed away to implement regulation No.144/2008 and establish an ethics and anti-corruption office at the municipal level. As it is further revealed from the interview, some of AACA's bureaus do not have workable ethics and anti-corruption offices though all public offices and public enterprises are granted these powers and duties by the Council of Ministers Regulation No.144/2008. In addition to this, he has pointed out that FEACC has failed to effectively monitor and control why these bureaus did not establish workable ethics and anti-corruption offices as per regulation No.144/2008. It entails that leaders' commitment in the implementations of proclamations, rules and regulations is very weak. It can be used to substantiate the argument that the realization of strong ethics and anti-corruption offices is not the interest of those who are entrusted with public responsibilities. The reality in AACA's Land Development and Management Bureau can be used as an example to justify the problem stated above.

AACA's Land Development and Management Bureau is identified as the most corrupted institution by the study conducted by the World Bank (2012) and (K I L, 2012), the study commissioned by FEACC. However, it is still violating the Council of Ministers Regulation No. 144/2008 which states that Ethics Liaison Units shall be established in public offices and public enterprises. Service recipients were also asked their views about the functions and roles of Ethics and Anti-Corruption offices in AACA. Some of them do not have the information about the establishment of Ethics and Anti-Corruption offices in many of AACA's bureaus. Those service users who do have the information about the establishment of Ethics and Anti-Corruption offices greatly doubt their capability in preventing and correcting corrupt practices in government offices in Addis Ababa. In this regard, two service users from Bureaus of Trade and Industry Development and Land Development and Management replied that Ethics and Anti-Corruption offices that are established in many government offices are very weak and the people assigned to run these offices do not have the necessary power and the commitment in fighting corruption and unethical practices as effectively as possible. Informants in Bureaus of Land Development and Management, Trade and Industry Development and AACA's Municipal Ethics and Anti-Corruption office have expressed their concern while stating "the centralization and concentration of power in the hands of FEACC make the fight against corruption and unethical practices in

AACA very problematic.” The above mentioned basic limitations can give support to justify the limited impact FEACC has brought in promoting accountability in the country in general and AACA in particular.

7.2.7 Ombudsman

Ombudsman is considered as a democratic mechanism for making public and private services accountable to the citizens (Gilad, 2008). Resolutions of individual grievances and general quality assurance and improvement of public or private services are the very important functions of ombudsman (Harlow, 1978; Harlow & Rawlings; 1997 & Senevirtane, 2002 as cited in Gilad, 2008). In Ethiopian context, the establishment of institution of Ombudsman is stipulated in Article 55 (15) of FDRE Constitution. As per this provision, the HPR endorsed proclamation 211/2000, which resulted in the establishment of the Ethiopian Institution of Ombudsman. The Ombudsman institution was established to prevent and correct arbitrary administrative actions of the executives and to provide the chance to the public to assure that the basic rights are not violated. In accordance with article 5 of proclamation 211/2000, the objective of Ombudsman as an accountability institution is to bring about good governance by which citizens’ right and benefits are respected by the executive organ.

The office of Ombudsman is entrusted to an independent, impartial functionary who is accountable to the parliament. The very reason for its existence is to receive complaints from aggrieved persons against public institutions and public officials and launches an investigation on its own initiatives and recommends corrective actions. It is presumed to play a watchdog role over the interest of the public. However, as per the respondents of this study, such as employees and service recipients, the role played by Ombudsman as accountability institution is negligible. Service recipients, whom the researcher interviewed in Addis Ababa at Bureaus of Land Development and Management and Road and Transport have felt Ombudsman as a poorly performing organ and less receptive to the public demand. In addition, a considerable portion, that is 182(64.1%) of survey respondents rated the role of Ombudsman as low compared to other

public accountability bodies. It is only 39(13.7 %) and 63(22.2 %) of them who thought its role as high and modest respectively.

As it is noted in Table 7.1, the summary of survey response on the role of Ombudsman as accountability mechanisms is depicted. From among the accountability mechanisms rated by the employees, Ombudsman is found to be less performing followed by Human Rights Commission, Civic Society Organizations, and International organizations. Key informants, whom the researcher interviewed in Bureaus of Capacity Building, Micro and Small Enterprises Development, and Trade and Industry Development, have similar sentiments with the responses given by service recipients and employees. Especially, an informant, with whom the researcher conducted an interview in Bureau of Micro and Small Enterprises expressed his concern while stating “the performance problem on ombudsman is evident; however, its effectiveness largely depends on the willingness and commitment of the political leaders or government officials in enforcing its recommendations.” He stated that the Ombudsman often organizes and conducts workshops, which have created opportunities for learning between service recipients and top officials. In addition, it releases different publications and news to the public through electronic and paper media outlets.

In addition to what is discussed above, corruption perception survey commissioned by FEACC, revealed that the institution of Ombudsman is constrained by the limited human resources (K I L, 2012). Furthermore, recommendations given by the institution of ombudsman do not always have the desired effect as powerful public officials and bureaucrats tend to resist the implementation of the recommendations.

7.2.8 Human Right Commission

In accordance with Article 55 (14) of the FDRE constitution, proclamation 210/2000 was enacted to provide for the establishment of the Ethiopian Human Right Commission. Article 5 of proclamation 210/2000 stipulates that the objective of the Human Rights Commission is to educate the public to be aware of human rights, ensuring that human rights are protected, respected and fully enforced as well as to take the necessary measure when they have been

violated. As it is depicted in Table 7.1, the majority, that is 199(70.1%) of the respondents replied that the role of Human Rights Commission in ensuring accountability in AACA is low. But, 47(16.5%) and 38 (13.4 %) of them have rated the roles of the commission as modest and high respectively. This suggests that the institution is performing below the average. In addition, one service recipient, whom the researcher interviewed in Addis Ababa at Bureau of Land Development and Management in face-to-face interview has described the institution as weak and existing by name alone. The results obtained from survey and service recipients convey a message to the government and the people who are in charge of the institution the fact that the very rationale for the existence of the institution is not still began to be realized and a lot of work is required.

There are also people who are arguing that the Ethiopian Constitution has deliberately weakens the judiciary and the human right situations of the country is declined. There is written evidence that supports this argument. As it is stated by Mgbako, et al.(2008), the Ethiopian political system is influenced by the Marxist ideology and it further weakens the judiciary, including the deprivation of the power of judicial review. According to them, the judicial review power is given to the House of the Federation (HOF), which is a political organ and not free from the influence of the executive branch of the government. Consequently, fundamental rights and freedoms may be compromised to political considerations favoring the ruling party. It implies that whenever, human right violations or decisions against the constitution are committed by the executive branch of the government, the power of HOF in restraining the wrong deeds of the government become weak.

7.2.9 Civil Society Organizations

The other important point that we should not overlook in dealing with accountability institutions in AACA is the role of civil society organizations. Civil society is recognized as an important agent in promoting good governance in general and accountability in particular (Ghaus-Pasha, 2007). According to this author, civil society is described as a broader concept which subsumes all types of organizations and associations that exist outside the market and the state. When formal institutional mechanisms and the state are strong, it plays a supportive role. When formal

institutions are in a state of disorder, civic engagement can compensate institutional weaknesses (Sarker & Hassan, n.d). The public opinion expressed through organized civil society is propitious to the citizens to have responsible government (Scrib inc., 2014). It implies that the public accountability can be reinforced through CSOs. However, the Ethiopian case in which AACA is an integral part of it is criticized for its anti-civic society's agenda. According to Wondwosen (2009), CSOs for the first time played a very important role in Ethiopian history in 2005 election. However, after the election the relationship between the government and CSOs get deteriorated. He further stated that, repressive proclamations have been enacted and the role of CSOs reached freezing point.

Assertive and very active civil society institutions have been widely recognized as an essential "third sector" (Ghaus-Pasha, 2007). Its strength can have positive influence on the state and the market. Civil society is the very important organ in fostering good governance like transparency, responsiveness and accountability (Sakyi and Bawole, 2004). Indeed, their role in enhancing accountability in AACA as well as in the country at large is found to be very minimal. As to the information obtained from informants, with whom the researcher conducted interview in Bureaus of Micro and Small Enterprises Development, Road and Transport, Land Development and Management and analysis of secondary documents, and employees' survey, the role of CSOs and non-governmental organizations in ensuring accountability in AACA as well as in Ethiopia in general are found to be inadequate and unsatisfactory.

The works of some researchers also corroborate the fact that the role of CSOs is weakened in the past few years in Ethiopia. There are also periodic reports by international organizations such as Amnesty International, Human Rights Watch and the American State Department and others criticizing the Ethiopian Government for enacting and promulgating laws against CSOs in the country.

There is also written evidence which validates the critics mentioned above. Bertelsmann Stiftung (2014) stated that many CSOs are weakened in Ethiopia after the enactment of restrictive law by the government. As it is expressed above, the Ethiopian Government has passed restrictive law

against CSOs. In a similar vein, Mulat, Hopkins, and Noble(2009) stated that the very existence of CSOs is threatened by exclusionary law. According to them, Ethiopian's CSOs law is among the most restrictive laws in the world. They added that the CSOs law restricts the Ethiopians' right to freedom of association, and expression.

Likewise, Mulugeta (2005), in his study stated that the political philosophy of EPRDF does not allow the free participation of CSOs in the country. As he explicated, driven by the ideology of revolutionary democracy and Marxist-Leninist orientation, EPRDF Government considers the opposition and CSOs, who wants to think independently, as the enemies of the state. ECA, 2007 experts' survey has also proven the fact that the role of CSOs in promoting accountability and transparency in Ethiopia is low(ECA, 2009). The majority of experts in ECA, 2007 survey unequivocally revealed that CSOs in Ethiopia rarely contribute or do not contribute to the enhancement of accountability and transparency. The 2012 African Governance Experts opinion survey has also appraised forty countries to know the actual role of CSOs in promoting transparency and accountability. However, improvement was not shown compared to the previous year's survey; rather, the role of CSOs in Ethiopia is found to be the least next to Gambia (UNECA, 2013). Therefore, Addis Ababa as the capital city of Ethiopia cannot be exempted from the national problems discussed above.

In much similar way with what is stated above, employees' survey shows that the CSOs roles in ensuring accountability in AACA are almost trifling. Considerable portion of respondents, that is 197(69.4 %) of them rated the role of CSOs in ensuring accountability in AACA as low; while, 59 (20.8 %) and 28 (9.9%) of them rated its role as modest and high respectively. Informants from Bureaus of Land Development and Management, Capacity Building, Micro and Small Enterprises Development have also acknowledged the weaknesses noted above. According to them, the role of independent CSOs, especially, that are working in collaboration with AACA with the objective of ensuring and promoting accountability are almost non-existent. However, two informants, whom the researcher interviewed in Trade and Industry Development Bureau, have expressed their view stating that "Addis Ababa chamber of commerce is better interacting with the bureau in promoting and ensuring accountability in AACA." Therefore, from what is

discussed above, it is possible to deduce that the role of CSOs in giving voice to the voiceless and ensuring accountability in AACA is at infant stage.

7.2.10 International Organizations

Nowadays, international organizations have power to influence governments to ensure accountability in their country. However, the role of international organizations in ensuring accountability in AACA is found to be low. As it is replied by the employees in the survey, the majority of them that is 182 (64.1%) of the respondents rated its role as low. However, 59 (20.8%) and 43 (15.1%) of respondents felt the roles of international organizations in bringing about accountability in AACA as modest and high respectively. It denotes that the role being played by international organizations in ensuring accountability in the city administration is insignificant.

Four of the informants, whom the researcher interviewed in Bureaus of Trade and Industry Development, Micro and Small Enterprises Development, Road and Transport, Land Development and Management, however, replied stating that international institutions have roles in the promotion of accountability in AACA. They have identified World Bank, UNDP, Transparency International, IMF, Human Right Organizations and continental unions like the European and African unions. They added that multi-lateral and bi-lateral agreements can be cited as an evidence to show the contributions of international organizations. These international institutions provide financial, material and technical support to governments and they use these supports in order to ensure accountability.

7.3 Summary

The focus of this chapter was to analyze the role of oversight institutions in ensuring accountability in AACA. It explains that different watchdog institutions are established in Ethiopia in general and AACA in particular with the aim of enhancing accountability and discouraging undesirable behaviors. One would expect that these institutions would work to enhance accountability and ethics. However, in practice, multiple unethical and unaccountable practices indicate that the country in general and AACA in particular continued to lack strong

institutional mechanisms and commitments to deter undesirable behaviors and to ensure accountability. The roles of democratic oversight institutions or accountability mechanisms that are important in promoting accountability in any government are found to be in poor state of performances. In other words, their performances are lower than expected. In addition, the weakness of these oversight institutions gives an opportunity for the executive to be unethical and unaccountable. Many factors are attributed to their poor performances; however, government's lack of commitment takes the lion share of the problems.

CHAPTER EIGHT

EFFECTS OF NPM ON ACCOUNTABILITY AND ETHICS IN AACA

8.1 Introduction

This chapter examines the relationship between accountability and ethics with NPM in AACA. It also analyzes the effects of NPM on accountability and ethics. To do so and to make interpretations, the chapter employed Bivariate Spearman Correlation and Ordinal Regression analysis since labels are ordinal in nature.

8.2 Accountability and Ethics Relationship with NPM in AACA

To explore accountability and ethics relationship with NPM and to make the analysis and the interpretation of the existing relationships among the variables easy, scale proposed by Cohen (1988) was used. This guideline has considered range of correlation coefficients. As it is indicated by Pallant (2010), if $r = .10$ to $.29$, the correlation is small; if $r = .30$ to $.49$, the correlation is medium, and r value = $.50$ to 1.0 is larger correlation.

In order to determine whether statistically significant relationships exist between the variables and to describe the strength and direction of such effects, Spearman Correlation analysis was employed. The test for association was run for each dependent variable that needs to be assessed. For instance, test for correlation between NPM and ethics (leadership and co-workers' ethics) was explored. Similarly, examination of correlation between NPM and accountability (employees', managers', and organizations' accountability) was checked.

Using the above guideline, the result in Table 8-1 had shown the presence of significant positive relationship between NPM, and accountability and ethics. It also comprises larger and medium correlation coefficients. Hence, statistically larger positive correlation is observed between NPM and employees' accountability ($r = .697^{**}$, $p < 0.01$), NPM and managers' accountability ($r = .665^*$, $p < 0.01$), NPM and leadership ethics ($r = .717^{**}$, $p < 0.01$), and NPM and co-workers' ethics ($r = .564^{**}$, $p < 0.01$). On the other hand, the correlation test between NPM and organizations'

accountability reveals as they have medium level correlation though it has displayed statistically significant and positive relationship (i.e., $r=.385^{**}$, $p<0.01$).

Table 8-1: Bivariate Spearman Correlations of NPM with Accountability and Ethics

Correlation`		1	2	3	4	5	6	
Spearman's rho	Ethics							
	Leadership ethics	1.000						
	Co-workers' ethics	.507**	1.000					
	Accountability							
	Employees' accountability	.505**	.473**	1.000				
	Managers' accountability	.558**	.430**	.580**	1.000			
	Organizations' accountability	.232**	.185**	.428**	.498**	1.000		
	NPM	R	.717**	.564**	.697**	.665**	.385**	1.000
		Sig.	.000	.000	.000	.000	.000	.
		N	121	121	121	121	121	121

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

On the basis of the evidence presented so far, it is reasonable to expect that NPM has an impact on accountability and ethics in AACA. However, the relationships revealed in the correlation matrix do not able to conclude NPM's effect on accountability and ethics. Therefore, it is required to apply Ordinal Regression Model since it enables the researcher to know the effects of the factors, order of importance and direction of the association of all the factors that were considered in a given model.

8.3 Ordinal Regression

Ordinal regression model was chosen in this study due to the nature of the variables. The variables used in the model are characterized by ordered categorical labels (Rapp, 2012). Thus, they do not give chance to consider them as scale and as continuous variables (Chen & Hughes, 2004). Besides, the real distance between categories does not seem to be constant and it does not make sense to treat them as continuous. Therefore, ordinal regression becomes a preferable modeling tool as it does not require the assumption of normality and constant variance, but the assumption of parallel lines test across all levels of categorical outcomes are required (Workie, 2014; Elamir, 2010).

Ordinal regression also permits the researcher to estimate the magnitude of the effect of the explanatory variables on the outcome variables. Therefore, it is more reasonable if they are treated through the log of the odds of the respondents' agreement and/or disagreement to the event occurs. The log of the odds refers to the ratio of the probability that the event occurs by the probability that the event does not occur in relation to the reference category.

In order to examine the effects of NPM on accountability and ethics in AACA, responses collected on employees' accountability, managers' accountability, organizations' accountability, leadership ethics, and co-workers' ethics were measured on ordered categorical, and five-point likert scale. The five scales measurement ranging from strongly disagree to strongly agree (strongly disagree, disagree, to some extent, agree, and strongly agree) were initially aggregated and divided by their number occurrences so as to determine one summarized variable for each of them.

Also, to enhance its readability and to make the interpretation of the output manageable, responses representing strongly disagree and disagree are recoded as disagree with label = 1 and responses which constitutes agree and strongly agree are similarly treated as agree with label = 3; whereas, responses representing to some extent remained unchanged since they are neither disagree nor agree to events occurred.

Likewise, the explaining variables used for predicting the effects of NPM on accountability and ethics were classified in the same way to keep their compatibility with the model. On the basis of this, the distribution of variables (i.e., both dependent and independent variables) and the effect of NPM over accountability (employees', managers', and organizations' accountability) and ethics (leadership and co-workers' ethics) are presented separately.

8.3.1 Distribution of the Cases

Case analysis helps to understand the distribution of labels assigned for each independent and dependent variable in the model. This also assists the interpretation of the output obtained from ordinal regression analysis, comparing with the label assigned to reference group, i.e., agree.

Accordingly, about 70.1%, 53.9%, 52.1%, 45.1%, and 56.7% of the respondents have agreed on the presence of employees' accountability, managers' accountability, organizations' accountability, leadership ethics, and co-workers' ethics in AACA respectively.

Similarly, the majority of the participants i.e., about 55.3%, 56.0%, 54.2%, 56.7%, and 57.4% of them have also agreed on the presence of the practices of the following NPM elements in AACA: Result oriented performance evaluation, emphasis to output than input and process, competition, private styles of management, and greater discipline and cost-cutting schemes in resource use respectively (See Table 8-2).

The result above signifies that successful practice of NPM in developed countries does not imply it can be conducted in the same manner in developing countries. In addition, the figures and percentages above denote that five of the NPM elements are not implemented in the same way or the same degree in AACA and not every element needs to be implemented to the same degree to be able to call it NPM. It also proves the fact that AACA as the capital city of a developing country, Ethiopia did not fully and successfully put in place an all-inclusive NPM components. As stated by Rabbi and As-Saber (2012), no developing country has fully applied the entire NPM elements. According to these authors, the adopted practices in developing countries instead showed limited success.

Table 8-2: Case Summary for Variables in the Model

Variables	Case Processing Summary		N	Marginal Percentage
Dependent Variables	Employees' accountability	1= Disagree	22	7.7%
		2= To some extent	63	22.2%
		3= Agree	199	70.1%
	Managers' accountability	1= Disagree	42	14.8%
		2= To some extent	89	31.3%
		3= Agree	153	53.9%
	Organizations' accountability	1= Disagree	60	21.1%
		2= To some extent	76	26.8%
		3= Agree	148	52.1%
	Leadership ethics	1= Disagree	67	23.6%
		2= To some extent	89	31.3%
		3= Agree	128	45.1%
Co-workers' ethics	1= Disagree	40	14.1%	
	2= To some extent	83	29.2%	

Variables	Case Processing Summary	N	Marginal Percentage	
Independent Variables		3= Agree	161	56.7%
	Result oriented performance evaluation	1=Disagree	101	35.6%
		2=To some extent	26	9.2%
		3=Agree	157	55.3%
	Greater emphasis to output than input and process	1=Disagree	93	32.7%
		2=To some extent	32	11.3%
		3=Agree	159	56.0%
	Competition	1=Disagree	91	32.0%
		2=To some extent	39	13.7%
		3=Agree	154	54.2%
	Private styles of management	1=Disagree	83	29.2%
		2=To some extent	40	14.1%
		3=Agree	161	56.7%
	Greater discipline and cost-cutting schemes in resource use	1=Disagree	88	31.0%
		2=To some extent	33	11.6%
3=Agree		163	57.4%	
Valid		284	100.0%	
Missing		0		
Total		284		

8.3.2 Overall Model Test Information

Before examining the individual coefficients, one has to check for an overall test of the null hypothesis that assumes effects of the location coefficients for all the variables in the model are zero. Meaning, the model contains at this stage only intercept, it may change in -2 log likelihoods when the variables are added to a model. Therefore, the change in likelihood function has a chi-square distribution whether the cell may be composed of large and /or small observed and predicted values. That means, chi-square distribution is the difference between the two log-likelihoods i.e., the intercept and the final model in which the location variables have an effect. If the difference between the two log-likelihoods in the model shown statistically significant at $P < 0.05$, it is required to reject the null hypothesis as it presupposes the model without predictors is as good as the model with the predictors.

The statistically significant chi-square statistics ($P < 0.05$) indicates that the final model gives a significant improvement over the baseline intercept-only model. This informed the researcher that the model gives better predictions than guessing based on the marginal probabilities for the outcome categories.

Accordingly, the result obtained from the ordinal regression analysis in Table 8-3 for each dependent variable measure chi-square value of statistically significant at $P < 0.01$ and with Chi-Square value = $-2 \text{ Log Likelihood}$ of 321.189 - 222.189 for employees' accountability, 362.492 - 266.127 for managers' accountability, 326.979 - 291.712 for organizations' accountability, 403.581 - 294.539 for leadership ethics, and 342.070 - 265.127 for co-workers' ethics. Thus, this calls for the rejection of the null hypothesis as it presupposes the model is good disregarding the independent variables in the model.

Table 8-3: Model Fitting Information for Each Dependent Variable

Dependent variables	Model	-2 Log Likelihood	Chi-Square	df	Sig.
Employees' accountability	Intercept Only	321.189	99.001	10	.000
	Final	222.189			
Managers' accountability	Intercept Only	362.492	96.365	10	.000
	Final	266.127			
Organizations' accountability	Intercept Only	326.979	35.267	10	.000
	Final	291.712			
Leadership ethics	Intercept Only	403.581	109.041	10	.000
	Final	294.539			
Co-workers' ethics	Intercept Only	342.070	76.943	10	.000
	Final	265.127			

Link function: Logit.

8.3.3 Goodness-of-Model Fit

The Goodness-of-Fit is given in Table 8-4. The table contains Pearson's chi-square statistics for the model and another chi-square statistics based on the deviance. It entails that the goodness of fit model in the ordinal regression is computed using Pearson and Deviance goodness-of-fit measures from the outputs of observed and expected frequencies.

The goodness of fit model criteria requires that the observed and expected cell counts are similar, the value of each statistic is small, and the observed significance level is large to fit well the model. In this case, the researcher obliged to reject the null hypothesis as it states that the model fits if the observed significance level for the goodness of fit statistics is small. On the basis of this, the test result had shown the fact that each of the models has large observed significance levels, i.e., the significance test level should be required to be greater than 0.05 (Table 8.5). Then, the result confirmed that the data and the model predictions are similar and hence it has a good model.

Table 8-4: Goodness of Model Fit

Dependent variables	Chi-Square		Df	Sig.
Employees' accountability	Pearson	210.204	184	.090
	Deviance	174.559	184	.679
Managers' accountability	Pearson	202.343	184	.168
	Deviance	194.256	184	.288
Organizations' accountability	Pearson	183.262	184	.501
	Deviance	204.669	184	.141
Leadership ethics	Pearson	198.075	184	.227
	Deviance	215.895	184	.154
Co-workers' ethics	Pearson	194.151	184	.290
	Deviance	186.900	184	.427

Link function: Logit.

8.3.4 Measuring Strength of the Association between NPM and Accountability and Ethics

In linear regression model, the coefficient of determination, R^2 , summarizes the proportion of variance in the dependent variables associated with the predictor variables with larger R^2 values indicating that more of the variation is explained by the model up to a maximum of 1. For ordinal and logistic regression models, it is not possible to compute practically the same R^2 statistic as

what has been used in linear regression model. Instead, it uses Pseudo R-Squared (R^2) statistics. Pseudo R^2 methods are used to estimate the coefficient of determination. The Pseudo R^2 indicates the proportion of variations in the outcome variables accounted for by the explanatory variables. The larger the Pseudo R-square is, the better is the model fit.

There are three types of pseudo R^2 statistics known as Cox and Snell, Nagelkerke, and McFadden. According to this measure, the model with the largest R^2 statistics is best. Adequately explained Pseudo R-Square is determined by the nature of the outcome variable, and the number and characteristics of the independent variables included in the model. Here, the pseudo R^2 values for instance Nagelkerke = .372, .335, .296, .362, and .278 indicate that five of Hood's (1991) NPM elements included in the model only predict employees' accountability, managers' accountability, organizations' accountability, leadership ethics, and co-workers' ethics by 37.2 %, 33.5%, 29.6%, 36.2 %, and 27.8 % respectively (Table 8-5).

The five NPM elements explain a relatively small proportion of variations in accountability and ethics. This might be due to different factors that remain to affect accountability and ethics like employees', leaders' and organizational characteristics which can be determined by social, behavioral, and economic factors. However, the result does not negate the fact that there is a statistically significant and relatively large difference in accountability and ethics across selected explanatory variables of NPM.

Table 8-5: Pseudo R-Square

Dependent variables	Pseudo R-Square	
Employees' accountability	Cox and Snell	.294
	Nagelkerke	.372
	McFadden	.223
Managers' accountability	Cox and Snell	.288
	Nagelkerke	.335
	McFadden	.173
Organizations' accountability	Cox and Snell	.270

	Nagelkerke	.296
	McFadden	.191
Leadership ethics	Cox and Snell	.319
	Nagelkerke	.362
	McFadden	.181
Co-workers' ethics	Cox and Snell	.237
	Nagelkerke	.278
	McFadden	.141

Link function: Logit

8.3.4.1 Parameter Estimate

The parameter estimates table is the core of the output. It informs us specifically about the relationship between the explanatory variables and the outcome. The parameter estimates summarize the effect of each predictor variables. The sign of coefficient for covariates and relative value of the coefficients give important insights on predictors' effect in the model. For covariates, positive (negative) coefficients indicate positive (inverse) relationships between predictors and the outcome variables.

The parameter estimates for the dependent variables including employees' accountability, managers' accountability, organizations' accountability, leadership ethics, and co-workers' ethics across the independent variables like result oriented performance evaluation, greater emphasis to output than input and process, competition, private styles of management, and greater discipline and cost-cutting schemes which also represent the existing NPM elements in AACA are the crucial output in informing about the relationship between the explanatory variables and the outcome.

The parameter estimate mentioned in Table 8-6 comprises two different coefficients including the threshold and location coefficients. The threshold coefficients are not usually interpreted individually since they only represent the intercepts specifically the point (in terms of a logit), i.e., the dependent variables predicted without considering the independent variables in the

model. But, more information can be found at the location coefficients. The location coefficients are the main focus of the study to understand the magnitude of relationships and effects of the explanatory variables over dependent variables called accountability and ethics.

Estimates for Employees' Accountability: From the observed significance levels in Table 8-6, result oriented performance evaluation was negatively related with employees' accountability in AACA at both labels of Disagree and to some extent. However, the remaining explanatory factors like greater emphasis to output than input and process, competition, the private styles of management, and greater discipline and cost-cutting schemes were negatively correlated with employees' accountability at lower labels of the response categories (i.e., Disagree). This is because the response given is not positively representing the presence of the event under consideration. Moreover, the result obtained from the ordinal regression model has shown the inadequacies of the practices of result based performance evaluation in AACA. It was more likely to reduce employees' accountability by 58.89% and 65.8% respectively compared to reference group in the model.

The above responses and percentages show that accountability can be promoted by using performance measurement. Similarly, NPM advocators insist that a stronger focus on public sector performance improves accountability and performance management has been found to be the means of displaying accountability within the public sector. As stated by Ali, Elham, and Alauddin (2014), provision of services to the citizens and accountability in government organizations can be enhanced through performance based or result oriented management system. Likewise, Haque (2007) has stated that output or result oriented performance measurement has become one of the central benchmarks for accountability to exist. Similarly, Dubnick (2005) noted the fact that accountability and performance improvement are instrumental to each other or one variable can reinforce the other. Therefore, the above result for employees as well as managers and organizations here after verified the fact that accountability could be enhanced through performance measurement system or result based performance evaluation.

According to Aly (2015), the public-sector reform initiatives, especially, the NPM has resulted in the changing accountability concept; from procedural compliance accountability to

accountability in terms of efficiency and result. However, performance management system can be effective and successful in enhancing accountability only when it is properly put in place. The result found does not show the success of result based performance management system in AACA though there is a trend showing the practice. Besides, as the survey result indicates, AACA's public administration has demonstrated a certain degree of deficiency in the adoption of result based management system. It is therefore important to note that the challenges facing the application of result based management or the factors that are hindering the successful implementation of result based management system should be tackled carefully.

Similarly, not giving greater emphasis to output than input and process, inadequacy of competition, limited practices of the private styles of management, and the existence of weak discipline and cost-cutting schemes in AACA are more likely to reduce employees' accountability by 74.67 %, 44.73 %, 51.03 %, and 55.02 % at lower level compared to the reference groups, i.e., compared to those who have agreed on the existence of the practices of these NPM elements.

Greater emphasis to output than input and process, changes that aim at introducing competition mechanism within public sector organizations, the private style of management and the existence of discipline and cost-cutting schemes as important themes of NPM are established to enhance accountability and ethics in the public sector. As stated by Walle and Hammerschmid, (2011), opinion and evidence of whether NPM have actually contributed to the enhancement of efficiency and cost saving is divided. However, there is some consensus on the fact that some business like managerial reforms such as BPR and more economical procurement have helped to reduce waste in the public sector. As these authors added, the main characteristic of NPM is to do away with hierarchical public sector which is in many cases considered as inefficient. Breaking down of the monoliths and introduced competition between units were believed to lead to greater clarity and accountability in the public sector. Correspondingly, Mulgan (1997) stated that the main rationale for contracting out and competition is to improve efficiency in service provision and with the expectation of making service providers accountable.

Also, Lynn(2006)stated that the original assumption of NPM that wasaimed at introducing relatively market like competitions and rewards proportional to performance would produce more accountability than the rule bound bureaucracies of the old public management. There are also different views on the effect of NPM on ethics. As stated by Maesschalck (2001), some authors are assuming that NPM enhances ethics in addition to increasing economy, effectiveness, and efficiency. Maesschalckfurther explained that the majority of scholars assume implicitly that NPM will at least not have a negative impact on public servants’ ethics.The above argument suggests that the introduction of NPM in the public sector will have positive impact on employees’ and leadership ethics.

In line with the above argument, the analysis in Table 8.6, 8.7, 8.8, 8.9 and 8.10 revealed that despite the implementation problems,NPM does not necessary have a negative effect on accountability and ethics. Though the contribution of NPM is very limited, result oriented performance, greater emphasis to output than input and process, competition, the private style of management, and greater discipline and cost-cutting schemes as important NPM components have impacted accountability and ethics in a positive way.

Table 8-6: Parameter Estimate for Employees’ Accountability

Variables with its labels			Estimate	Std. Error	Wald	df	Sig.	Odds Ratio	Log Likelihood in %	95% Confidence Interval	
										Lower Bound	Upper Bound
Thresh old	Employees’ accountability	Disagre e	-4.894	.445	120.678	1	.000	0.0074	-99.25%	-5.767	-4.021
		To some extent	-2.734	.339	65.024	1	.000	0.0650	-93.5%	-3.399	-2.070
Locatio n	Result oriented	Disagre e	-.889	.345	6.631	1	.010	.4111	58.89%	-1.566	-.212

	performance evaluation	To some extent	-1.073	.523	4.211	1	.040	.3420	65.8%	-2.097	-.048
		Agree	0 ^a	.	.	0	.			.	.
	Greater emphasis to output than input and process;	Disagree	-1.373	.363	14.336	1	.000	.2533	74.67%	-2.084	-.662
		To some extent	-.854	.491	3.026	1	.082	.4257	57.43%	-1.816	.108
		Agree	0 ^a	.	.	0	.			.	.
	Competition	Disagree	-.593	.342	3.003	1	.083	.5527	44.73%	-1.264	.078
		To some extent	.038	.504	.006	1	.940	1.0387	3.87%	-.950	1.026
		Agree	0 ^a	.	.	0	.			.	.
	The private styles of management	Disagree	-.714	.354	4.083	1	.043	.4897	51.03	-1.407	-.021
		To some extent	-.396	.487	.661	1	.416	.6730	32.70%	-1.351	.559
		Agree	0 ^a	.	.	0	.			.	.
	Greater discipline and cost cutting schemes	Disagree	-.799	.342	5.460	1	.019	.4498	55.02%	-1.470	-.129
		To some extent	.550	.590	.868	1	.352	1.7333	73.33%	-.607	1.707
		Agree	0 ^a	.	.	0	.			.	.

Link function: Logit.

a. This parameter is set to zero because it is redundant

Managers' Accountability: As noted earlier, managers' accountability were represented by aggregate outcome of the responses given on the basis of the following indicators: The manager often provide information about her/his actions to her/his immediate superior; often has to explain and justify her/his actions to her/his immediate superior; If things do not go the way that they should be done and found to be unjustifiable, she/he will be sanctioned; if she/he carries out things the way that they should be done, she/he will be praised; employees can hold managers accountable when their rights are affected by her/his decisions; and the public can hold them accountable when their rights are affected by her/his decisions.

On the basis of these aggregate result category, the parameter estimates for managers' accountability in the ordinal regression model is shown, as the threshold level of managers' accountability was more likely to decrease for those respondents who have disagreed and agreed to some extent on the presence of managerial accountability by 97.51% and 79.2% respectively assuming that everything is being constant or comparing it with the reference group. Otherwise, if the five-mentioned pillar of NPM were included in the model, the situations had been changed and confirmed their significant effects up on the managers' accountability.

Accordingly, those who have disagreed on the existence of the practices of result oriented performance evaluation, emphasis to output than input and process, and private styles of management compared to the reference group categories had revealed the presence of statically significant effects of the factors on the level of the managers' accountability in AACAA at $P < 0.05$. Hence, if everything is assumed to be constant, the presence of inadequate practices of result oriented performance evaluation, lack of giving emphasis to output than input and process, and adhering inappropriate practices of private styles of management approach were more likely to reduce managers' accountability in AACAA by 68.46%, 70.83%, and 62.39% respectively compared to the reference group. However, competition, and greater discipline and cost-cutting schemes in resources use as important elements of NPM were not shown statistically significant difference ($p > 0.05$).

Table 8-7: Parameter Estimates for Managers' Accountability

Variables with its labels			Estimate	Std. Error	Wald	df	Sig.	Odds Ratio	Log Likelihood in %	95% Confidence Interval	
										Lower Bound	Upper Bound
Threshold	Managerial accountability	Disagree	-3.692	.330	125.192	1	.000	0.0249	97.51%	-4.339	-3.045
		To some extent	-1.570	.245	41.004	1	.000	0.2080	79.2%	-2.050	-1.089
Location	Result oriented performance evaluation	Disagree	-1.154	.438	6.951	1	.008	0.3154	68.46%	-2.013	-.296
		To some extent	-1.081	.301	12.890	1	.000	0.3393	66.07%	-1.671	-.491
		Agree	0 ^a	.	.	0	.			.	.
	Greater emphasis to output than input and process	Disagree	-1.232	.321	14.718	1	.000	0.2917	70.83%	-1.862	-.603
		To some extent	-.435	.409	1.131	1	.287	0.6473	35.27%	-1.236	.366
		Agree	0 ^a	.	.	0	.			.	.
	Competition	Disagree	-.404	.391	1.068	1	.301	0.6676	33.24%	-1.171	.362
		To some extent	-.021	.310	.005	1	.946	0.9792	2.08%	-.628	.586
		Agree	0 ^a	.	.	0	.			.	.
	The private styles of management	Disagree	-.978	.320	9.357	1	.002	0.3761	62.39%	-1.604	-.351
		To some extent	-.595	.393	2.286	1	.131	0.5516	44.84%	-1.366	.176
		Agree	0 ^a	.	.	0	.			.	.
Greater discipline and cost-cutting schemes in using resources	Disagree	-.377	.308	1.496	1	.221	0.6859	31.41%	-.982	.227	
	To some extent	.492	.438	1.259	1	.262	1.6356	63.56%	-.367	1.351	
	Agree	0 ^a	.	.	0	.			.	.	

Link function: Logit.

a. This parameter is set to zero because it is redundant

Organizations' Accountability: Organizations' accountability at threshold level i.e., without affected by the location variables by those respondents who have disagreed and agreed to some extent on the presence of organizations' accountability is more likely to reduce by 89.3% and 58.06% compared to those respondents who have agreed on the presence of organizations' accountability in AACCA.

But when considering the basic pillar of NPM elements included in the model, differences observed in explaining organizations' accountability across the explanatory variables, and hence, only two variables like practicing result based performance evaluations and competition were shown the presence of statistically significant difference on organizations' accountability at $P < 0.05$. As a result, if everything is assumed constant, organizations' accountability is more likely to reduce by 57.34% due to the inadequacy of result based performance evaluation practices.

Similarly, organizations' accountability is more likely to reduce by 58.1% from the reference categories or from those who have confirmed the presence of the practices of competition in AACCA. Whereas, the remaining variables in the model including greater emphasis to output than input and process, the private styles of management, and greater discipline and cost-cutting schemes in using resources had not shown statistically significant effects on the change of organizations' accountability in the AACCA (Table 8-9).

Table 8-8: Parameter Estimates for Organizations' Accountability

Variables with its labels			Estimate	Std. Error	Wald	df	Sig.	Odds Ratio	Log Likelihood in %	95% Confidence Interval	
										Lower Bound	Upper Bound
Threshold	Organizations' accountability	Disagree	-2.235	.250	80.129	1	.000	0.1070	89.3%	-2.724	-1.746
		To some extent	-.869	.214	16.474	1	.000	0.4194	58.06%	-1.289	-.450
Location	Result oriented performance evaluation	Disagree	-.852	.288	8.747	1	.003	0.4266	57.34%	-1.417	-.287
		To some extent	-.113	.436	.067	1	.796	0.8932	10.68%	-.968	.742
		Agree	0 ^a	.	.	0	.			.	.
	Greater emphasis to output than input and process	Disagree	-.300	.309	.940	1	.332	0.7408	25.92%	-.907	.306
		To some extent	-.265	.384	.479	1	.489	0.7672	23.28%	-1.017	.487
		Agree	0 ^a	.	.	0	.			.	.
	Competition	Disagree	-.870	.361	5.797	1	.016	0.4190	58.10%	-1.578	-.162
		To some extent	.028	.298	.009	1	.925	1.0284	2.84	-.555	.611
		Agree	0 ^a	.	.	0	.			.	.
	The private styles of management	Disagree	-.491	.308	2.537	1	.111	0.6120	38.80%	-1.094	.113
		To some extent	-.463	.370	1.566	1	.211	0.6294	37.06%	-1.189	.262
		Agree	0 ^a	.	.	0	.			.	.
Greater discipline and cost-cutting schemes in using resources	Disagree	-.213	.297	.513	1	.474	0.8082	19.18%	-.795	.370	
	To some extent	.460	.406	1.288	1	.256	1.5841	58.41%	-.335	1.256	
	Agree	0 ^a	.	.	0	.			.	.	

Link function: Logit.

a. This parameter is set to zero because it is redundant

Leadership Ethics: Leadership ethics was representing the aggregates of responses given for the following: shows a strong concern for ethical and moral values; communicates clear ethical standards for members; sets an example of ethical behavior in decisions and actions; is honest and can be trusted to tell the truth; keeps his/her actions consistent with the stated values (“Walk the talk”); is fair and unbiased when assigning tasks to members; can be trusted to carry out promises and commitments; insists on doing what is fair and ethical, even in a difficult situation; acknowledges mistakes and takes responsibility for her/him; regards honesty and integrity as important personal values; sets an example of dedication and self-sacrifice for the organization, opposes unethical practices to increase performance; is fair and objective when evaluating members’ performance and providing rewards; puts the needs of others above her/his own self-interest; and holds members accountable for using unethical practices in their work.

As mentioned in Table 8-9 below at threshold level of respondents who have disagreed and agreed to some extent on the presence and adequacy of leadership ethics in AACA are more likely to reduce by 95.68% and 70.68% respectively compared to those respondents who have agreed on the presence of ethical leadership. Moreover, from explaining variables included in the model, four of them such as greater emphasis to output than input and process, competition, the private styles of management and greater discipline and cost-cutting schemes in using resources had explained leadership ethics significantly at $P < 0.05$ though their degree varies across subsequent labels. Accordingly, not giving greater emphasis to output than input and process, inadequate competition, absence of private style management, and existence poor discipline and cost-cutting schemes in resources use were more likely to reduce quality of leadership ethics by 70.65%, 60.86%, 53.56%, and 63.80% respectively compared to the respondents who have agreed on the presences of the practices of the above NPM elements.

Table 8-9: Parameter Estimates for Leadership Ethics

Variables with its labels			Estimate	Std. Error	Wald	df	Sig.	Odds Ratio	Log Likelihood in %	95% Confidence Interval	
										Lower Bound	Upper Bound
Threshold	Leadership ethics	Disagree	-3.143	.295	113.269	1	.000	0.0432	95.68%	-3.722	-2.564
		To some extent	-1.227	.226	29.534	1	.000	0.2932	70.68%	-1.669	-.784
Location	Result oriented performance evaluation	Disagree	-.188	.292	.414	1	.520	0.8286	17.14%	-.761	.385
		To some extent	-.340	.428	.634	1	.426	0.7118	28.82%	-1.178	.498
		Agree	0 ^a	.	.	0	.			.	.
	Greater emphasis to output than input and process	Disagree	-1.226	.315	15.135	1	.000	0.2935	70.65%	-1.843	-.608
		To some extent	-.747	.382	3.825	1	.050	0.4738	52.62%	-1.496	.002
		Agree	0 ^a	.	.	0	.			.	.
	Competition	Disagree	-.938	.300	9.806	1	.002	0.3914	60.86%	-1.525	-.351
		To some extent	-.092	.376	.060	1	.806	0.9121	8.79%	-.829	.645
		Agree	0 ^a	.	.	0	.			.	.
	The private styles of management	Disagree	-.767	.311	6.061	1	.014	0.4644	53.56%	-1.377	-.156
		To some extent	-.574	.377	2.320	1	.128	0.5633	43.67%	-1.313	.165
		Agree	0 ^a	.	.	0	.			.	.
Greater discipline and cost-cutting schemes	Disagree	-1.016	.301	11.368	1	.001	0.3620	63.80%	-1.607	-.425	
	To some extent	-.655	.393	2.781	1	.095	0.5194	48.06%	-1.424	.115	
	Agree	0 ^a	.	.	0	.			.	.	

Link function: Logit.

a. This parameter is set to zero because it is redundant

Co-Workers' Ethics: Similarly, co-workers' ethics was established from the aggregates of responses given for the following: they do respect the rule of law in the performance of their duties; they are impartial in the performance of their duties; they often demonstrate loyalty in the performance of their duties; they are open and transparent in discharging their duties; they often demonstrate integrity in their work; they perform their duties professionally; they often give respect to citizens and fellow civil servants; they are honest in the performance of their duties; they give priority to the public interest than their own; they are neutral in the performance of their duties; they often adhere to clear standards that are seen as just and reasonable; they hate very much corruption and theft; and they are efficient and effective in the performance of their duties.

These aggregate dependent variables were statistically significantly explained by the following: greater emphasis to output than input and process and greater discipline and cost-cutting schemes in resource use are among NPM elements included in the model. Therefore, not giving greater emphasis to output than input and process, and existence of poor discipline and cost-cutting schemes in using resources are more likely to reduce coworkers' ethics by 67.70% and 64.73% respectively from those respondents who have agreed on the presence of giving greater emphasis to output than input and process, and discipline and cost-cutting schemes in resource use in AACA.

Table 8-10: Parameter Estimates for Co-Workers' Ethics

Variables with its labels			Estimate	Std. Error	Wald	df	Sig.	Odds Ratio	Log Likelihood in %	95% Confidence Interval	
										Lower Bound	Upper Bound
Threshold	Co-workers' ethics	Disagree	-3.309	.310	113.651	1	.000	0.0366	96.34%	-3.918	-2.701
		To some extent	-1.383	.237	33.950	1	.000	0.2508	74.92%	-1.849	-.918
Location	Result oriented performance evaluation	Disagree	-.386	.299	1.661	1	.197	0.6798	32.02%	-.972	.201
		To some extent	-.106	.470	.051	1	.822	0.8994	10.06%	-1.028	.815
		Agree	0 ^a	.	.	0
	Greater emphasis to output than input and process	Disagree	-1.130	.323	12.222	1	.000	0.3230	67.70%	-1.763	-.496
		To some extent	-.444	.413	1.156	1	.282	0.6415	35.85%	-1.253	.365
		Agree	0 ^a	.	.	0
	Competition	Disagree	-.089	.309	.082	1	.774	0.9148	8.52%	-.695	.518
		To some extent	-.198	.399	.245	1	.621	0.8204	17.96%	-.980	.584
		Agree	0 ^a	.	.	0
	The private styles of management	Disagree	-.568	.315	3.250	1	.071	0.5667	43.33%	-1.186	.050
		To some extent	.724	.440	2.706	1	.100	2.0627	6.27%	-.139	1.586
		Agree	0 ^a	.	.	0
Greater discipline and cost-cutting schemes in using resources	Disagree	-1.042	.407	6.561	1	.010	0.3527	64.73%	-1.840	-.245	
	To some extent	-.942	.307	9.398	1	.002	0.3898	61.02%	-1.544	-.340	
	Agree	0 ^a	.	.	0	

Link function: Logit.

a. This parameter is set to zero because it is redundant

8.3.4.2 Test of Parallel Lines

While fitting with an ordinal regression, one has to assume that the relationships between the independent/explanatory variables and the dependent variable/the logits are the same for all the dependent variables/logits. That shows the outcome achieved from the model is a set of parallel lines and also considers one for each labels/category of outcome variables. This test compares the ordinal model which has one set of coefficients for all thresholds (labeled as the Null Hypothesis) to a model with a separate set of coefficients for each threshold (labeled as, General). If the general model gives a significantly better fit to the data than the ordinal (proportional odds) model (i.e. if $p < .05$), then the researcher rejects the assumption of proportional odds.

Therefore, the appropriateness and assumption fit for this was checked by comparing the coefficients of Null Hypothesis and general coefficients in the model to know whether they are statistically equal or not. The test result for each model in Table 8-11 below shows the row labeled as Null Hypothesis contains $-2 \log$ -likelihood for the constrained model i.e., the model that assumes the lines are parallel, and the row labeled as General (i.e. it represents the model with separate lines or planes) as they were not reflecting the presence of statistically significant difference.

Whether there are equal or not statistically significant difference between the null hypothesis and the general was checked by chi-square outcomes. In this case, the Chi-Square is the difference between the two $-2 \log$ likelihood values. As a result, the observed significance level for the change for each model concluded as it has large Chi-Square difference values which verified that no significance difference among the null hypothesis and the general which assumes the lines or planes are parallel. Thus, no need of rejecting the null hypothesis considers the lines are parallel.

Table 8-11: Test of Parallel Lines

Dependent Variables	Test of Parallel Lines ^a				
	Model	-2 Log Likelihood	Chi-Square	df	Sig.
Employees' accountability	Null Hypothesis	222.189	13.177	10	.214
	General	209.012			
Managers' accountability	Null Hypothesis	266.127	4.643	10	.914
	General	261.484			
Organizations' accountability	Null Hypothesis	291.712	4.917	10	.897
	General	286.796			
Leadership ethics	Null Hypothesis	294.539	10.422	10	.404
	General	284.117			
Co-workers' ethics	Null Hypothesis	265.127	14.751	10	.141
	General	250.376			

The null hypothesis states that the location parameters (slope coefficients) are the same across response categories.

a. Link function: Logit.

8.4 Summary

This chapter has summarized the results and conclusions drawn from the analysis. The major purpose of employing ordinal regression analysis was to discover the variables that are better predicting accountability and ethics. As a result, this section mainly presents summary of the results aiming at addressing the principal research question of the study, which is to examine the effects of NPM on accountability and ethics in AACA.

The independent variables that were used to test this relationship and effect of NPM on accountability and ethics comprise result oriented performance evaluation, greater emphasis to output than input and process, competition, private style of management, and greater discipline and cost-cutting schemes in resource use. The dependent variables that need to be explained are accountability and ethics. Spearman Correlation Coefficient was used in testing the presumptions on accountability and ethics relationship with NPM.

This chapter revealed that NPM and its five dimensions as independent variable are related positively with accountability (employees', managers', and organizations' accountabilities) and ethics (leadership and coworkers' ethics). It appears to show that, organizations that are embarked on NPM would become better in terms of accountability and ethics than organizations that are not.

CHAPTER NINE

CONCLUSIONS AND IMPLICATIONS

9.1 Introduction

The main objective of this research is to examine the effects of NPM on accountability and ethics in AACA. There are justifications for investigating NPM, and accountability and ethics interaction. Despite the number of research conducted on CSRPs, little empirical research is done in Ethiopia as well as AACA context about the nature and characteristics of these reform programs in the context of the NPM. There is also limited knowledge about the status of civil servants' ethics and accountability in Addis Ababa city. Moreover, comprehensive research about the effect of NPM on accountability and ethics is very scarce worldwide and almost it is non-existent in the Ethiopia as well as AACA context. In light of this, conclusion, knowledge contribution, policy implications, and direction for future research drawn from the findings are presented below.

9.2 Conclusions

Conclusion entails empirical knowledge engendered on the four interrelated and key components of the study: (1) Nature and characteristics of CSRPs with respect to NPM, (2) The current status of civil servants' ethics and accountability, (3) Role of oversight institutions in reinforcing accountability and ethics, and (4) Effects of NPM on accountability and ethics. The collective outcomes of the conclusions have contributed to bridge or narrow the gaps noted in knowledge with respect to accountability and ethics relationship with NPM as well as NPM's effect on accountability and ethics.

9.2.1 Nature and Characteristics of CSRPs with Respect to NPM

This study sets out to examine the CSRPs that have been carried out in AACA at different times and sought to determine how these reform programs conform to the NPM model. On top of this, the study tries to address the kind of relationship NPM has with ethics and accountability. In this thesis, it is pointed out that though there is wide spread research work on CSRPs, comprehensive research that examines these reforms in the context of

NPM are very scarce and this type of finding is rarely documented in the literature written before. Hence, investigations and analysis of primary and secondary data have revealed the nature and characteristics of the reform programs with respect to NPM in AACA. As per the findings of this study, despite the prevailing institutional and bureaucratic weaknesses, many of the CSRPs carried out in AACA are in line with the NPM concept. Except managerial autonomy and disaggregation of units, five elements of Hood's NPM model are found to be practiced to a certain degree and reasonably explained the NPM model. These are: (1) Result oriented performance evaluation, (2) Greater emphasis to output than input and process, (3) Competition, (4) The private style of management, and (5) Discipline and cost cutting schemes in resource use.

The introduction of a series of reform programs in AACA at different times was an attempt to make the government functionaries effective, efficient, ethical, accountable, and make government services closest to the public at grassroots level. However, despite the continuous attempts and investment of scarce resources in the system, the reform practices were challenging and slow. This study has identified many important factors that are affecting the practices of the CSRPs in AACA. Weak customization of reforms with the local contexts, lack of leaders' commitments in realizing the very purposes of reform programs, low-level motivations of civil servants and inadequacy of the required skill, knowledge and unethical practices within the system are among the major factors that impede and make the reform process challenging.

9.2.2 The current Status of Civil Servants' Ethics and Accountability

In an effort to generate empirical findings on how accountability and ethics are related to NPM, this study has also looked into the status of civil servants' ethics and accountability in AACA. The finding of the study showed that civil servants and officials in AACA lack the necessary ethical behaviors in the provision of services to the citizens. To a large extent, these are caused by multiple factors such as lack of commitment and determination to eliminate unethical acts and the problem of transforming ethical principles into practices etc. These behaviors also undermine their capacity to act ethically and promote the desired ethical atmosphere. The study also accentuated the need for

people with the required ethical behavior and integrity to foster ethical leadership and to shape the behavior of civil servants in conformity with the very essence of the reform programs.

Likewise, the legal and institutional frameworks were instituted in AACA. These frameworks were geared towards creating a civil servant with ethical behavior and capable of delivering efficient public services. It is found that many useful proclamations, rules, regulations and directives have been enacted and promulgated by the city administration including the FDRE Government with the objective of governing ethics and accountability. However, many of them lack practical and effective implementations. There were little coordination and supervision in shaping the behaviors of civil servants according to the standards and norms enacted. Besides, the communication as well as the implementation of different policies to service providers and service recipients is found to be stumpy and ineffective.

9.2.3 Role of Different Accountability and Watchdog Institutions in Reinforcing Accountability and Ethics

Accountability and Watchdog institutions are important actors in reinforcing accountability and ethics. Though the nature and range of involvement of these institutions are different, they can contribute best in reinforcing accountability. In light of this, roles of the following institutions in bolstering accountability in AACA were examined: (1) Legislature, (2) Media, (3) Judiciary, (4) Administrative Tribunal, (5) Auditors General, (6) Ethics and Anti-Corruption Commission, (7) Ombudsman, (8) Human Rights Commission, (9) Civil Society Organizations, and (10) International Organizations. Although their range of involvement and impact vary from one institution to the other, the study reveals that the roles these institutions are playing in reinforcing accountability and ethics in AACA were not found to be satisfactory. Despite the government's pronouncement that oversight institutions are established to fight unethical and unaccountable practices, the independence and autonomy of many of these institutions in the fight against unaccountable and undesirable behaviors is challenged and

have major defects. As a result, governance problems in the provision of public services are mounting in the city administration.

9.2.4 Effects of NPM on Accountability and Ethics

In spite of the prevalence of accountability and ethics problems in AACCA, the relationship between NPM and accountability as well as NPM and ethics are found to be positive. Spearman Correlation Coefficient matrix revealed the strength and direction of the association between NPM and accountability, and NPM and ethics. The result showed significantly positive relationship between NPM elements and accountability and ethics. Regarding the predictive effects of NPM on accountability and ethics, it appeared to have good interaction with NPM. The ordinal regression result indicates that NPM elements included in the model only predict employees' accountability, managers' accountability, organizations' accountability, leadership ethics, and co-workers' ethics by 37.2%, 33.5%, 29.6%, 36.2%, and 27.8% respectively. Thus, NPM elements included in the model explain a relatively small proportion of variations in accountability and ethics. This might be due to the prevailing institutional and bureaucratic weaknesses and shallow practices of NPM in AACCA. However, the result does not negate the fact that there are statistically significant and relatively large differences in accountability and ethics across the explanatory variables.

9.3 Knowledge Contribution of the Study

The rationale for the emergence of NPM was the weaknesses of TPA commonly known as the bureaucratic model. Hence, NPM was aimed at correcting the deficiency of TPA and makes government functionaries more economical, effective, responsible, ethical and accountable. However, reviewed literature reveals that different researchers have various assumptions and positions on how accountability and ethics are associated with NPM as well as about the effects of NPM on accountability and ethics. Especially, the proponents of TPA were against NPM arguing that the introduction of NPM was the time at which the destruction of public administration ethos began. On the other side, those who favored NPM have tried to propose their own justifications in favor of NPM and criticizing TPA arguing that it is bureaucratic, lacks accountability and provides

opportunity for unethical and undesirable behaviors. However, despite the debates and arguments, the conflicting views of the two paradigm proponents about the effects of NPM on accountability and ethics is still unsolved and were not proved using sufficient empirical evidence.

Despite the fact that research has been conducted on CSRPs, comprehensive works on ethics and accountability in the Ethiopia and AACCA contexts are very scarce. As a result, there was dearth of literature on the status of civil servants' ethics and accountability in AACCA context. It is the first type of research in its kind that tried to examine accountability and ethics problems discretely in AACCA context. This study, therefore, verified the existence of multiple unethical practices and accountability problems. It also identified the key factors that are impeding the enhancement of accountability and ethics in AACCA. Besides, little is known on how NPM impacts accountability and ethics worldwide. The amount of research done or the knowledge produced is not sufficiently reflective of NPM, and accountability and ethics interaction. Comprehensive research on accountability and ethics relationship with NPM in the Ethiopia as well as in AACCA contexts is nearly non-existent. This study has, therefore, attempted to prove this relationship empirically and made a contribution on this less researched topic and narrows the gap in knowledge.

9.4 Policy Implications

Based on the findings of this study, the following recommendations are suggested in order to improve accountability and ethics in AACCA and enhance the proper implementation of reform programs.

Address Reform Initiation and Implementation Problems: In many studies, it is indicated that most reform programs in Africa including Ethiopia are not initiated from within. It is rather imposed by donors and other international organizations such as IMF and the WB. Indeed, the presence of weaknesses in diagnosing existing problems and customizing the reform programs to the local contexts were identified as problems in this study. Problems encountered during the practice stage have been also noted. Capacity problems in many of the study bureaus and the tendency to see reform programs as a

fashion are some of the major problems elucidated in this study. In addition, the performance of reform monitoring and follow up institutions is found to be unsatisfactory. This indicates the need to research demands for different reform programs before their introduction. Reforms should be carefully reviewed before they are adopted and put in place on the ground as the reform doctrines are the products of the developed nations that have dissimilar socio-cultural, political, and administrative features compared to the developing countries. In order to increase the effectiveness of reform programs, it is also better to ensure its adaptability with the local contexts.

Establishing Comprehensive and Enforceable Ethical Code of Conduct for Civil

Servants: The need for enforceable code of conduct for civil servants is beyond a shadow of doubt. As this study results indicated, Ethiopia does not have comprehensive national code of conduct for civil servants except the preparation of the draft code of conduct by the Ministry of Civil Service. Besides, AACA did not adopt its own code for civil servants. Therefore, it is important to have a code of conduct to bring about tangible behavioral changes or improve civil servants' ethics. Accordingly, people who are entrusted with leadership positions should be committed to ensure the preparation and enactment of national comprehensive ethical code of conducts, code of conduct for AACA as well as the realization of the very essence of ethics code of conduct on the ground.

Avoiding Intrusion of Politics in the Civil Service: Civil servants are governments' machineries that can help implement policies and facilitate the provisions of service to the public. They are supposed to be politically neutral in carrying out their duties and they should not assume the role of politicians as well. As stated by Uwizeyimana (2013), fusion of politics and administration is very dangerous and it will lead to corruption, maladministration, laziness and lack of accountability to the public. In fact, the politicization of civil servants and being a member of dominant political party is not strange in many of the African countries (Mbaku, 1996). Therefore, AACA is not an exception from this kind of problems. However, taking into consideration the negative consequences of the infusion of politics and administration, AACA should take a

practical step to treat civil servants fairly and equitably. It is important to ensure justice, accountability and better implementation of government policies.

Ensure the Presence of Ethical Leadership: To be effective on leadership, leaders should demonstrate exemplary and ethical leadership. Usually, leaders can play a paramount role in nurturing and improving the subordinates' ethics. If leaders are demonstrating ethical leadership and become role models, organizational ethics can also be improved. This study, however, showed leadership ethics deficits. The city administration, therefore, should take practical and tangible step to put in place leaders who walk the talk, exemplary and committed to the ethics standards better than the ordinary civil servants in AACCA. Leaders' development programs can play an important role in improving the ethics situation in the city administration. In addition to the development programs, AACCA should recruit, select and assign leaders prudently to have a better return from its investment.

Ensure Adequate Remuneration for Civil Servants: Lack of fair amount of remuneration to government employees was identified as one of the factors that are exacerbating ethics problems in AACCA. Therefore, in order to stimulate and sustain ethical conducts in the city administration, it will be better to pay the civil servant fair amount of salary and benefit that is commensurate with the civil servants' responsibilities and performances to enable them to live with dignity.

Ensure Effective Communication of Policies: As it was explained in this study, different policies were formulated and adopted by the FDRE government as well as AACCA with the objectives of ensuring accountability and ethical practices. However, the awareness levels of the public and service providers are very minimal. Therefore, enactment of various proclamations or promulgation of rules and regulations should not be taken as a guarantee. Policies will remain on paper unless actors are acting up on them. Apart from enactment of policies, the city administration must introduce effective and continuous awareness programs about different policies to the public and civil servants. Citizens should be oriented about rights and obligations of service providers. This should be done through relentless and consistent media campaign and education.

Encourage Public Participation: As per the findings of this study, the participation of the public in the course of practicing reform programs as well as in ensuring accountability and ethics in AACA is found to be low. Low participation of the public in the affairs of AACA will provide rooms for government officials to abuse the power vested on them. The citizens should not be considered as end users but also as principals and owners capable of seeking solutions for the challenges that AACA is facing today. Empowering the public will create demand side pressure to AACA and can be helpful in creating a culture of accountability. Thus, the public should be provided with opportunities in order to get their opinion and feedback on the practices of government policies as well as about the conduct of civil servants. Service providers should be open and transparent in their decisions and actions and they should disclose their decisions to the public. These will help the city administration to ensure accountability and ethics in its functionaries.

Establish Strong Accountability Systems: Accountability has to do with the institutionalizing of the system of check and balance in order to restrain abuses of power. The independence of institutions should be ensured. Independence which is an important characteristic for well-functioning government organs can determine the positions and the functioning of different institutions as mechanism to ensure accountability in any government. The finding of this study showed that the role of many institutions in reinforcing accountability in AACA is found to be weak. Therefore, these accountability institutions should be granted more freedom in the area of their responsibilities and duties by FDRE government as well as AACA beyond the formal statutory provisions.

9.5 Suggestions for Future Research

The central objective of this study was to examine accountability and ethics relationship with NPM in AACA. In order to achieve the objectives of this study, the current status of civil servants' ethics and accountability in AACA were examined. However, the study has some kind of limitations, which need further investigations by researchers in the future. The findings of this study cannot be generalized to the entire Ethiopia as well as to other parts of the country. The study was limited in scope to AACA only. Thus,

comparative study that would broaden the scope would generate more meaningful and useful outcomes than the present study. Therefore, future researchers may compare AACA with other cities or one regional state with other regional states or among regional states. It is, therefore, important to suggest a comparative research between or among different cities in the country. In addition, future researchers may involve politicians as research participant in order to include their viewpoints, especially on the prevailing political commitment of leaders in strengthening different accountability and watchdog institutions and maintaining the balance among the three branches of government. Similarly, implementation effectiveness of each NPM element was not examined in this study. Hence, future researchers can examine and evaluate how far NPM elements are put in place in AACA and what kind of positive and negative outcomes they have brought.

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APPENDICES

Appendix 1: List of Sub Cities in AACA

SN	Sub-Cities	Population
1	Gulele	267381
2	Yeka	346484
3	Kolfe-Keranewo	415647
4	Addis Ketema	268099
5	Akaki- Kaliti	181202
6	Arada	212009
7	Nefas Silk Lafto	316108
8	Bole	308714
9	Kirkos	220991
10	Lideta	201613
Total=10		

Source:(Gebeyehu, 2011, pp. 161-251)

Appendix 2: List of Bureaus under AACA

No.	Description
1	Bureau of Capacity Building
2	Bureau of Education
3	Bureau of Trade and Industry Development
4	Bureau of Construction and housing department
5	Bureau of Finance and Economic Development
6	Bureau of Health
7	Bureau of Justice
8	Land development and management Bureau
9	Road and Transport Bureau
10	Bureau of women, children and youth affairs
11	Bureau of culture and tourism
12	Bureau of labor and Social Affairs
13	Bureau of Communication Affairs
14	Micro and Small Enterprises Development Bureau

Source: (AACC, 2012, p. 4)

Appendix 3: English Version Survey Questionnaire

Addis Ababa University
College of Business and Economics
Department of Public Administration and Development Management
Survey Questionnaire to be filled by employees of Different bureaus in Addis Ababa
City Administration

Dear Participant:

I am a PhD student at Addis Ababa University, College of Business and Economics, Department of Public Administration and Development Management. For my PhD dissertation, I am examining *the relationship between New Public Management driven reform programs and Accountability, and Ethics in Addis Ababa City Government*. Because you are appropriate for giving me the right information and currently working in the study organization, I am kindly requesting you to participate in this study by completing the attached surveys. Participation is strictly voluntary.

The questionnaire will take approximately *20 to 25 minutes* of your time. All information you provide will remain confidential and thus, please **do not include your name**. Copies of the final research work will be provided to Addis Ababa University, Addis Ababa City Government and your organization as well. Please answer all questions as honestly as possible and return the completed questionnaire to the address indicated on the envelop.

Thank you for taking the time to assist me in undertaking this research. The data collected will provide useful information regarding the relationship between new public management driven reform programs and accountability, and ethics in Addis Ababa City Government. If you would like a summary copy of this study, please complete the questionnaire and keep the address below with you and contact the researcher when needed. Completing and returning of the questionnaire will indicate your willingness to participate in this study. If you require additional information or have questions, please contact me using the address listed below. If you are not satisfied with the manner in which this study is being conducted, you may report (anonymously if you choose so) any complaints to the Department of Public Administration and Development Management, Addis Ababa University through the following telephone address: +251-111229602

Sincerely, Girmaw Assemie

Cell phone: 0913-670177 (e-mail address: gassemie@yahoo.com)

Section one: Personal Background

Instruction: - Please put a thick mark (✓) in front of your choice for question No. 1 and fill in the blank spaces for others.

1. Gender: - Male Female _____
2. Age:- _____
3. Level of Education:- _____ 5. Work Experience in years:- _____
4. Name of Organization you are working for: _____

Section two: Questions on NPM driven Reform Components

Instruction: -Please indicate your level of agreement/disagreement with the following statements using the scale of 1-5 where 1=**Strongly disagree**, 2=**Disagree**, 3=**To some extent**, 4=**Agree**, 5=**Strongly agree**

No	Elements of New Public Management	Strongly disagree	Disagree	To some extent	Agree	Strongly agree
1	There is managerial autonomy to make decisions in the organization.					
2	Result oriented performance evaluation has been practiced in the organization so far.					
3	The organization has given greater emphasis to output than input and process.					
4	There is disaggregation of units that allow separate provision of services.					
5	There is greater competition among departments and employees for better results.					
6	The private styles of management have been practiced up to now.					
7	There is greater discipline and cost-cutting schemes in using resources.					

Section three: Questions on Accountability

Instruction: - Please indicate your level of agreement/disagreement with the following statements using the scale of 1-5 where **1=Strongly disagree, 2=Disagree, 3=To some extent, 4=Agree, 5=Strongly agree**

No	Individual (Personal) Accountability	Strongly disagree	Disagree	To some extent	Agree	Strongly agree
8	I often provide information about my duties which I am required to perform to my immediate superior.					
9	I often explain and justify the appropriateness of my actions to my immediate superior.					
10	If things do not go the way that they should be and it is found to be unjustifiable, my immediate superior will sanction me.					
11	If I do things the way that they should be done, my immediate superior will recognize it or praise me.					
12	My direct reports can hold me accountable when their rights or interests are affected by my decisions.					
13	Customers can hold me accountable when their rights or interests are affected by my decisions.					
	Employees' perceptions of managers' accountability					
	My boss:					
14	often provide information about her/his actions to					

	her/his immediate superior.					
15	often has to explain and justify her/his actions to her/his immediate superior.					
16	If things do not go the way that they should be done and found to be unjustifiable, she/he will be sanctioned.					
17	If my boss carries out things the way that they should be done, she/he will be praised.					
18	Employees can hold my boss accountable when their rights or interests are affected by her/his decisions.					
19	The public/citizens can hold my boss accountable when their rights or interests are affected by her/his decisions.					
Employees perception of organizations' accountability						
20	The organization often provides information about its actions to authorized accountability agencies.					
21	The organization often explains and justifies its actions to authorized accountability agencies.					
22	If the organization violates its public duties, it will be sanctioned.					
23	If the organization accomplishes public duties the way that they should be done, it will be praised.					
24	Employees can hold the organization accountable when their rights or interests are affected by its actions.					
25	The public/customers can hold the organization accountable when their rights or interests are affected by its actions.					

Section four: Questions on Ethics

Instruction: - Please indicate your level of agreement/disagreement with the following statements using the scale of 1-5 where 1=**Strongly disagree**, 2=**Disagree**, 3=**Undecided**, 4=**Agree**, 5=**Strongly agree**, indicate your level of agreement/disagreement.

No	Ethical Awareness	Strongly disagree	Disagree	To some extent	Agree	Strongly agree
26	Ethical standards are made very clear to employees.					
27	Ethical standards are reflected in the legal framework.					
28	Ethical guidance is easily available to all employees.					
29	The system allows the employees to know their rights and obligations.					
30	There is political commitment to promote employees' ethics.					
31	Decision making processes in the organization are transparent and open.					
32	Managers often promote and show ethical conduct.					
33	Management policies, procedures and practices promote ethical conduct.					
34	Human resource management practices are promoting ethical conducts.					
35	Appropriate procedures and sanctions exist to deal with any kind of misconduct.					

Leadership Ethics						
	My boss:					
36	shows a strong concern for ethical and moral values					
37	communicates clear ethical standards for members					
38	sets an example of ethical behavior in her/his decisions and actions					
39	is honest and can be trusted to tell the truth					
40	Keeps his/her actions consistent with the stated values (“Walk the talk”).					
41	Is a fair and unbiased when assigning task to members.					
42	Can be trusted to carry out promises and commitments.					
43	Insists on doing what is fair and ethical, even in a difficult situation.					
44	Acknowledges mistakes and takes responsibility for her/him.					
45	Regards honesty and integrity as important personal values.					
56	Sets an example of dedication and self-sacrifice for the organization.					
47	Opposes unethical practices to increase performance.					
48	Is fair and objective when evaluating members’ performance and providing rewards.					
49	Puts the needs of others above her/his own self-interest.					
50	Holds members accountable for using unethical practices in their work.					

Co-workers Ethics						
51	They do respect the rule of law in the performance of their duties.					
52	They are impartial in the performance of their duties.					
53	They often demonstrate loyalty in the performance of their duties.					
54	They are open and transparent in discharging their duties.					
55	They often demonstrate integrity in their work.					
56	They perform their duties professionally.					
57	They often give respect to citizens and fellow civil servants.					
58	They are honest in the performance of their duties.					
59	They give priority to the public interest than their own.					
60	They are neutral in the performance of their duties.					
61	They often adhere to clear standards that are seen as just and reasonable.					
62	They hate very much corruption and theft.					
63	They are efficient and effective in the performance of their duties.					

Section five: The Role of Accountability Bodies

Instruction: - Please rate the following statements using the scale of 1-5 where 1=Very low, 2=Low, 3=Modest, 4=High, 5=Very High

No	How do you rate the role of different institutions in promoting accountability in the organization you are working for?	Very low	Low	Modest	High	Very High
64	The legislative body					
65	Media					
66	Judiciaries					

67	Administrative Tribunal					
68	Auditors General					
69	Ethics and Anti-Corruption Commission					
70	Ombudsman					
71	Human Rights Commission					
72	Civic Society Organizations					
73	International Organizations					

Section six: Questions on accountability, ethical problems and factors that are affecting the implementation of NPM reform programs

Instruction: - Please kindly provide concise and complete answers to the following questions

1. Do you think that there are accountability problems in the organization you are working for?

a. Yes b. No

2. If your answer for question No. 1 is “Yes”, what are the main factors that are contributing to the prevalence of accountability problems in your organization? Please encircle the letter of your choice(s) that you believe are contributing to the declining of accountability in your organization? More than one choice is possible.

- a) Expectations (what to do and how to do it) are not clear
- b) There is no two-way communications between managers and subordinates
- c) Failure to communicate appropriate and timely information about job performance to the nearby superior
- d) Failure to scrutinize performance related information by the nearby superiors
- e) Nonexistence of the culture of justifying one’s own actions and decisions
- f) Absence of positive consequences (Rewards) for better performances
- g) Absence of negative consequences (Sanctions) for poor performances
- h) Political interference and politicization of the civil service
- i) Undermining and deterring the role of accountability institutions such as legislative, judiciary and others
- j) Low level of citizens (Public) participations
- k) Deprofessionalization of the civil service
- l) Ethnicity and Nepotism

Please, mention if any other

3. What do you think are the main factors that are obstructing the proper implementation of NPM driven reform programs in your organization? Please, encircle the letter of your choice(s)/factor(s) that you believe are obstructing the proper implementation of NPM driven reform programs. Encircling more than one choice is possible.

- a) Lack of firm political commitment
- b) Lack of support from the bureaucracy
- c) Lack of resource (Material, financial resource)
- d) Lack of skilled and knowledgeable human resources
- e) Absence of Adequate training and Capacity Building Programs
- f) Lack of monitoring and follow up from reform leading institutions
- g) Reforms are the direct copy of other countries without contextualizing the reality on the ground

Please, mention if any other

4. Do you think that there are ethics problems in the organization you are working for?

- a. Yes
- b. No

5. If your response for question No. 4 is “Yes”, Please, encircle the letter of your choice(s) and write on the space provided how the ethics problems are manifested. More than one choice is possible.

- a) Disrespecting rules in the performance of one’s own duties
- b) Partiality and discrimination among people
- c) Failure to be loyal in discharging one’s own duties
- d) Failure to be transparent and open in discharging one’s own duties

- e) Falling under the influence of individuals and institutions for maximizing private gain
- f) lack of respect for employees and customers
- g) Give priority to private interest than the public interest
- h) Engaging in corruption and theft
- i) Failure to discharge one's own duty with integrity

Please, mention if any other

6. If your response for question No. 4 is “Yes”, what do you think are the contributing factors for the existence of unethical practices in the organization? Please encircle the letter of your choice(s). More than one choice is possible

- a) Absence of ethical code of conduct
- b) Lack of training on ethical behavior and practice
- c) Lack of ethical and exemplary leadership
- d) Absence of well-defined disciplinary mechanisms to handle unethical practices
- e) Lack of commitment and determination to eliminate unethical acts
- f) The problem of transforming ethical principles in to ethical practices
- g) Failure to penalize unethical conduct
- h) Lack of sufficient publicity of the ethical norms
- i) The deliberate effort by public officials to muzzle criticisms of their action or inaction
- j) Deterioration of economic and social conditions

Please, mention if any other

7. Do you think that reforms that are being implemented in the organization have contributed for the enhancement of ethics, and accountability?

- a. Yes b. No

8. If your response for question No. 7 is “Yes”, what are the major contributions of the reform in enhancing ethics, and accountability?

9. If your response for question No. 7 is “No”, what do you think are the main factors for not having positive contributions?

Thank You

Appendix 4: Amharic Version Questionnaire

አዲስ አበባ ዩኒቨርሲቲ

ቢዝነስና ኢኮኖሚክስ ኮሌጅ

የህዝብ አስተዳደር እና ልማት ሥራ አመራር ትምህርት ክፍል

በአዲስ አበባ ከተማ መስተዳድር ስር ባሉ የተለያዩ ቢሮዎች በሚገኙ ሠራተኞች የሚሞላ መጠይቅ

ውድ የዚህ ጥናት ተሳታፊዎች

በአዲስ አበባ ዩኒቨርሲቲ በቢዝነስና ኢኮኖሚክስ ኮሌጅ፣ በህዝብ አስተዳደር እና ልማት ሥራ አመራር ትምህርት ክፍል የድህረ ምረቃ ተማሪ ስሆን፣ ለዶክትሬት ዲግሪ ማሟያ ጽሑፌ በአዲስ አበባ ከተማ አስተዳደር የተለያዩ የሥራ ዘርፎች የተከናወኑ ተቋማዊ የአደረጃጀትና የአሠራር ማሻሻያ ለውጦች ከተጠያቂነት እና ከሥነምግባር ጋር ያላቸውን የግንኙነት ሁኔታ ለማጥናት እና በዚያም ላይ የተመሠረተ የማጠናከሪያ እና የመፍትሄ ሐሳቦችን ለማቅረብ በማቀድ ነው። በዚህ ረገድ የእርስዎ ቀጥተኛ ተሳታፊነት በእጅጉ የታመነበት ሲሆን ለዚህ ይርዳ ዘንድ ይህን መጠይቅ እንዲሞሉ በአክብሮት ተጋብዘዋል። ተሳትፎዎ በእርስዎ ሙሉ ፈቃደኝነት ላይ የተመሰረተ ነው።

መጠይቁን ለማጠናቀቅ ከ20 እስከ 25 ደቂቃ የሚሆነውን ጊዜዎን ሊወስድ ይችላል። የሚሰጡት መረጃ ሚስጥራዊነቱ እንዲጠበቅ ስምዎትን አይጻፉ። የመጨረሻው የጥናቱ ውጤት ለአዲስ አበባ ዩኒቨርሲቲ፣ ለአዲስ አበባ ከተማ መስተዳድርና ለሚሰሩበት ድርጅት ይሠጣል። እባክዎን ሁሉንም ጥያቄዎች በመሉ እና በታማኝነት ሞልተው ይመልሱ ዘንድ በአክብሮት እጠይቃለሁ።

ለዚህ ጥናት ጊዜዎን ሰጠው ላደረጉልኝ እገዛ በጣም አመሰግናለሁ። በዚህ መጠይቅ የተሰበሰቡ መረጃዎች በአዲስ አበባ ከተማ መስተዳድር፣ ብሎም እርስዎአሁን በሚያገለግሉበት መ/ቤት ወይም ተግባራዊ የተደረጉ የአደረጃጀትና የአሠራር ማሻሻያ ለውጦች፣ ከተጠያቂነት እና ሥነምግባር ጋር ያላቸውን ዝምድና ለማወቅ ያግዛል። የጥናቱን ውጤት የሚፈልጉ ከሆነ እባክዎን መጠይቁን በመሙላት የአጥኝውን አድራሻ ይያዙ። መጠይቁን በአግባቡ ሞልተው መመለስዎ የእርስዎን በጥናቱ የመሳተፍ ፈቃደኝነት ያረጋግጣል። ተጨማሪ መረጃ የሚፈልጉም ከሆነ ከግርጌ የተጻፈውን አድራሻ በመጠቀም ጥያቄዎን ማቅረብ ይችላሉ። በጥናቱ እንዲሁም ጥናቱ እየተከናወነበት ባለው ሁኔታ ቅሬታ ካልዎ የአዲስ አበባ ዩኒቨርሲቲ የህዝብ አስተዳደር እና የልማት ሥራ አመራር ትምህርት ክፍልን በሚከተለው አድራሻ ማሳወቅ ይችላሉ።

የህዝብ አስተዳደርና የልማት ሥራ አመራር ትምህርት ክፍል (ስልክ ቁጥር፡- + 251-111229602)

የአጥኝው አድራሻ፡- ግርማው አሰሚ
ሞባይል፡- 0913-670177 (e-mail-gassemie@yahoo.com)

ክፍል አንድ፡-ግለሰባዊ መረጃን አስመልክቶ የቀረቡ ጥያቄዎች

መመሪያ፡-ለጥያቄ ተራ. ቁጥር 1.ምርጫዎት ፊት ለፊት ምልክት (✓) በማድረግ ያሳዩ፡፡ የቀሪዎቹን ጥያቄዎች መልስ ደግሞ ፊት ለፊት በተቀመጡት ክፍት ቦታዎች ይሙሉ፡፡

1. ያታ፡- ወንድ፡ ሴት፡ 4. የሚሰሩበት/ቤት ስም፡-
2. ዕድሜ፡- _____
3. የትምህርት ደርጃ፡- _____
5. የስራ አገልግሎት ዘመን፡- _____

ክፍል ሁለት፡-ተግባራዊ የተደረጉትን የአደረጃጀት እና የአሠራር ማሻሻያ ለውጦችን አስመልክቶ የቀረቡ ጥያቄዎች

መመሪያ፡- እባክዎን የሚከተሉትን ዓረፍተ ነገሮች በመገምገም ከዚህ ቀጥሎ በተቀመጠው ስኬል መሠረት ምርጫዎት ፊት ለፊት ምልክት (✓) በማድረግ ያሳዩ 1= በጣም አልሰማምም 2= አልሰማምም 3=በመጠኑ እሰማለሁ 4= እሰማለሁ 5= በጣም እሰማለሁ

ተ.ቁ	በመ/ቤትዎ ተግባራዊ የተደረጉትን የአደረጃጀትና የአሠራር ማሻሻያ ለውጦች አስመልክቶ የቀረቡ ጥያቄዎች	በጣም አልሰማምም	አልሰማምም	በመጠኑ እሰማለሁ	እሰማለሁ	በጣም እሰማለሁ
1	በመ/ቤትዎ ዉስጥ ያሉ የሥራ አመራሮች በነፃነት የመወሰን ሥልጣን አላቸው፡፡					
2	ውጤት ተኮር የሥራ አፈፃፀም ምዘና በ መ/ቤትዎ ዉስጥ ተግባራዊ እየተደረገ ነው፡፡					
3	ከግብአት እና ሒደት ይበልጥ፣ ውጤትን ማዕከል ያደረገ አሠራር በ መ/ቤትዎ ዉስጥ ተግባራዊ እየተደረገ ነው፡፡					
4	መ/ቤትዎ የተሻለ አገልግሎት ለመስጠት፣ ያልተማከለ አስተዳደርን ተግባራዊ አድርጓል፡፡					
5	መ/ቤትዎ በሠራተኞች እና በተለያዩ የሥራ ክፍሎች መካከል ለተሻለ ዉጤት ውድድርን የሚያበረታታ አሠራር ተግባራዊ እያደረገ ይገኛል፡፡					
6	ለቀልጣፋ እና ዉጤታማ አሰራር ሲባል፣ መ/ቤትዎ የግሉን ሴክተር የአመራር ጥበቦች ተግባራዊ እያደረገ ነው፡፡					
7	ሐብትን በከፍተኛ ዲቨንሊንና ቁጠባ የመጠቀም አሠራር በ መ/ቤትዎ ዉስጥ ተግባራዊ እየተደረገ ነው፡፡					

ክፍል ሦስት፡-በመ/ቤትዎ ዉስጥ ያለውን የተጠያቂነት ሁኔታ አስመልክቶ የቀረቡ ጥያቄዎች

መመሪያ፡- እባክዎን የሚከተሉትን ዓረፍተ ነገሮች በመገምገም ከዚህ ቀጥሎ በተቀመጠው ስኬል መሠረት ምርጫዎት ፊት ለፊት ምልክት (✓) በማድረግ ያሳዩ1= በጣም አልሰማምም 2= አልሰማምም 3= በመጠኑ እሰማለሁ 4= እሰማለሁ 5= በጣም እሰማለሁ

ተ.ቁ	የግል ተጠያቂነትን አስመልክቶ የቀረቡ ጥያቄዎች	ባጣም አልሰማምም	አልሰማምም	በመጠኑ እሰማማለሁ	እሰማማለሁ	ባጣም አልሰማማለሁ
8	ሁሌም ሥለአከናዎንኳቸው ሥራዎች ለቅርብ የሥራ ኃላፊዎ አሳውቅአለሁ።					
9	ሁሌም ስለአከናዎንኳቸው ሥራዎች ለቅርብ የሥራ ኃላፊዎ ተገቢውን ማብራሪያና የስራውንም ትክክለኛነት አረጋግጥአለሁ።					
10	ኃላፊነቱን በአግባቡ ያልተወጣሁ መሆኑ ከተረጋገጠ እና አሳማኝ ምክንያት ከለለኝ፣ የቅርብ የሥራ ኃላፊዎ በእኔ ላይ ተገቢውን የቅጣት እና የማስተካከያ እርምጃ ይወስዳል።					
11	ኃላፊነቱን በአግባቡ የተወጣሁ መሆኑ ከተረጋገጠ፣ የቅርብ የሥራ ኃላፊዎ ተገቢውን ዕውቅና ወይም ማበረታቻ ያደረጋል።					
12	ለእኔ ተጠሪ የሆኑ ሠራተኞች በእኔ ወሳኔ መብታቸው ወይም ጥቅማቸው ከተጎዳ እኔን ተጠያቂ ማድረግ ይችላሉ።					
13	ተገልጋዬች በእኔ ወሳኔ መብታቸው ወይም ጥቅማቸው ከተጎዳ እኔን ተጠያቂ ማድረግ ይችላሉ።					
	የሥራ ኃላፊዎችን የተጠያቂነት ሁኔታ አስመልክቶ የቀረቡ ጥያቄዎች					
14	የቅርብ የሥራ ኃላፊዎ ሁሌም ሥለሚያከናውናቸው ሥራዎች ለራሱ የቅርብ ኃላፊ ያሳውቃል።					
15	የቅርብ የሥራ ኃላፊዎ ሁሌም ስለሚያከናውናቸው ሥራዎች ለራሱ የቅርብ ኃላፊ ተገቢውን ማብራሪያ እና የሥራውንም ትክክለኛነት ያረጋግጣል።					
16	የቅርብ የሥራ ኃላፊዎ ኃላፊነቱን በአግባቡ ያልተወጣ መሆኑ ከተረጋገጠ እና በቂ የሆነ ምክንያት ከለለው፣ የራሱ የቅርብ ኃላፊ ተገቢውን የቅጣት እና የማስተካከያ እርምጃ ይወስዳል።					
17	የቅርብ የሥራ ኃላፊዎ ኃላፊነቱን በአግባቡ የተወጣ መሆኑ ከተረጋገጠ፣ የራሱ የቅርብ ኃላፊ ተገቢውን ዕውቅና ወይም ማበረታቻ ያደርግለታል።					
18	ሠራተኞች በቅርብ የሥራ ኃላፊዎ ወሳኔ መብታቸው ወይም ጥቅማቸው ከተጎዳ፣ ተጠያቂ ሊያደርጉት ይችላሉ።					
19	ተገልጋዬች በቅርብ የሥራ ኃላፊዎ ወሳኔ መብታቸው ወይም ጥቅማቸው ከተጎዳ፣ ተጠያቂ ሊያደርጉት ይችላሉ።					

	የመ/ቤቱን የተጠያቂነት ሁኔታ አስመልክቶ የቀረቡ ጥያቄዎች					
20	መ/ቤቱ ሁሉም ስለሚያከናውናቸው ተግባራት ሕጋዊ ስልጣን ለተሰጣቸው አካላት ያሳወቃል።					
21	መ/ቤቱ ሁሉም ስለአከናዎናቸው ተግባራት ተገቢውን ማብራሪያና የሰራውንም ትክክለኛነት ሕጋዊ ስልጣን ለተሰጣቸው አካላት ያረጋግጣል።					
22	መ/ቤቱ ኃላፊነቱን በአግባቡ ያልተወጣ መሆኑ ከተረጋገጠ፣ ሕጋዊ ስልጣን የተሰጣቸው አካላት ተገቢውን እርምጃ ይወስዳሉ ወይም እንዲወሰድበት ያደረጋሉ።					
23	መ/ቤቱ ኃላፊነቱን በአግባቡ የተወጣ መሆኑ ከተረጋገጠ፣ ሕጋዊ ስልጣን የተሰጣቸው አካላት ተገቢውን ዕድቅና ይሰጣሉ።					
24	ሠራተኞች በመ/ቤቱ ወሳኔ መብታቸው ወይም ጥቅማቸው ከተጎዳ፣ መ/ቤቱን ተጠያቂ ማድረግ ይችላሉ።					
25	ተገልጋዮች በመ/ቤቱ ወሳኔ መብታቸው ወይም ጥቅማቸው ከተጎዳ፣ መ/ቤቱን ተጠያቂ ማድረግ ይችላሉ።					

ክፍል አራት:- በመ/ቤት ውስጥ ያለውን የሥነ ምግባር ሁኔታ አስመልክቶ የቀረቡ ጥያቄዎች

መመሪያ:- እባክዎን የሚከተሉትን ዓረፍተ ነገሮች በመገምገም ከዚህ ቀጥሎ በተቀመጠው ስኬል መሠረት ምርጫዎት ፊት ለፊት ምልክት (✓) በማድረግ ያሳዩ 1= በጣም አልሰማምም 2= አልሰማምም 3= በመጠኑ እሰማለሁ 4= እሰማለሁ 5= በጣም እሰማለሁ

ተ. ቁ	በሚያገለግሉበት መ/ቤት ውስጥ ያለውን የሥነ ምግባር ሁኔታ አስመልክቶ ያለዎትን ግንዛቤ ለማወቅ የቀረቡ ጥያቄዎች	በጣም አልሰማምም	አልሰማምም	በመጠኑ እሰማለሁ	እሰማለሁ	በጣም እሰማለሁ
	በመ/ቤቱ ውስጥ:-					
26	የሥነ ምግባር መመዘኛዎች ለሠራተኞች ግልፅ ተደርገዋል።					
27	የሥነ ምግባር ደንቦች በህግ ማዕቀፍ ውስጥ ናቸው።					
28	ሠራተኞች የሥነ ምግባር መመሪያዎችን በቀላሉ ማግኘት ይችላሉ።					
29	አሁን ያለው አሠራር ሠራተኞች መብትና ግዴታቸውን እንዲያውቁ የሚርዳ ነው።					
30	ሠራተኞች መልካም ሥነ ምግባር እንዲላበሱ ፖለቲካዊ ቁርጠኝነቱ አለ።					
31	የውሳኔ አሰጣጥ ሂደቶች በጣም ግልፅ ናቸው።					
32	የሥራ ኃላፊዎች ሁሉም መልካም ሥነ ምግባር ያሳያሉ።					

33	የሥራ አመራር ፖሊሲዎች፣ የሥራ ሂደቶችና ተግባራት፣ ሥነምግባርን ያበረታታሉ።					
34	የሰው ኃይል ሥራ አመራር ተግባራት መልካም ሥነምግባርን ያበረታታሉ።					
35	የሥነምግባር ጥሰቶችን ለማረም አስፈላጊ የሆኑ መመሪያዎች እና ቅጣቶች አሉ።					
ተ. ቁ	የሥራ ኃላፊዎችን ሥነምግባር አስመልክቶ የቀረቡ ጥያቄዎች	በጣም ኢሉሎ	አልሰማምም	በመጠኑ አስማምለሁ	አስማምለሁ	በጣም አስማምለሁ
	የሥራ ኃላፊያ፡-					
36	ለሥነ ምግባር እና ሞራል ዕሴቶች በቂ ትኩረት ያደርጋል።					
37	የሥነ ምግባር ደንቦችን ለአባላት ያሳውቃል።					
38	በጠላኝነትና በተግባሩ ለሌሎች የመልካም ሥነ ምግባር አረያ ነጩ።					
39	ሐቀኛ እና እውነትን በመናገር የሚታመን ነጩ።					
40	ተግባሩ ከሞራል ዕሴቶች ጋር የተስማማ ነጩ።					
41	ለአባላት ሥራን ያለ ምንም አድሎ ያከፋፍላል።					
42	ቃል የገባውንም ሆነ ኃላፊነቱን ለመፈፀም ታማኝ ነጩ።					
43	በአስቸጋሪ ሁኔታም ቢሆን ሚዛናዊነትንና ሥነ ምግባርን የጠበቀ ሥራ ይሰራል።					
44	ስህተትን የሚያምንና ኃላፊነትንም የሚወስድ ሰጠ ነጩ።					
45	ሐቀኝነትን እና ቅንነትን እንደ መልካም የሥነ ምግባር ዕሴቶች የሚወስድ ነጩ።					
46	የሥራ ትጋትን እና የመሥሪያ ቤቱን ጥቅም ከግል ጥቅም በላይ በማስቀደም ረገድ፣ ለሌሎች ምሳሌ የሚሆን ነጩ።					
47	ሥነ ምግባር በጎደለው ተግባር የሚመጣ የሥራ አፈጻጸም ዕድገትን የሚቃዎም ነጩ።					
48	የአባላትን የሥራ አፈጻጸም ምዘና እና የሚሰጡ ማበርታቻዎችን ሚዛናዊ በሆነ መልኩ ይፈፅማል።					
49	ከግል ጥቅሙ ይልቅ የሌሎችን ጥቅም ያስቀድማል።					
50	በስራ ላይ ሥነ ምግባር የጎደለው አሰራር የሚያሳዩ አባላትን ተጠያቂ ያደርጋል።					
	አብረዎት የሚሰሩትን ሠራተኞች ሥነምግባር አስመልክቶ የቀረቡ ጥያቄዎች					
	አብረዎት የሚሰሩት ሠራተኞች፡-					
51	የሕግን የበላይነት በማክበር ተግባራቸውን ያከናውናሉ።					
52	በሰዎች መካከል አድሎ ሳይደርጉ ኃላፊነታቸውን ይወጣሉ።					
53	ስራቸውን በታማኝነት ያከናውናሉ።					
54	ኃላፊነታቸውን ግልፅነት ባለው መልኩ ያከናውናሉ።					

55	ሥራቸውን በቅንነት ያከናውናሉ።					
56	ሙያቸውን በታማኝነት ይፈፅማሉ።					
57	አብርዋቸው ለሚሰሩትም ሆነ ለዜጎች ተገቢውን አክብሮት ይሰጣሉ።					
58	ኃላፊነታቸውን በሐቀኝነት ይወጣሉ።					
59	ከግል ጥቅማቸው ይልቅ ለሕዝብ ጥቅም ቅድሚያ ይሰጣሉ።					
60	በገለልተኛነት ስራቸውን ያከናውናሉ።					
61	ግልፅ፣ ፍትሐዊ እና ምክንያታዊ ለሆኑ ደንቦችና አሠራሮች ይገዛሉ።					
62	ሙስናን እና ስርቆትን አጥብቀው ይጠየሩሉ።					
63	ሀብትን፣ በቁጠባና ወጤታማ በሆነ መልኩ ይጠቀማሉ።					

ክፍል አምስት፡-ተጠያቂነትን ከማሳልበት አንጻር፣ ተቋማት ያላቸውን ሚና አስመልክቶ የቀረቡ ጥያቄዎች

መመሪያ፡-እባክዎን የሚከተሉትን ዓረፍተ ነገሮች በመገምገም ከዚህ ቀጥሎ በተቀመጠው ስኬል መሠረት ምርጫዎች ፊት ለፊት ምልክት (✓) በማድረግ ያሳዩ። 1= በጣም አነስተኛ 2= አነስተኛ 3= መካከለኛ 4= ከፍተኛ 5= በጣም ከፍተኛ

ተ. ቁ	በመ/ቤትዎ ውስጥ ተጠያቂነትን ከማሳልበት አንጻር፣ የተለያዩ ተቋማት ያላቸውን ሚና በምን ደርጃ ይገልፁታል?	በጣም አነስተኛ	አነስተኛ	መካከለኛ	ከፍተኛ	በጣም ከፍተኛ
64	ሕግ አወጭ አካላት					
65	የመገናኛ ብዙሀን					
66	ፍ/ቤቶች					
67	የመንግስት ሰራተኞች አስተዳደር ፍ/ቤቶች					
68	አዲተርስ ጄነራል					
69	ምግባር እና የጸረ-ሙስና ኮሚሽን መ/ቤት					
70	እንባ ጠባቂ ተቋም					
71	የሰብአዊ መብት ተቋም					
72	የሲቪክ ድረጅቶች					
73	አለም አቀፍ ድርጅቶች					

ክፍል ስድስት፡-የአደረጃጀት እና የአሰራር ማሻሻያ ለወጣችን፣ ሥነምግባርን እና ተጠያቂነትን፣ አስመልክቶ የቀረቡ ጥያቄዎች

መመሪያ፡- ለሚከተሉት ጥያቄዎች አጫጭር እና የተሟሉ መልሶች እንዲሠጡ በአክብሮት ይጠየቃሉ።

1. በእርስዎ እምነት አሁን በሚያገለግሉበት መ/ቤት ውስጥ የተጠያቂነት ችግሮች አሉ ብለው ያምናሉ?

ሀ. አዎ አምናለሁ ለ. አላምንም

2. ለጥያቄ ተራ ቁጥረ 1. መልስዎ የተጠያቂነት ችግሮች አሉ የሚል ከሆነ፣ በእርስዎ እምነት በ መ/ቤቱ ውስጥ ተጠያቂነት እንዳይኖር የሚያደርጉ ዋና ዋና ምክንያቶች ምን ምን ናቸው ብለው ያምናሉ? ምክንያት ናቸው ብለው ከሚሏቸው አማራጮች ፊት ለፊት በማክበብ ያሳዩ። ከ አንድ በላይ አማራጮችን መምርጥ ይችላሉ።

ሀ. ምን መሰራት እንዳለበት እና እንዴት መሰራት እንዳለበት በሚገባ አለማወቅ

ለ. የሁለትዮሽ ግንኙነቶች(Two way Communications) በሥራ ኃላፊዎች እና በሠራተኞች መካከል አለመኖር

ሐ. ስለ ሥራ ክንውኖች ተገቢ እና ወቅታዊ መርጃዎችን ለቅርብ ኃላፊዎች አለማሳወቅ

መ. የሥራ ኃላፊዎች የስራ ክንውን መርጃዎችን አግባብነት ባለው መልኩ አለማጤን

ሠ. በሥራ ኃላፊዎች በኩል የሠራተኞችን የስራ ክንውን እና ሠራተኞች የሚሰጧቸውን ወሳኔዎች ትክክለኛነት የማረጋገጥ ባህል እና አሰራር ደካማ መሆን

ረ. ለመልካም የሥራ አፈጻጸም ተመጣጣኝ እና ተገቢ የሆኑ ማበርታቻዎች አለመኖር

ሰ. ለደካማ የሥራ አፈጻጸም ተመጣጣኝ እና ተገቢ የሆኑ ቅጣቶች አለመኖር

ሸ. የፖለቲካ ጣልቃ ገብነት መኖር

ቀ. ተጠያቂነት እንዲጠናከር የሚያደርጉ ተቋማትን (ሕግ አውጭ አካላትን፣ ፍርድ ቤቶችን፣ የጸረ-ሙስና ኮሚሽንን እና የሌሎችን ተመሳሳይ ተቋማት) ሚናቸውን ማሳነስ እና የድርሻቸውን እንዳይወጡ ማድረግ

በ. የህዝብ ተሳትፎ በጣም ዝቅተኛ ደርጃ ላይ መገኘት

ተ. ተገቢውን እውቀት፣ ክህሎት እና ልምድ የማያሟሉ ሰዎችን እንዲቀጠሩ መፍቀድ ቸ. በዘመድ አዝማድ፣ ጓደኛን እና ብሔርን መሠርት ያደርገ አሠራር መኖር

ኘ. የሚወጡ ሕጎችን፣ ደንቦችን እና መመሪያዎችን ተግባረ ላይ አለማዋል

ሌሎች ምክንያቶች ካሉ እባክዎን ከዚህ በታች ይዘርዝሯቸው

3. በእርስዎ እምነት አሁን በሚያገለግሉበት መ/ቤት ውስጥ ተግባራዊ የተደረጉት የአሰራርና የአደረጃጀት ማሻሻያ ለውጦች በአግባቡ ተፈፃሚ እንዳይሆኑ የሚያደርጉ ዋና ዋና

ምክንያቶች ምንምን ርቶው ብለው ያምናሉ? ምክንያት ርቶው ከሚሏቸው አማራጮች፣ ፊት ለፊት በማክበብ ያሳዩ። ከ አንድ በላይ አማራጮችን መምርጥ ይችላሉ።

ሀ. የፖለቲካ ቁርጠኝነት አለመኖር

ለ. የሠራተኞች ድጋፍ አናሳ መሆን

ሐ. በቂ የሆነ የማቴራል እና የገንዘብ አቅርቦት አለመኖር

መ. በቂ ክህሎት እና ዕውቀት ያለው የሰው ኃይል አለመኖር

ሠ. ተገቢ እና በቂ የሆነ የአቅም ግንባታ ስልጠና አለመኖር

ረ. የአሰራር እና የአደረጃጀት ማሻሻያ ለውጦችን ከሚመሩት ተቋማት በቂ የሆነ ክትትል እና ቁጥጥር አለመኖር

ሰ. የአሰራር እና የአደረጃጀት ማሻሻያ ለውጦች ነባራዊ ሁኔታውን ያላገናዘቡና ከሌሎች አገሮች በቀጥታ የተኮርጁ በመሆናቸው

ሌሎችምክንያቶች ካሉ እባክዎን ከዚህ በታች ይዘርዝሯቸው

4. በእርስዎ እምነት፣ አሁን በሚያገለግሉበት መ/ቤት ውስጥ የሥነምግባር ችግሮች አሉ ብለው ያምናሉ?

ሀ. አዎ አምናለሁ ለ. አላምንም

5. ለጥያቄ ተራ ቁጥር 4 መልስዎ፣ አዎ አምናለሁ የሚል ከሆነ፣ የሥነምግባር ችግሮች ርቶው ብለው ከሚሏቸው አማራጮች ፊት ለፊት በማክበብ ያሳዩ። ከ አንድ በላይ አማራጮችን መምርጥ ይችላሉ። ለስነምግባር ችግሮች ተጨማሪ መገለጫዎችን ወይም ማብራሪያዎችን በተሰጠው ክፍት ቦታ መስጠት ይችላሉ።

ሀ. ሕግን አክብሮ አለመስራት

ለ. ሰዎችን በእኩል አለማየት እና አድሎ መፈጸም

ሐ. በታማኝነት ገላጭነትን አለመወጣት

መ. ስራን ግልፅነት ባለው መልኩ አለማከናዎን

ሠ. ለጥቅም ሲባል በግለሰቦች እና በድርጅቶች ተፅኖ ሥር መወደቅ

ረ. ለድርጅቱ ሠራተኞችም ሆነ ለተገልጋዬች ተገቢውን አክብሮት አለመስጠት

ሰ. የግልን ጥቅም ከሕዝብ ጥቅም አስበልጦ ማየት

ሸ. ሙስና እና ስርቆትን መፈፀም

ቀ. ኃላፊነትን በቅንነት እና በታማኝነት አለማከናዎን

ሌሎች የሥነምግባር ችግሮች ካሉ ከዚህ በታች ይዘርዘሯቸዋል

6. ለጥያቄ ተራ ቁጥር 4. መልስዎ የሥነምግባር ችግሮች አሉ የሚል ከሆነ፣ ሥነምግባር ለጎደላቸው ተግባራት መኖር እንደምክንያት ሊጠቀሱ የሚችሉ ነገሮች ምንምን ናቸው ብለው ያምናሉ? ከሚከተሉት አማራጮች ውስጥ እንደምክንያት ሊጠቀሱ ይችላሉ ከሚሏቸው ፊት ለፊት በማክበብ ያሳዩ፡፡ከ አንድ በላይ አማራጮችን መምርጥ ይችላሉ፡፡

- ሀ. የሥነምግባር መመሪያ (Ethical Code of Conduct) አለመኖር
 - ለ. ስለ ሥነ ምግባር ዕሴቶች እና አተገባበር ስልጠና አለመሰጠት
 - ሐ. ሥነ ምግባር ያለውና ለሌሎች ምሳሌ የሚሆን አመራር አለመኖር
 - መ. ግልፅ የሆነ እና ከሥነምግባር ውጭ የሆኑ አሰራሮችን የሚያርም የድስጥሊን ሥርዓት አለመኖር
 - ሠ. ከ ሥነምግባር ውጭ የሆኑ አሰራሮችን ለማጥፋት ቁርጠኝነቱ አለመኖር
 - ረ. የሥነ ምግባር መመሪያዎችን ተግባር ላይ ያለማዋል ችግር
 - ሰ. ለሥነ ምግባር ጥሰቶች ተገቢ የሆኑ ቅጣቶችን አለመፈፀም
 - ሸ. የሥነ ምግባር ዕሴቶችን ሕብረተሰቡ በደንብ እንዲያውቃቸው አለማድረግ
 - ቀ. ፈፃሚ አካላት ሊቀረብላቸው የሚችለውን ትችት አለመፈለግ እና አስቀድመው መከላከል ማድረግ
 - በ. የኢኮኖሚያዊ እና ማህበራዊ ሕይወት ማሻቆልቆል
- ሌሎች ምክንያቶች ካሉ ከዚህ በታች ይዘርዘሯቸዋል፡
-
-

7. በእርስዎ እምነት አሁን በሚያገለግሉበት መ/ቤት ውስጥ እየተተገበሩ ያሉ የአደረጃጀትና የአሠራር ማሻሻያ ለውጦች፣ ሥነምግባር እና ተጠያቂነት እንዲጎለብት ከማድረግ አንፃር በጎ አስተዋጽኦ አድርገዋል ብለው ያምናሉ?

- ሀ. አዎ አምናለሁ
- ለ. አላምንም

8. ለጥያቄ ተራ ቁጥር 7. መልስዎ በጎ አስተዋጽኦ አበረከተዋል የሚል ከሆነ፣ የአደረጃጀትና የአሠራር ማሻሻያ ለውጦች ሥነ ምግባርን እና ተጠያቂነትን ከማጠናከር አንፃር ያደርጓቸው አስተዋጽኦዎች ምንድን ናቸው?
-
-

9. ለጥያቄ ተራ ቁጥር 7. መልስዎ በጎ አስተዋጽኦ አላበረከቱም የሚል ከሆነ፣ ሊጠቀሱ የሚችሉ ዋናዎና ምክንያቶች የሚሏቸውን ከዚህ በታች ይዘርዘሯቸዋል?

በድጋሜ አመሰግናለሁ

Appendix 5: Informants' Interview Guide

Personal Details of the Interviewee

Name (optional).....

Gender.....

Educational Qualifications.....

Organizations.....

Work experience.....

Date and time of interview.....

Semi-Structured Interview Questions

1. What are the natures and characteristics of reform programs that are being practiced?
2. What is the accountability situation looks like in the organization or bureau you are working for?
3. What is the ethics situation looks like in the organization or bureau you are working for?
4. What impacts do the reform programs (if any) have on accountability in the organization or bureau you are working for?

5. What impacts do the reform programs (if any) have on ethics in the organization or bureau you are working for?
6. What are the factors which are impeding the implementation of reform programs?
7. What factors are exacerbating accountability, and ethics problems in the organization or bureau you are working for?

Appendix 6: Service Recipients' Interview Guide

Name: Girmaw Assemie

Interview Date and Time: _____

Interview Place: _____

Signature: _____

Semi-Structured Interview Questions

1. How do you describe the accountability and ethics situations in AACA?
2. What do you think are the reasons for employees to behave unethically and not to be accountable in the work places as needed?
3. If you have a problem or complaints with the city administration's officials or employees, do you know whom to contact and the procedures to be followed?
4. If you apply a complaint, did someone respond to your complaint properly?
5. How do you evaluate the grievance handling units and the suggestion boxes located in government offices?
6. How would you evaluate the role played by accountability bodies such as Legislature, Judiciary, FEACC, Ombudsmen, Auditor Generals, and Grievance handling units and so on in reinforcing accountability and ethics in the city administration?
7. What is your understanding of the citizens' charter?

8. Is there any effort made by the government in familiarizing the citizens with the citizens' charter, and grievance handling guidelines?
9. How much influence do you feel citizens comments have on the city administration? Is there any room or chance for citizens to participate in government/public affairs?
10. How do you describe the overall quality of services provided by the city administration? How satisfied are you by the services provided?

Appendix 7: Observation Checklist

No.	Things Observed	Observers' notes
1	Organization of offices or how offices are organized	
2	Availability of employees and managers during working hours?	
3	How employees are treating service recipients	
4	Reasonableness of time taken to provide service to service users	
5	Transparency of service providers to the service recipients	
6	Management of public records	
8	Information displayed to service recipients	
9	The availability of suggestion or 'We care boxes'	
10	Complaint handling and ethics and anti-corruption offices	

Appendix 8: Required Sample Size, Given a Finite Population

N-----n	N-----n	N-----n	N-----n	N-----n
10-----10	100-----80	280-----162	800-----260	2800-----338
15-----14	110-----86	290-----165	850-----265	3000-----341
20-----19	120-----92	300-----169	900-----269	3500-----346
25-----24	130-----97	320-----175	950-----274	4000-----351
30-----28	140-----103	340-----181	1000-----278	4500-----354
35-----32	150-----108	360-----186	1100-----285	5000-----357
40-----36	160-----113	380-----191	1200-----291	6000-----361
45-----40	170-----118	400-----196	1300-----297	7000-----364
50-----44	180-----123	420-----201	1400-----302	8000-----367
55-----48	190-----127	440-----205	1500-----306	9000-----368
60-----52	200-----132	460-----210	1600-----310	10000-----370
65-----56	210-----136	480-----214	1700-----313	15000-----375
70-----59	220-----140	500-----217	1800-----317	20000-----377
75-----63	230-----144	550-----226	1900-----320	30000-----379
80-----66	240-----148	600-----234	2000-----322	40000-----380

N-----n	N-----n	N-----n	N-----n	N-----n
85-----70	250-----152	650-----242	2200-----327	50000-----381
90-----73	260-----155	700-----248	2400-----331	75000-----382
95-----76	270-----159	750-----254	2600-----335	100000-----384

Source: Krejcie and Morgan (1970:608) (as cited in Hashim, 2010)

Where N= Population size, and n= sample size required.

Appendix 9: Sample of Survey Participants

Table 1: Target Population and Sample Size of Respondents at the City Level

No.	List of Bureaus	N	N
1	Land Development and Management	450	45
2	Trade and Industry Development	354	35
3	Micro and Small Enterprise Development	171	17
4	Construction and Housing	220	22
5	Road and Transport	135	13
	Total	1330	132

Table 2: Target Population and Sample size of respondents in Arada sub city and selected 'Woredas'

List of Offices	Woreda 6		Woreda 7		Woreda 9		Sub-city level	
	N	n	N	n	N	n	N	N
Land Development and Management	4	1	2	1	5	1	328	32
Trade and Industry Development	18	2	24	2	20	2	74	7
Micro and Small Enterprise Development	15	2	27	3	14	1	26	3

Construction and Housing	5	1	8	1	5	1	44	5
Road and Transport	-	-	-	-	-	-	118	12
Total	42	6	61	7	44	5	590	59
n=77								

Table 3: Target Population and Sample Size of Respondents in Yeka Sub City and Selected 'Woredas'

List of Offices	Woreda 5		Woreda 11		Woreda 13		Woreda 9		Sub-city level	
	N	n	N	n	N	n	N	n	N	N
Land Development and Management	5	1	5	1	6	1	6	1	205	20
Trade and Industry Development	9	1	18	2	19	2	27	3	77	8
Micro and Small Enterprise Development	22	2	22	2	17	2	31	3	27	3
Construction and Housing	5	1	5	1	3	1	9	1	46	5
Road and Transport	-	-	-	-	-	-	-	-	85	8
Total	41	5	50	6	45	6	73	8	440	44
n= 69										

Table 4: Target Population and Sample Size of Respondents in Bole Sub City and Selected 'Woredas'

List of Offices	Woreda 5		Woreda 7		Woreda 10		Woreda 6		Sub-city Level	
	N	n	N	n	N	n	N	n	N	n
Land Development and Management	4	1	6	1	5	1	6	1	320	32
Trade and Industry Development	19	2	17	2	22	2	25	3	66	7
Micro and Small Enterprise Development	22	2	19	2	25	3	26	3	24	2
Construction and Housing	5	1	5	1	5	1	6	1	43	4
Road and Transport	-	-	-	-	-	-	-	-	62	6
Total	50	6	47	6	57	7	63	8	515	51
n =78										

Appendix 10: The number of expert informants and Respective Bureaus/offices

Interviewees	Bureaus	Gender	Age	Total
Interviewee 1	Land Management and Development Bureau	Male	34	1
Interviewee 2	Land Management and Development Bureau	Female	30	1
Interviewee 3	Trade and Industry Development Bureau	Male	34	1
Interviewee 4	Trade and Industry Development Bureau	Female	36	1
Interviewee 5	Micro and Small Enterprise Development	Male	53	1

	Bureau			
Interviewee 6	Road and Transport Bureau	Male	50	1
Interviewee 7	Road and Transport Bureau	Male	34	1
Interviewee 8	Housing and Construction Bureau	Male	48	1
Interviewee 9	Housing and Construction Bureau	Male	43	1
Interviewee 10	AACA Capacity Building Bureau	Male	45	1
Interviewee 11	AACA Capacity Building Bureau	Male	41	1
Interviewee 12	AACA Municipality Ethics and Anti-Corruption Office	Male	48	1
Total				12