# STRENGTHENING THE INSTITUTIONAL CAPACITY OF THE INTER-GOVERNMENTAL AUTHORITY ON DEVELOPMENT (IGAD)

AFRICAN UNION CAPACITY DEVELOPMENT SUPPORT PROGRAMME TO RECs (M-CDP)

THE INTERGOVERNMENTAL AUTHORITY ON DEVELOPMENT
PEACE, PROSPERITY AND REGIONAL INTEGRATION

African Union Commission

NEPAD
TRANSFORMING AFRICA

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## AFRICAN UNION CAPACITY DEVELOPMENT SUPPORT PROGRAMME TO RECs (M-CDP)

## MEMBER COUNTRIES: 8

Djibouti

Eritrea

Ethiopia

Kenya

Somalia

Sudan

South Sudan

Uganda

# BRIEF HIGHLIGHTS

- **Launched as IGADD in 1986**
- **IGAD came into force in 18 April 1995 based on an expanded mandate of IGADD**
- **Currently has 8 member states**
- **Population, 236 million**
- **GDP, US$178 billion**
- **Moving slowly. Still at early stages of cooperation amongst member states**
- **IGAD has not succeeded in launching free movement of people within the region**

## Commendable Practices

- The IGAD Secretariat has a rigorous and highly participatory program and project planning process, which involves joint programming by member states, the use of the Interregional Coordination Committee of IGAD (Committee of Ambassadors) and engagement at the IGAD Partners Forum. This intensive participatory approach fosters stakeholders' ownership.

- Establishment of a Knowledge Management Centre.

- Collaborative Leadership through which key stakeholders (Civil Society, Intellectuals, Private Sectors, and Development Partners) are engaged directly.

- The re-planning of the 2011-2015 strategic plan after a mid-term review was a commendable practice: initiatives which were doing well were scaled up while activities that were not making any significant impact were removed; thus priorities were re-aligned with available resources.

## Most Required Capacities:

- Sustainable resource mobilization in line with the expansion of IGAD's mandates and organization structures.

- Adequate attention to soft capacity issues such as recognizing and rewarding staff performance, leadership development and results-based management.

- An improved and adequate organizational structure to clarify roles, responsibilities, mandates, accountability mechanisms, reporting and rules of engagement to prevent overlaps and increase transparency, accountability and engagement among professional and executive employees.

- Operationalization of an effective communication strategy to engage the citizens of the region in matters related to integration agenda.

- Integrated Monitoring and Evaluation (M&E) and Management of Information Systems (MIS) serve as tools for management and planning processes at all of IGAD Secretariat, Institution and Liaison offices.

## Recommendations

- Optimization of current capacity development initiatives so that they can be sustained.

- Consolidation of capacity development programs and interventions in a Unit – a Regional Integration Capacity Development Division created in the Secretariat.

- Development of a Regional Integration Capacity Development Support programme with focused attention focussed on the capacity needs of member states.

- Operationalization of the implementation of resource mobilization strategy.

- Enhance the Specialized and Liaison Office to become catalysts of regional integration in member states.

- Identification and prioritization of critical knowledge needed to implement the regional agenda effectively.



Farmer and cattle in Ethiopia
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# TABLE OF CONTENTS

# LIST OF FIGURES AND TABLES

# ACRONYMS

| | |
|---|---|
| **AEZ** | Agro-Ecological Zones |
| **AfDB** | Africa Development Bank |
| **APDev** | Africa Platform for Development Effectiveness |
| **ASAL** | Arid and Semi-Arid Land |
| **ASARECA** | Association for Strengthening Agricultural Research in Eastern and Central Africa |
| **AU** | African Union |
| **AUC** | African Union Commission |
| **AWP** | Annual Work Plan |
| **CD** | Capacity Development |
| **CDMS** | The Capacity Development Mapping and Scoping |
| **CDSF** | Capacity of Development Strategic Framework |
| **CEN-SAD** | Community of Sahara Sahelian States |
| **CEWARN** | Conflict Early Warning and Response Network |
| **COMESA** | The Common Market for Eastern and Southern Africa |
| **CPU** | Platform Coordinating Unit |
| **EAC** | African Economic Community |
| **EU** | European Union |
| **FAO** | Food and Agriculture Organization |
| **FEWS** | Famine Early Warning Systems Network |
| **GHHF** | Greater Horn Horizon Forum |
| **GDP** | Gross Domestic Product |
| **IBF** | IGAD Business Forum |
| **ICPAC** | IGAD Climate Prediction and Application Centre |
| **ICPALD** | IGAD Centre for Pastoral Areas and Livestock Development |
| **ICT** | Information, Computer and Technology |
| **IDAP** | Institutional Development Action Plan |
| **IGAD** | The Intergovernmental Authority on Development |
| **IGADD** | Intergovernmental Agency on Drought and Development |

| | |
|---|---|
| **INGO** | IGAD NGOs and Civil Society Forum |
| **IPF** | IGAD Partners Forum |
| **IPU** | Inter-Parliamentary Union |
| **IRAPP** | IGAD Regional HIV and AIDS Partnership Programme |
| **ISSP** | IGAD Security Sector Programme |
| **IUCN** | International Union for Conservation of Nature |
| **JFA** | Joint Financing Arrangement |
| **M-CDP** | Multi-agency Capacity Development Program |
| **M&E** | Monitoring and Evaluation |
| **MTSPs** | Medium Term Strategic Plans |
| **NEPAD** | The New Partnership for Africa's Development |
| **ODA** | Official Development Assistance |
| **OSSREA** | Organization for Social Science Research in Eastern and Southern Africa |
| **PCM** | Project Circle Management |
| **PPPs** | Public Private Partnerships |
| **PRSP** | National Development Plans, Poverty Reduction Strategy Papers |
| **RBM** | Results Based Management |
| **RCMRD** | Regional Centre for Mapping and Resources for Development |
| **RECs** | Regional Economic Communities |
| **SIP** | Strategic Implementation Plan |
| **TA** | Technical Assistance |
| **TSU** | Technical Support Unit |
| **SFO** | Somalia Facilitation Office |
| **UN** | United Nations |
| **UNCEA** | United Nations Economic Commission for Africa |
| **UNDP** | United Nations Development Program |
| **WHO** | World Health Organization |

# EXECUTIVE SUMMARY

**Background:** The African Union (AU) through its transformation agenda and most recently Agenda 2063, prioritizes Capacity Development (CD) as a main driver in achieving inclusive growth and development. The New Partnership for Africa's Development (NEPAD) Agency and the African Union Commission (AUC) in collaboration with their partners – the United Nations Development Program (UNDP) and United Nations Economic Commission for Africa (UNECA), developed the AU Multi-Agency Capacity Development Support Programme to Regional Economic Communities (M-CDP) to enhance RECs capacity to deliver their regional integration mandates.

As part of that CD Agenda for Africa's renewal, there is a need for effective institutions to be included within the AU Architecture in which the RECs play a central role. Therefore the focus on CD mapping and scoping exercises is on the RECs as a key component of the region integrations and aims at providing evidence-based information that will assist in developing an AU RECs Capacity Development Strategy.

**Brief Highlights:** The IGAD is a Regional Economic Community (REC) – one of the eight building blocks of the African Union. Currently the IGAD includes eight countries: Djibouti, Eritrea, Ethiopia and Somalia in the Horn of Africa, as well as South Sudan, Sudan, Kenya and Uganda. The total land area is over 5.2 million sq. km. with a population of 236 million people and a GDP of US$178 billion.

The IGAD is still in the early stages of integration and has not succeeded in launching free movement of people within the region. Nonetheless, the IGAD has made notable progress towards achieving its regional integration agenda. Several political instruments have been established such as the IGAD Conflict Early Warning and Response Mechanism (CEWARN), the IGAD Security Sector Program (ISSP), the IGAD Centre for Pastoral and Dryland Development (ICPALD) and IGAD Climate Prediction and Applications Center (ICPAC). These are important instutitions in delivering the IGAD goals in its member states. In the areas of Trade, Industry & Tourism the following achievements were recorded:

- Support for phased programs to enhance the free movement of people, goods and services in the region;

- Capacity building for national ministries to enhance access to markets for small scale producers and traders including those in the informal sector;

- Establishing a baseline mapping and a legal and policy framework for the development of Warehouse Receipt Systems (WRS);

- Assisting the Manufacturers' Societies (MSs) and stakeholders in the Tourism Master Plan to market the Region as a single tourism destination and common investment area;

- Facilitating harmonisation of bilateral and regional agreements on trade;

- Bringing the private sector support to the regional integration agenda by strengthening the IGAD Business Forum (IBF).

- Facilitating infrastructure projects by conducting studies on the feasibility of transport corridors to improve inter-connectivity of the IGAD region and improve trade amongst Member States.

The region is highly vulnerable to climatic variations with frequent dry spells, droughts and floods and land degradation. It also suffers from low productivity, poorly developed domestic market structures, low savings and investment, a heavy debt burden and underdeveloped infrastructure. Also, the IGAD still has capacity needs, for exemple, institutional and human capacity to keep up with the ever-increasing mandates and socio-ecoomic demands, adequate and sustainable funding to implement regional integration programs, and sufficient insitutional capacity for the Liaison Offices to function as catalysts of the regional intergration agenda in the member states.

**IGAD's response to Capacity Development:** Capacity development (i.e. appropriate development policies, development information and knowledge sharing, human capacity building research, science and technology) is identified as one of the underlying principles for IGAD to deliver its mandate and meet stakeholders' expectations. Particularly, the Pillar 4 (Corporate Development Services) includes a number of cross-cutting interventions to enhance the corporate capacity of IGAD to deliver its mandate effectively in the following areas:

- The Secretariat's performance;

- Interactions between the Secretariat and Member States;

- Interactions between the Secretariat and partners in development;

- Interactions between the Secretariat and other stakeholders; and Institutional building.

Other CD initiatives are related to reviewing and redefining strategy; building institutions and systems to create an enabling environment for results, knowledge management in terms of data collection and dissemination, development of Monitoring and Evaluation (M&E) and Management Information Systems (MIS) and overall awareness creation.

Other initiatives include engaging stakeholders at the political level (Inter-Parliamentary Organization) in matters relating to integration in the member states, advancing the implementation of the Strategic Implementation Plan and building synergies RECs and AU institutions. The most remarkable CD intervention is institutional reforms to enhance the capacity (particularly of the Secretariat) to deliver the integration mandates.

> In its Strategy (2011-2015) the IGAD launched the Institutional Strengthening Action program (ISAP) 2012–2014 to increase its institutional capacity to enable the Secretariat and Specialised Offices to interact more effectively and efficiently with Member States, Development Partners and other Stakeholders, to strengthen the organization's operation as a results-oriented organisation. Under the ISAP, IGAD receives substantial support for capacity development from partners including the Nordic countries of Denmark, Finland, Norway and Sweden who have put their financial contributions in a Joint Financing Arrangement (JFA) mechanism. A similar financing mechanism was developed for the Peace and Security programs by Denmark, Norway, Sweden and Netherlands.

## Highlights of On-going CD Interventions:

The assessment analysed the past and on-going capacity development interventions and identified achievements in each of four core levels of Capacity Development. Regarding institution building, IGAD has enhanced the capacities at the interface between planning and implementation for results. For example, IGAD's Implementation Strategy Plan and other programs are in line with the vision, mission and mandates. IGAD has established forums to involve stakeholders directly in implementing the integration agenda. Some of these: NGOs and the Civil Society Forum, the Business Forum (IBF), the Greater Horn Horizon Forum (GHHF) and the International Partners Forum (IPF) inter alia. In order to link the regional integration program, the IGAD Inter-Parliamentary Union (IGAD-IPU) was established to enhance and further consolidate ties between national parliaments, to pave the way for regional integration agenda.

On the system level: IGAD established fundamental processes, procedures and guidelines, such as audit and internal control, to ensure effectiveness, efficiency and excellence at the Secretariat and its institutions (Liaison and Specialized). IGAD has put in place systems such as the Project Preparation and Management Unit (PPMU), a Monitoring and Evaluation (M&E) system, Management Information Systems (MIS), the Result-Conflict Prevention, Management and Resolution (CPMR), a Results-Based Management (RBM) system and the Transitional Support Unit (TSU) for effectiveness in planning, implementation, monitoring, evaluation and reporting of projects and programs. Focusing on results, IGAD has undertaken a re-planning process of its current Implementation Strategy Plan based on the review conducted in 2013 and is currently conducting a systems audit to determine what is working well and not working, in order to enhance the effectiveness of these systems.

Regarding human level: IGAD has in place a well-documented Human Resource (HR) policy and procedures, which define the various processes such as hiring, staff performance and appraisal, promotion, termination, demotion, confirmation or extension of contracts. At knowledge level, IGAD has adopted a process of applying evidence-based knowledge in planning and decision-making. For example, IGAD's strategies and programmes are evidence based and flow from situational analysis and background studies, followed by a series of workshops and meetings of stakeholders and decision-makers. IGAD has involved higher education institutions, researchers, extension agents and entrepreneurs in designing decision-making processes, particularly in the areas of drought, food security and peace and reconciliation processes. Furthermore, in each division there is a process for gathering key information to support the operational and financial reporting objectives and technical and

financial reporting to inform decision-making.

## Some key Conclusions:

Notwithstanding the significant achievements obtained so far, capacity gaps remain at all core CD levels – institution building, systems, human and knowledge. These short- medium- and long-term challenges are:

- *Capacity Development is not yet institutionalized* in the IGAD organization structure and CD strategy for post-2015 IGAD Implementation Strategy Plan so that CD programmes can be prioritized, organized and coordinated in line with the vision and mission of IGAD.

- *Sustainable resource mobilization* in line with the expansion of IGAD's mandates and organization structures is required.

- *Active engagement of key stakeholders* is needed, especially in the private sector, civil society and member state level, to champion the implementation of the integration agenda in the region.

- *Institutional capacities of the IGAD institutions* (Specialized and Liaison) require further capacity so that they can become catalysts of regional integration at member state level. Similarly, strengthening the capacity development of the member states is critical for the effective implementation of the regional integration agenda.

- *Establishment of policies to operationalize* new established rules and procedures.

- *Amendments on Monitoring and Evaluation (M&E) and Management of Information Systems (MIS)* are required, so they become integrated and serve as tools for management and planning processes at all IGAD Secretariat, Institution and Liaison offices.

- *Adequate implementation of Human Resources related policies* should take place so that staff appraisal, performance contract and incentive systems may create a favorable working environment which is essential to promote efficient results and enhance the effectiveness of their delivery and reduce 'human capital flight' from the region.

- *Adequate organizational structures* are required

to clarify roles, responsibilities mandates, accountability mechanisms, reporting and rules of engagement. This will eliminate overlaps and increase transparency, accountability and engagement among professional and executive employees.

- *Quantifiable plans regarding skill-sets and human planning development* are needed as well as other strategies such as the utilization of African skills, involving Africans in the Diaspora, mentorships and leadership development could help increase workforce in line with the expansion of IGAD's mandates and the advancement of technology.

- *An efficient knowledge management strategy to increase knowledge transfer within and beyond the Secretariat* is required so that knowledge on the vision, mission and impact of initiatives and lessons learned can be shared and utilized at all levels to further (and internalize) the integration agenda across the region.

- *Operationalization of communication strategy* to engage citizens of the region in matters relating to the integration agenda.

## Capacity Development Priorities:

Capacity Development programmes outlook for the post-2015 period may include the following:

- Complete the implementation of current CD programmes, namely institutional reform, stakeholder engagement and the establishment of a knowledge management centre;

- Revitalization of Monitoring and Evaluation (M&E) and Management Information Systems (MIS);

- Take necessary steps to ensure the full operation of institutions and forums that have recently been established;

- Institutionalization of CD into IGAD structure and drafting CD programs for post-2015 IGAD Implementation and Strategy Plan;

- Rolling out the resource mobilization strategy;

- Implementation of performance contract, staff appraisal and motivation systems;

- Identification of capacity development needs at member states and human and skills

development at IGAD Secretariat and Institutions.

• Aligning the organization structure to enhance its operation.

## Four areas are proposed for IGAD's long-term response to its capacity development needs:

• Ensure budgets are aligned to strategic goals and priorities, resources are optimally allocated and efficient accountability mechanisms are in place to enhance the integration of policies, planning and results.

• Ensure robust and responsive rules and procedures are in place, supported by an appropriate Information Management System and an Integrated Monitoring and Evaluation and reporting framework. This is essential for the IGAD to achieve results-based performance.

• Significantly strengthen human resources for they are most vital in implementing IGAD's protocols to drive forward regional integration. Become a learning institution that effectively communicates its vision, mission, values and mandates to all staff members and transfers knowledge to member states. This is a fundamental need.

• There should be a collective effort to utilize capacity development to help solve IGAD's complex agenda to achieve lasting regional integration and make real differences in people's lives. The interventions recommended should help the M-CDP to support strengthening capacity within IGAD to deliver core mandates and achieve regional integration goals. These include:

- Support efforts to mobilize resources by

establishing an inter-REC implementation framework for resource mobilization and provide technical and financial support that IGAD will need during the process.

- Become actively involved in developing a comprehensive results-oriented CD program and the framework required to roll out the program. It will be necessary to provide CD guides based on Capacity Development Strategic Framework and to ensure that planning and monitoring have the same indicators.

- Engage in the process of revising and integrating MIS and M&E to assist IGAD in becoming a more results-oriented organization.

- Support the assessment and planning of human and skill sets development.

- Assist in the establishment of a CD technical-experts' pool and promote the development of an Africans in the Diaspora strategy to ensure that evidence-based knowledge will be part of in everything that IGAD does regarding regional integration.

- As it is important to begin with existing structures and frameworks within IGAD, it is proposed that the African Platform for Development Effectiveness (APDev) be fully utilized as a knowledge exchange so that all RECs have a common place in which they can seek and share knowledge. Also the Capacity Development Strategic Framework (CDSF) should be used as the AU policy documents draft guidelines for planning CD within the RECs, so that CD programs within RECs have the common indicators for monitoring and evaluation purposes and share common terminology.

## TABLE 1: SUMMARY OF KEY FINDINGS

| No. | Kind of Capacity Intervention Required by REC | Performance Challenge Facing REC (• Adequacy • Effectiveness • Efficiency) | Ongoing Capacity Development Programs and Projects | | | Financing of Intervention | | | | Result of Intervention (Outcomes & Impact on REC Performance) | Input for RECs CD Strategy, Program and Implementation Plan, 2015-2030 | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Activity | Current Status | Scope/ Coverage | Planned | Realized | | Financing Gap | | Capacity Gap | Proposed Means of intervention |
| | | | | | | | REC | External | | | | |
| I | **INSTITUTIONAL DEVELOPMENT CAPACITY** | | | | | | | | | | | |
| | • Organizational Structure | Effective | Institutional reform | Being implemented | Secretariat | | | | Still relies on external funding | New Structure being propose | Require more resource if it is implemented | Enough funds mobilized |
| | • Staffing and Skills Mix | Inadequate | | | | | | | | | Inadequacy both in number and skills. | HR needs and skill sets to be determined |
| | • Management and Administration | Efficient | Institutional Reform Program | Being implemented | Secretariat | | | | ✓ | Operational process in place | Accountability mechanism required | Revision required for effectiveness |
| | • HR Management | Efficient | Policies in place | past | Secretariat | | | | ✓ | Just implemented | Human capacity needs not in place | Support institutional reform program |
| | • Performance Management | Inefficient | Policies in place | past | Secretariat | | | | ✓ | | Performance Contract not implement | Implement Performance Contract and Staff Appraisal policy |
| | • Strategic Planning | Efficient | PMU in place | Being implemented | Secretariat and institutions | | | | ✓ | Engaging stakeholders is taking place | Not 100% working | Amendment required |
| | • Resource Mobilization | Adequate | Plan in place | Partially implemented | Secretariat & member states | | | | ✓ | Fund coordination arranged | Institutional framework roll out | Roll out the implementation |

| No. | Kind of Capacity Intervention Required by REC | Performance Challenge Facing REC | Ongoing Capacity Development Programs and Projects | | | Financing of Intervention | | | | Result of Intervention (Outcomes & Impact on REC Performance) | Input for RECs CD Strategy, Program and Implementation Plan, 2015–2030 | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| | | | Activity | Current Status | Scope/ Coverage | Planned | Realized | | Financing Gap | | Capacity Gap | Proposed Means of intervention |
| | | | | | | | REC | External | | | | |
| II | SYSTEMS, PROCESSES, PROCEDURES AND PRACTICES CAPACITY | • Availability of Policy Framework and Operations Guidelines • Effectiveness • Efficiency | | | | | | | | | | |
| | • Financial Management System | Internal audit | Institution reform | Being implemented | Secretariat | | | | ✓ | Financial management in place | Not properly support y MIS | Revised |
| | • Records Management System | Available | Institution reform | Being implemented | Secretariat & Institutions | | | | ✓ | Infrastructure in place | Not compatible with IT | Revised and enhanced |
| | • Communication System | Available | Development Program strategy in place | Being implemented | Secretariat & Institutions | | | | ✓ | Engaging stakeholders directly | Ineffective vertical and horizontal communication | Communications strategy implemented |
| | • IT System | Available | IT policy and strategy | Being implemented | Secretariat & Institutions | | | | ✓ | Infrastructure in place | Not covering all departments | Expand and integrate |
| | • M&E System | Available | Framework in place | Implemented | Secretariat & institutions | | | | ✓ | Support the program implementation | Lack of common and integrated M&E system | To be revised and improved |
| III | KNOWLEDGE-BASED CAPACITY | • Existence of strategy and policy • Effectiveness of system • Efficiency of system • Utility of system | | | | | | | | | | |
| | • Internal Knowledge Management System • Regional Knowledge Sharing Mechanisms | Utility system Knowledge management centre | Interventions to link info-evidence base with polices and planning | Being implemented | Secretariat | | | | | Knowledge applied in planning | Loss of institutional memory | Comprehensive strategy and roll-out plan |

| No. | Kind of Capacity Intervention Required by REC | Performance Challenge Facing REC | Ongoing Capacity Development Programs and Projects | | Scope/ Coverage | Financing of Intervention | | | | Result of Intervention (Outcomes & Impact on REC Performance) | Input for RECs CD Strategy, Program and Implementation Plan, 2015–2030 | |
| | | | Activity | Current Status | | Planned | Realized | | Financing Gap | | Capacity Gap | Proposed Means of intervention |
| | | | | | | | REC | External | | | | |
| IV | PROGRAM DEVELOPMENT AND MANAGEMENT CAPACITY | • Program development and management<br>• Coordination<br>• Technical appraisal<br>• M&E of program implementation | | | | | | | | | | |
| | • Agriculture, Food and Nutrition Security | Program development, implementation and coordination | 2011-15 IGAD-ISP | Being revised | Secretariat, Specialized institutions & member states | 138.69 | 42.89 | | 95.8 | Private Sectors and entrepreneurs involved | More resources needed | African resource mobilization |
| | • Economic Co-operation and Integration and social development | Program development, implementation and coordination | 2011-15 IGAD-ISP | Being revised | Secretariat, Specialized institutions & member states | 66.34 | 28.42 | | 66.34 | ✓ | More resources needed | African resource mobilization |
| | • Peace and Security | Program development, implementation and coordination | 2011-15 IGAD-ISP | Being revised | Secretariat, Specialized institutions & member states | 68.46 | 20.57 | | 47.89 | Work with AU institutions | More resources needed | African resource mobilization |
| | • Corporate Development Services | Program development, implementation and coordination | 2011-15 IGAD-ISP | Being revised | Secretariat, Specialized institutions & member states | 6 | 5.6 | | 0.6 | Support the Secretariat with CD related services | Restructure to host and coordinate CD programs | Institutionalize CD within Secretariat structure |

Tea plantations, Kenya
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# 1. OVERVIEW AND BACKGROUND OF STUDY

## 1.1. Introduction

### 1.1.1. Background

Background: The African Union (AU) through its transformation agenda and most recently Agenda 2063, prioritizes Capacity Development (CD) as a main driver in achieving inclusive growth and development. The New Partnership for Africa's Development (NEPAD) Agency and the African Union Commission (AUC) in collaboration with their partners – the United Nations Development Program (UNDP) and United Nations Economic Commission for Africa (UNECA) developed the AU Multi-Agency Capacity Development Support Programme to Regional Economic Communities (M-CDP) to enhance RECs capacity to deliver their regional integration mandates.

As part of that CD Agenda for Africa's renewal is there is a need for effective institutions including within the AU Architecture in which the RECs play a central role. Therefore the focus on CD mapping and scoping exercise is on the RECs as a key component of the region integrations and aims at providing evidence-based information that will assist in developing an AU RECs Capacity Development Programme.

### 1.1.2. Methods and Source of Information

From December 2-6, 2013, the Multi-Agency Capacity Development Team[1] led by the New Partnership for Africa's Development (NEPAD), undertook a mapping and scoping exercise on past, current and planned projects and programs that have dimensions of capacity development with the Intergovernmental Authority on Development (IGAD). In order to make the gathering, analysis and presentation of data more efficient, a framework (attached in Appendix 1) was developed to arrange indicators by which CD interventions were measured. These indicators were organized under four levels, namely institution building, human, system and knowledge. According to the NEPAD/AU Capacity Development Strategic Framework (CDSF), these four levels are essential for any African institutions to deliver results.

In addition to direct open-ended questions administered in face-to-face interviews with directors, project managers, coordinators and high-level leaders, the assessment drew on multiple sources of information originating from the IGAD, including reports and strategies of the 3rd and 4th Development Strategies.

### 1.1.3. Scope and Structure of the Report

The report begins with a brief introduction to the purpose of the mapping and scoping exercise and includes a general description of the methodology used and the operational dimensions. This is followed by Section I, which includes:

- An overview of the development context in which the IGAD operates its strategic priorities and mandates;

- A broad mapping of the capacity development with respect to commendable practices, assets, gaps, scope and financing.

- Section III summarizes the key findings and recommendations for the main CD areas of cooperation for IGAD to move forward with delivering and sustaining its regional integration mandates.

## 1.2. Intergovernmental Authority on Development

### 1.2.1. The Intergovernmental Authority on Development (IGAD) – Brief Highlights

IGAD is a Regional Economic Community (REC) and one of the eight building blocks of the African Union. Currently IGAD includes eight countries: Djibouti, Eritrea, Ethiopia and Somalia in the Horn of Africa, as well as South Sudan, Sudan, Kenya and Uganda. The total land area is over 5.2 million sq. km. with a population of 236 million people and a GDP of US$178 billion.

IGAD was created in 1996 to supersede the Intergovernmental Authority on Drought and Development (IGADD), which was founded in 1986 to mitigate the effects of the recurring severe droughts and other natural disasters that resulted in widespread

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[1]  The Multi-Agency Mission to the IGAD involved four consultants and representative from NEPAD and United Nations Economic Commission for Africa (UNCEA) and United Nations Development Program (UNDP).

famine, ecological degradation and economic hardship in the region. The assembly of Heads of State and Governments, meeting in Addis Ababa in April 1995, resolved to revitalize IGADD and expand areas of cooperation among member states. The new and revitalized IGAD was launched during the 5th Summit of IGAD Assembly of Heads of State and Government held on 25-26 November 1996 in Djibouti. The Summit endorsed the decision to enhance regional cooperation in four intervention pillars: agriculture and environment; economic cooperation and integration and social development; peace and security and affairs; and corporate development services.

### 1.2.2. IGAD Vision, Priorities, Challenges and Achievements

### 1.2.3. IGAD Vision and Mission

*Vision:* To be the premier Regional Economic Community (REC) for achieving peace and sustainable development in the region.

*Mission:* Promote regional cooperation and integration to add value to Member States efforts to achieve peace, security and prosperity.

### 1.2.3.1. Focused Areas

The current IGAD Regional Strategy and Implementation Plan 2011-2015 was prepared in 2010. A Mid-Term Review of Strategy and Plan was conducted during the first quarter of 2013. The main objective of the mid-term review was to update the Strategy and Implementation Plan of 2011-2015 focusing on IGAD's priority areas: the newly developed IGAD Drought Disaster and Sustainability Initiative (IDDRSI) Strategy and Implementation Plan and current and emerging development challenges facing the region. The review also paid due attention to various framework conditions of development cooperation.

Along with the 2011-2015 Regional Implementation Plan, IGAD Heads of States and Governments decided to implement the current Minimum Integration Plan (MIP) as a guiding and dynamic strategic framework for the economic and social integration. Under the Regional Strategy, IGAD will continue to move forward with its regional integration agenda.

IGAD's strategies and programs integrate with the Vision's four strategic pillars:

* *Pillar 1: Agriculture, Natural Resources and Environment -* promotes attainment of food security and sustainable management of the environment and natural resources.

* *Pillar 2: Economic Cooperation and Integration and Social Development -* promotes regional economic cooperation, integration and social development.

* *Pillar 3: Peace and Security and Humanitarian Affairs -* promotes good governance, peace and security and to address humanitarian crises.

* *Pillar 4: Corporate Development Services -* enhances the corporate capacity of IGAD to effectively deliver its mandate.

### 1.2.3.2. Challenges Facing Implementation of the Vision

The most recent iteration of the IGAD Regional Strategy 2011-2015 highlights several capacity constraints for IGAD to achieve sustainable outcomes in regard to region integration:

* The core, committed staff of the Secretariat is small – which sometimes causes an excessive burden of work for personnel;

* Liaison Offices, that link the work of IGAD with member states have not been efficiently and effectively performing their responsiblities, mainly because of inadequate institutional, human and financial capacity constraints;

* Inadequate funding and delays in the release of funds inhibits smooth implementation of some projects and programs;

* Competition for resources amongst and between RECs and other organizations and from member states, contrains IGAD's ability to mobilize resources for its strategies;

* There is insufficient institutional and human capacity to keep up with the ever-increasing demands of the Region for sustained economic growth in the face of emerging problems such as unemployment, international terrorism, international economic crises and climate change;

* The region is highly vulnerable to climatic variations with frequent dry spells, droughts and floods, land degradation, low productivity,

poorly developed domestic market structures, low savings and investment, a heavy debt burden and underdeveloped infrastructure;

• The region is contending with unsustainably high population growth rates (more than 3%) and a high rate of urbanisation, whilst trying to deal with the effects of HIV/AIDS, civil strife, a high brain drain and conflict over trans-boundary resources, especially water. To address these social challenges and promote regional cooperation to manage these resources sustainably is a signficiant challenge.

#### 1.2.3.3. Achievement

IGAD is still at an early stage of cooperation among member states and has not succeeded in launching free movement of people within the region. Nonetheless IGAD has made notable progress towards the regional integration agenda IGAD. It has established political instruments such as the IGAD Conflict Early Warning and Response Mechanism (CEWARN) the IGAD Security Sector Program (ISSP), the IGAD Centre for Pastoral And Dryland Development (ICPALD) and IGAD Climate Prediction and Applications Center (ICPAC), which have become important in delivering the REC's goals in its member states.

In the areas of Trade, Industry & Tourism Section, the following achievements were recorded:

• Supporting the phased programmes so enhancing the free movement of people, goods and services in the region;

• Capacity building for national ministries to enhance access to markets for small scale producers and traders including those in the informal sector;

• Establishing a baseline mapping, legal and policy framework for the development of Warehouse Receipt Systems (WRS);

• Assisting MS's and stakeholders in the Tourism Master Plan implementation and in the marketing of the Region as a single tourism destination and common investment area;

• Facilitating MS's to develop their industrial and added-value capacities

• Facilitating the harmonisation of bilateral and regional agreements on trade;

• Bringing the private sector on board with the regional integration agenda by strengthening the IGAD Business Forum (IBF).

• Facilitating infrastructure projects by conducting studies on feasibility of transport corridors to improve inter-connectivity of IGAD region and improve intra-Member States trade.

### 1.2.4. IGAD Organizational Structure

IGAD is comprised of four hierarchical policy organs, which are also administratively responsible organs at various stages of project cycles:

• *The Assembly of Heads of State and Government:* the supreme policy making organ of IGAD. It is required to meet once a year and determines the objectives, guidelines and programmes for IGAD. A Chairman is elected from among the Member States in rotation;

• *The Council of Ministers:* composed of the Ministers for Foreign Affairs and other Focal Ministers designated by each Member State. During its biannual sessions, the Council formulates policy and approves the work program and annual budget of the Secretariat;

• *The Committee of Ambassadors:* consists of IGAD member states' Ambassadors accredited to the country of IGAD Headquarters (Djibouti). It convenes as often as needed to advise and guide the Executive Secretary.

• *The Secretariat:* headed by an Executive Secretary appointed by the Assembly of Heads of State and Government for a term of four years, renewable once. The Secretariat assists Member States to formulate regional projects in the priority areas, facilitates the coordination and harmonisation of development policies, mobilises resources to implement regional projects and programs approved by the Council and reinforces national infra-structures necessary for implementing regional projects and policies. Day-to-day duties are coordinated through four Directors who head the divisions of agriculture and environment, economic cooperation and social development, peace and security and administration and finance; and by regional professional staff, as

well as many short-term project and Technical Assistance (TA) staff.

### 1.2.4.1.  Liaison Offices

Liaison offices are the primary point of contact for IGAD with its respective member states. Their priority is to ensure dialogue between the various members' states and engage them in matters relating to implementation of regional integration plans. They also identify the scope and nature of challenges faced by the member states to help the Secretariat determine the best approach that can be taken and the resources that can be allocated to any given project within the various member states. The liaison offices for IGAD include:

* Kenya Liaison Office located in Nairobi, Kenya;

* Office of the facilitator for Somalia Peace & National Reconciliation (Somalia Facilitation Office (SFO) located in located in Addis Ababa, Ethiopia);

* Sudan Liaison Office located in Khartoum, Sudan;

* South Sudan Liaison Office located in Juba, South Sudan.

### 1.2.4.2.  1.2.3.2. Specialised offices

Most of IGAD's work is conducted by the main Secretariat which is also responsible for specialized offices located in member states. These have been set up to deal with particular types of projects as follows:

* Conflict Early Warning and Response Mechanism (CEWARN) located in Addis Ababa, Ethiopia;

* IGAD Centre for Pastoral Areas and Livestock Development (ICPALD) located in Nairobi, Kenya;

* IGAD Climate Change and Prediction Centre (ICPAC) located in Nairobi, Kenya;



African Union Headquarters, Addis Ababa, Ethiopia
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- IGAD Regional HIV/AIDS Partnership Program (IRAPP) located in Kampala, Uganda;

- IGAD Security Sector Program (ISSP) located in Addis Ababa, Ethiopia;

- Technical Support Unit (TSU) located in Addis Ababa, Ethiopia.

### 1.2.4.3. Capacity Assets and Gaps for the Specialized and Liaison Offices

Table 2 summarizes the capacity assets and gaps within the IGAD Specialized and Liaison Offices. Overall, when it comes to effective and efficient delivery of expected results, the Specialized and Liaison Offices face capacity development challenges at all levels – institution, systems, human and knowledge. Addressing these capacity development challenges will require a holistic approach across the entire organizational structure and the implementation of clear reporting, strong internal and external communications and coordination systems, responsive recruiting, appropriate grading of performance and appraisal systems and coherent learning and knowledge processes supported by robust and integrated Monitoring and Evaluation and Management Information Systems (IGAD, System Audit Report 2014).

## TABLE 2:   CAPACITY DEVELOPMENT ASSETS AND GAPS OF THE SPECIALIZED AND LIAISON OFFICES

| Core Capacity Development Levels | Description of Capacity Assets | Description of Capacity Gaps |
|---|---|---|
| **Institutional Building** | Autonomous and involved in the day-to-day implementation of project activities to Specialized Offices; and they are able to communicate with various donors at various stages where they agree on different terms. | There is a need to involve the Secretariat before an agreement has been reached between the Specialized Institutions and donors. |
| **Systems** | The IGAD Transitional Support Unit (TSU) has in place financial regulations and a code of conduct, which has been tailored from the IGAD financial regulations and UN regulations. The liaison and specialized offices share their progressive reports and budgets for the subsequent year with the Secretariat. Specialized Institution adequately reports to the donor as per the terms and conditions of the donor agreement. | Timely and integrated monitoring and evaluation systems are not available. Adequate and timely feedback by the Secretariat on the amendments that are made to these budgets. Efficient financial processes to disbursing and reporting funds. The performance management system in place is either inadequate or not in place. |
| **Human** | Performance management system in place | Understanding of IGAD's policies and procedures manuals (human resource, finance, procurement) is insufficient. Staff benefits and staff increments (financial and non-financial) mechanisms are inadequate. Skill sets, mentorship and training plans are not adequate. |
| **Knowledge** | | There is ineffective horizontal and vertical communication between and within specialized offices and the Secretariat. Adequate review processes and clear communication process to share and use information for management, planning and decision making. |

Source: IGAD: Report for Systems Audit and International Public Sector Accounting Standards Compliance Review, 2014.

# 2. BROAD MAPPING OF CAPACITY DEVELOPMENT

## 2.1. IGAD Response to Capacity Development

Capacity development (namely appropriate development policies, development information and knowledge sharing, human capacity building research, science and technology) remains one of the underlying principles for IGAD to deliver its mandate and meet stakeholder's expectations. This is a result of a number of institutional assessments IGAD had identified, amongst other things, the need for a comprehensive institutional capacity development so that it can deliver its regional integration mandate.

The findings of an institutional assessment study were also reflected in the four pillars of the IGAD Strategy, which identifies 14 program areas. Within each program area there are several specific programs and projects (35 programs, with 131 projects of the Strategic Implementation Plan (SIP) for 2011-2015.[2] Each of these programs areas includes a number of CD interventions ranging from intuition and systemic building, research and data sharing to human capacity enhancement. Moreover Pillar 4 (Corporate Development Services) includes sundry crosscutting interventions intended to enhance the corporate capacity of IGAD to deliver its mandate effectively in the following areas:

- The Secretariat's performance;

- Interactions between the Secretariat and Member States;

- Interactions between the Secretariat and partners in development;

- Interactions between the Secretariat and other stakeholders;

- Institutional building including:

  - Preparation of IGAD regional strategies and policies for research, science and technology agendas,

  - Strengthening strategic alliances, linkages and partnerships between regional research institutions and other institutions in the member states.

Table 3, below, summarizes the list of capacity development-fused programs that IGAD is working to implement in 2014. The overall principles can be summarized as follows:

- IGAD recognizes capacity development as the key ingredient for achieving the regional integration mandate. It is a crosscutting concern with potential to make a difference in regard to how the IGAD Secretariat and Specialized and Liaison Offices will deliver results. While Corporate Development Services provides services related to various capacities it is not a Pillar that is responsible for organizing and coordinating capacity programs within the IGAD.

- The application of capacity development in the IGAD extends beyond training to include institutional building, systems, human and knowledge. Specifically the IGAD is currently focusing on CD interventions that relate to: reviewing and redefining strategy; building institutions and systems to create an enabling environment for results; knowledge management in terms of data collection, dissemination, development ICT, and awareness creation; engaging stakeholders at the political level (Inter-Parliamentary Organization) in matters related to integration in the member states and advancing the implementation of the Strategic Implementation Plan.

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2    There is a difference between the 2013 Strategy Document and the 2013 Implementation Plan. The former identifies 33 programs and 79 projects (p. 23) and the latter keeps the figure from the 2011 Implementation Plan of 45 programs and 121 projects. (p. 2). It has not been possible to determine which figure is correct. The current Implementation Plan actually includes a note querying the same.

## TABLE 3: IGAD LIST OF ON-GOING CAPACITY DEVELOPMENT PROGRAMS DURING THE 2014 ANNUAL PLAN

1. Redefining the strategic framework of IPU-IGAD and its action plan for the period 2015-2018.

2. Collection of data on existing laws and regulations within IGAD countries.

3. Comparative study of laws enforced in the region and harmonization of laws and regulations.

4. Strengthening the legal capacity of IGAD in the management and dissemination of information and parliamentary work.

5. Building the capacity of Parliamentary Staff to achieve a legislative development in IGAD countries.

6. Establishing a Documentation Centre within the Secretariat to organize and archive all acts and other important documents; also create a website and an inter-parliamentary database.

7. Arrange regional workshops for the benefit of IGAD Member countries in the areas of mutual information sharing and ICT (Information and Communication Technology).

8. Advocacy in national parliaments and other legislative and/or representative bodies for the adoption of strategies aimed at accelerating regional integration by Member States.

9. Involving parliamentarians in conflict prevention, peacekeeping missions and security and post-conflict management particularly in South Sudan, Somalia and Sudan and elsewhere as needed.

10. Participation of parliamentarians in election observation missions in IGAD countries.

11. Conflict prevention particularly focused on the implementation of new strategies and initiatives to strengthen the fight against violence and trafficking of small arms.

12. Fighting against financial crime, the financing of terrorism and the creation of a sound legal basis to deal with money laundering.

13. Increase awareness of Parliaments within IGAD of the need to undertake activities for the protection of rights of displaced and stateless persons and for the ratification of important international conventions such as those on refugees and displaced children.

14. Reorganization and Coordination of the Women Parliamentarians Caucus of IGAD

15. Mainstreaming gender in any legislative process.

16. Raising the awareness of Parliamentarians on the HIV/AIDS pandemic and the need to adopt legislation to protect people affected by or infected with HIV/AIDS

17. Enhancing the awareness of parliamentarians from IGAD Member States on issues related to the conservation of land resources.

18. Coordinating and facilitating the establishment of an Inter-parliamentarian Pastoral Network.

19. Promoting and supporting the development of alternative energy.

## 2.2. Capacity Development — Commendable Practices

After assessing various IGAD reports, strategies and studies, this report has identified the following commendable practices from past and current Strategic Plan Implementation plans.

### 2.2.1. Enhancing the Implementation of Regional Integration

#### 2.2.1.1. Institutional Enhancement

In its Strategy (2011-2015) IGAD launched an Institutional Strengthening Action program (ISAP) 2012–2014 to increase its institutional capacity to enable the Secretariat and Specialised Offices to interact more effectively and efficiently with Member States, Development Partners and other Stakeholders, to strengthen the organization's operation as a results-oriented organisation. Under the ISAP, IGAD receives substantial support for capacity development from partners including the Nordic countries of Denmark, Finland, Norway and Sweden who have put their financial contributions in a Joint Financing Arrangement (JFA) mechanism. A similar financing mechanism was developed for the Peace and Security programs by Denmark, Norway, Sweden and Netherlands.

#### 2.2.1.2. Strengthening the Accountability Structure for Delivery

The Khartoum Declaration of the Eighth Assembly of Heads of State and Government issued on 23rd November, 2000 proposed the establishment of the IGAD Inter-Parliamentary Union (IGAD-IPU) for the Sub-Region to enhance and further consolidate ties between national parliaments, to pave the way for economic, political and social integration and sustainable human development. Specifically, IGAD-IPU intends to:

- Unity and strengthened ties of cooperation among IGAD member states' parliaments;

- Peace, security and stability within the IGAD Sub-Region;

- Good governance, transparency and the rule of law within IGAD Member States;

- The protection of human rights and fundamental freedoms, justice and gender equality;

- Dialogue and exchanges between Parliaments of IGAD Member States and between the Union and other regional Inter-Parliamentary Organisations;

- Awareness-creation and popularisation of the aims and objectives of the Union and IGAD among the peoples of the IGAD sub-region.

### 2.2.2. Planning, Monitoring, Resourcing and information

#### 2.2.2.1. Engaging the Stakeholders

The IGAD jointly collaborates with Member States to complement and leverage national development programmes and strategies, including amongst others, National Development Plans, Poverty Reduction Strategy Papers (PRSP) and country-specific Gender and Equality Policies and Strategies. Programming is coordinated at the highest level by the Assembly of Heads of State and Government, the top-level policy-making organ that meets once a year to determine the objectives, guidelines and programs of IGAD.

The Interregional Coordination Committee of IGAD (i.e. the Committee of Ambassadors) makes recommendations on potential programmes and project areas of importance presented by Member States. The Committee also engages with IGAD Partners Forum (IPF) to discuss and recommend further potential programme areas and projects to be supported by the Member States and cooperation partners, based on their priorities.

The IGAD Secretariat plays a key role in identifying priority areas for interventions and in communicating ideas and needs for programming at regional level. The Secretariat works with line ministries and other national institutions, employing an intensive participatory approach to ensure that ownership remains with the Member States. Much of the IGAD's work is carried out in a process approach involving intensive background studies followed by a series of workshops and meetings to reach common regional positions on the issues at hand.

Once projects have been agreed upon and budgets set they are approved by the Council of Ministers and made ready for implementation under the broad supervision of the Secretariat. Work planning to implement projects or programmes normally starts with a kick-off planning workshop with all relevant stakeholders and beneficiaries. This workshop also provides the opportunity to update stakeholder analysis if necessary, which in turn might facilitate any revision. Once the

inception period work plan is considered, further annual work plans begin to specify detailed activities, resources and cost scheduling based on the log-frame. All of this leads to completion of the Annual Work Plan (AWP) for the first year.

### 2.2.2.2. Monitoring and Evaluation

The purpose of IGAD's Monitoring and Evaluation (M&E) Guidelines is to provide a framework for understanding and building knowledge and skills in M&E, present the approach, procedures and formats for IGAD projects/programmes so as to improve monitoring and evaluation of its projects and programmes and to use the information and learning generated to improve both the projects and programs themselves and the strategic planning and operation processes of IGAD as a whole. To this end, IGAD is developing a Project Cycle Management[3] (PCM) approach, based on "Results Based management[4]" (RBM), while incorporating the different guidelines and manuals of various development partners (particularly the EU and World Bank), which support IGAD projects.

The IGAD M&E Guidelines standardise project/program reporting, which is currently carried out according to the format and schedule specified in each project document or agreed upon with the development partner and IGAD Secretariat. The Guidelines aim at improving the system for compilation of a single combined report on project/program performance and its use by the IGAD Secretariat.

### 2.2.2.3. Financial Harmonization and Coordination

To avoid duplication of resources, IGAD has established a mechanism to coordinate and harmonize donor funds to achieve each goal such as the Joint Financing Arrangement (JFA) mechanism for peace and security as well as the Institutional Strengthening Program (ISAP).[5] Coordination of the IGAD Partners Forum (IPF) which brings together IGAD member states, the IGAD Secretariat and donor agencies as well as other members such as the AU, COMESA, and the EAC.[6]

There is full acceptance that IGAD member states must become the main source of institutional funding.

"The IGAD member states recognize that the running of the organization is their responsibility and should therefore provide for its budget. This reflects their commitment and ownership of the institution that serves their interest."[7] There is also commitment to support the work of the professional Secretariat staff and various initiatives of member states, by drawing on the wealth of expertise and resources to be found within the national-level organs of its members as well as on the resources of the IGAD Partners Forum (IPF)[8] and regional and international organizations such as the Africa Union, UN Agencies, and others.

### 2.2.2.4. Applied Research for Planning Process

With more than half of the IGAD region classified as Arid and Semi-Arid Land (ASAL), subject to recurrent droughts that disrupt agricultural production and animal husbandry and contribute to chronic food insecurity, IGAD recognized the need for and has set up a permanent program for Dryland Agricultural Research and Technology. Problems to be addressed include inappropriate exploitation of the land and its products, excessive bush clearing, soil degradation, desertification, reduced production of food and livestock, loss of biodiversity and depletion of gene pools in pastoral and agro-ecosystems.

Recognizing that access to and application of knowledge is critical to build knowledgeable human capital so essential to the sustained development of society in the ASALs, IGAD has established the Program for Applied Research in the Dry-lands. The Government of Denmark has provided a Grant of 10 million Danish Kroner (about US$1.75 million) to the IGAD Secretariat, for an initial period of 3 years, to support applied research and studies addressing core dry-land resilience issues, including food security and sustainable development. The programme promotes relevant and effective involvement of institutions, researchers, extension agents and entrepreneurs in efforts to contribute to the capacity of the communities in the IGAD region dry-lands to attain food security and build resilience to drought and other environmental shocks.

IGAD has also put in place a mechanism to disseminate best practices and research results production systems and alternative livelihoods in the IGAD dry-lands areas. Indicators of success of the initiative will be the ability of the organization to provide usable research results,

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3   See the "IGAD Project Cycle Management Manual" draft (March 2012).

4    See "Results Based Management at IGAD" series of manuals and guides (2011).

5   Ibid., page 12

6   The IGAD Strategy (2011 version), p. 25

7   Op cit., pp. 9, 26

8   Ibid, p. 43

information and appropriate skills to communities in the ASALs and helping those communities increase their resilience to drought and other shocks and concurrently improve their food, security and livelihoods for the inhabitants.

### 2.2.3. Collaboration and Partnership

IGAD believes that working alone is not an option. It has approached its integration mandate  with the premise that when diverse actors join forces, the net effect will be bigger than the sum of individual activities. Furthermore, when stakeholders are actively engaged, local ownership can be achieved through creation of a common vision and a strategy, setting of the agenda and priorities and establishing a plan of action. To this effect the IGAD has created several spaces and forums to engage directly the stakeholders. For example, IGAD Partners FORUM (IPF) is comprised of a formal group of partners known as "Friends of IGAD" and members at the ministerial, ambassadorial and technical levels work with the Secretariat to allocate resources for IGAD strategic plans and programs.[9]  The IGAD NGOs and Civil Society Forum, which was established pursuant to the decision of the IGAD Council of Ministers, serves as a mechanism to involve civil society appropriately in policy formulation and strategic planning discussions and in the planning, design and implementation of IGAD programs and processes.

Also, IGAD has a forum for intellectuals in the region called the Greater Horn Horizon Forum (GHHF). Through this forum, IGAD engages technical experts from the member states to discuss issues concerning the environment, transport, gender affairs, health (HIV/AIDS), drought relience initiative (IDDRSI). Through these,  and many other regional technical committees, IGAD is advancing collective knowledge and integrating it into its  design and plannning of  programmes. Therefore, to a large extent, IGAD is considered a 'project and expert' orgaganization.

At the Continental level, the core programme areas of the IGAD peace and security agenda, guided by its *Regional Peace and Security Strategy,* is consistent and aligned with the AU Peace and Security program, defined by the *Africa Peace and Security Architecture.* Within this, IGAD peace and security programmes are contributing to the bigger objective of continental security by buying into the overall continental peace and security priorities In response to the decision of the IGAD Summit held in

Nairobi in September 2011 relating to ending drought emergencies, the IGAD Secretariat, with the support of and in consultation with member states, development partners and technical institutions, identified regional priorities that form the IGAD CAADP Compact and action areas.

With respect to relationships with EAC, COMESA and CEN-SAD, where an IGAD member country can belong to two or more of these institutions, IGAD plans to negotiate and enter into cooperative agreements to advance African Integration.

## 2.3. Assessment of Capacity Development Assets and Gaps

### 2.3.1. Summary of CD Interventions in the Ended and On-going Programs

The study assessed documentation and conducted interviews with key personnel to assess capacity development assets and gaps in relation to four core levels of the Capacity Development Strategic Framework (CDSF). We also reviewed a number of programmes, strategies and policies – the list attached in Appendix B.

Table 4 summarizes the distribution of the four key operational dimensions of CD intervention priorities amongst the IGAD Pillars. The largest concentration of interventions is focused on System (42), followed by Institution (29), then Knowledge (18) and least of all on Human (5). This means that **capacity development-related interventions in the IGAD have been focusing mostly on system (process, procedures, guidelines and structure) and institution building (policies, programmes, regulatory tools and strategy) to create interfaces between planning and implementation.**

However, system and institution levels are not ends in themselves. Committed and skilled personnel and appropriate knowledge acquisition and sharing systems are required to complete the full circle, so an institution can deliver results effectively. Thus insignificant or very low CD interventions at the human and knowledge levels, requires special attention by the IGAD Secretariat, Specialized and Liaison Offices or the member states in attaining their mandates.

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9    Austria, Belgium, Canada, Denmark, France, Greece, Germany, Ireland, Italy, Japan, Netherlands, Norway, Sweden, Switzerland, United Kingdom, United States of America, European Commission, International Organization for Migration, United Nations Development Program, World Bank *inter alia.*

TABLE 4: A SUMMARY OF CAPACITY DEVELOPMENT INTERVENTIONS OF THE ENDED AND ON-GOING PROGRAMS AND STRATEGIES

|  | Institution | Individual | System | Knowledge | Total |
|---|---|---|---|---|---|
| Pillar 1 | 6 | 2 | 21 | 9 | 38 |
| Pillar 2 | 11 | 1 | 12 | 5 | 29 |
| Pillar 3 | 7 | 2 | 9 | 1 | 19 |
| Pillar 4 | 5 | 0 | 0 | 3 | 8 |
| Total | 29 | 5 | 42 | 18 | 94 |

## 2.3.2. Capacity Assets and Gaps

Issues relating to CD interventions figured prominently in the evaluation reports as well as in discussions with key internal stakeholders at IGAD. A study that informed the 2011-2015 Strategic Plan pointed out that whilst staff members of the Secretariat are committed, all are overloaded because there are too few staff for the work that needs to be done. During the interview, staff expressed concerns about the working conditions in the Secretariat. Due to, understaffing they feel it impacts job performance as tasks that actually require the attention of several people are assigned to a single person. Available and required gaps are summarized according to four core levels of capacity development.

### 2.3.2.1. Institution Building

Capacity Development assets related to institution building are mainly directed towards institution strengthening such as "self-improvement" and the self-audit initiative focuses on enhancing the capacity of the IGAD Secretariat and Specialized Institutions. Other initiatives include establishing new institutions, revising and harmonizing policies, structures, legislations, protocols and enhancing interaction between the Secretariat and Member States. This includes developing mechanisms to strengthen linkages, reviewing the structure and composition of Organs, strengthening Liaison and Specialized Offices to assist the Secretariat to implement activities in member states and establishing an IGAD eminent persons committee.

In regard to collaborative leadership, IGAD shows strength in enhancing interactions between the Secretariat and development partners – including reviewing and improving mechanisms to strengthen relationships with partners and establishing new funding mechanisms for programmes. Enhancing interaction between the Secretariat and other stakeholders includes promoting the participation of a Civil Society and the private sector in IGAD activities and improving collaboration with relevant regional/international institutions.

Based on the *Systems Audit Report* (2014), there is a need for clearly structuring the mandates to ensure accountability mechanisms are implemented and enforced. There is also a need to establish mechanisms to mobilize funds to ensure that proposed structures and established policies can be implemented. Ensuring that the current reform process is sustainable is a challenge going forward.

Key finding: Budget alignment to strategic goals and priorities is required to ensure that resources are optimally allocated to enhance the integration of policies and implementation for results.

### 2.3.2.2. Systems

Much of the capacity asset reservoir relating to System includes formulation of guidelines and procedures for short and long-term actions to increase organizational effectiveness, establish funding mechanisms, develop and implement sectoral strategies and programmes and budget reporting to ensure accountability of the implementation of the IGAD goals. IGAD has a "Project cycle management" manual and "monitoring and evaluation guidelines for programmes and projects" as well as a Result Based Management (RBM) framework, a Management Information System (MIS) and Monitoring and Evaluation (M&E) Frameworks to standardize project management practices and documentation.

Overall the assessment revealed some capacity gaps in financial management systems in the areas of training, financial information systems, reporting and human constraints. The effectiveness of M&E and Information Management Systems need to be enhanced to enable the Secretariat and other institutions to use the common M&E format. This may reduce inconsistencies in the budgeting and reporting formats used for various projects.

Key finding: Robust and responsive opening rules and procedures, supported by an appropriate Information Management System and an Integrated Monitoring and Evaluation and reporting frameworks are essential for IGAD to achieve results-based performance.

### 2.3.2.3. Knowledge

IGAD has recently introduced a Knowledge Management Centre to spearhead the knowledge component – which includes knowledge acquisition, documentation, sharing, transfer and utilization. Under the designation of Capacity Development, IGAD Strategy includes advocacy, awareness creation, communication and information sharing working with research institutions and experts to enhance knowledge acquisition and exchange. In addition, the Secretariat has established compatible policies for regional integration and working with member states to identify relevant and appropriate field options, carrying out studies related to policies, supporting the policy harmonization process and providing forums to discuss methods to implement those policies.

Communication and ICT strategies have been established to strengthen ICT and information systems, not only to expand ways to share knowledge but also to create awareness and engage citizens throughout the region in dialogue. The Secretariat has mainstreamed its research infrastructure and agenda through partnerships with research and specialized institutions in the regions.

However, as the interviews confirm, building a culture of learning and learning sharing is a capacity gap at all levels of the IGAD Secretariat and Specialized and Liaison Offices. Also, the Specialized and Liaison Offices require adequate mechanisms be set in place before they can begin to act as catalysts for knowledge exchange with member states (Systems Audit Report 2014). Identification of knowledge needs is critical if knowledge and technology are to be utilized as tools for the effective implementation of regional agendas.

Key finding: It is a fundamental need for IGAD to have a distinct organizational identity based on its vision, mission, value and mandates and they are effectively communicated to all staff and key in the member states.

### 2.3.2.4. Human Capital

IGAD has a well-documented Human Resource (HR) policy and procedures which define the various processes. The policy addresses the rights and responsibilities of all staff members. All HR matters are ratified by the Executive Secretary including management of hiring procedures, staff files and payroll. There was no evidence of how HR ensures compliance with the policy at the Specialised and Liaison Offices level or how these offices are supported when it comes to identifying and addressing HR needs. Based on Systems Audit Report (2014) the following was noted:

- While systems for staff appraisals and promotion based on performance, termination, demotion, confirmation or extension of probation and withholding of within-grade increments or granting accelerated advancement exist, they are not fully implemented;

- IGAD has well-developed Human Resource policies. The governing body has placed employees in key management and financial reporting positions who have the required knowledge, skills and integrity to perform their duties. Other positions are filled based upon defined job descriptions and the approval of the Executive Secretary and the responsible Director;

- Key experienced and skilled staff, especially in the finance department, are tied to donor funds and not paid from general payroll of the secretariat.

- Secretariat and Specialized Offices have a shortage of staff both in number and skill-sets;

- Teamwork is encouraged and work is organized according to plans. Participation of staff at all levels in planning and evaluation is limited. Further, enhancing lines of duties, responsibilities and communication among the staff members and management is required;

- Through consultation with experts and key stakeholders during the institutional reform process, staff members at the Secretariat have accumulated experience and skills. But it is critical that these skills be transferred to other IGAD offices and to member states so that they can become catalysts to implement institutional reforms in their respective countries;

- Processes for staff skills audits, human capacity assessment, proper skills inventory, staff training and succession planning is important to align the workforce and expansion of mandates in IGAD.

- The region is experiencing a "brain drain" as professional Secretariat staff and some other employees leave before their contracts end.

Key finding: Building on bedrock human resources is the most vital requirement and priority should be given to human development strategies to determine what workforce is required and to enhance accountability, commitment, learning and sharing and to strengthen the performance and motivation of employees to take IGAD to the next stage of its integration agenda.

## TABLE 5:   SUMMARY OF CAPACITY DEVELOPMENT ASSETS AND GAPS

| Core CD Levels | Available Capacity | Required Capacity |
|---|---|---|
| **Institution Building** | • Internal audit control in place.<br>• Organizational structure aligned with IGAD vision.<br>• Member states commit to funding IGAD.<br>• Accountability mechanism and structure in place<br>• Control and travel policies in place.<br>• Linkage with stakeholders and member states.<br>• Institutional reforms are taking place to enhance Secretariat capacity.<br>• Harmonizing policies and protocols for better coordination.<br>• Inter-REC linkages have been built.<br>• Capacity Development recognized as a key ingredient to enable an institution to deliver results.<br>• Collaborative leadership stakeholders including:  the IGAD NGOs and Civil Society Forum, IGAD Business Forum (IBF), IGAD Partners Forum (IPF), IGAD and the Greater Horn Horizon Forum (GHHF), which brings together intellectuals in the region. | • Adequate and sustainable resource mobilization –both internal and external.<br>• Adequate mechanisms to engage member states<br>• Capacity development is critical for the member states to become the backbone of the integration implementation.<br>• Adequate capacity of Specialized and Liaison Offices to deliver.<br>• Additional policies to operationalize the new systems being established. |
| **System** | • The Mid-Term Review to update the 2011-2015 strategic plan has been conducted to inform preplanning.<br>• Donor reports are shared with respective donors depending on the terms of agreement.<br>• Project Preparation and Management Unit (PPMU) is in place.<br>• In 2014 IGAD conducted an overreaching system audit at the Secretariat and its Offices (Specialized and Liaison)<br>• Result-Based Management (RBM) system introduced.<br>• Conflict Prevention, Management and Resolution (CPMR) Programme developed.<br>• The IGAD Transitional Support Unit (TSU) is established.<br>• IGAD's SunSystem financial application introduced.<br>• The audited financial statements reported governance body.<br>• Administrative and financial control and M&E in place.<br>• Baseline mapping and a legal and policy framework were established for the development of Warehouse Receipt Systems (WRS) has been established. | • Effective and integrated MIS.<br>• Implementation of recommendations proposed to address the issue s raised in the 2014 System Audit.<br>• Adequate, effective and integrated financial management.<br>• Accounting SunSystems that is functional<br>• Structures allow accountability and compliance to take place |

| Core CD Levels | Available Capacity | Required Capacity |
|---|---|---|
| Human | • Human Resources Policy Manuals are in place.<br><br>• Process to evaluate staff members for promotion and termination has been developed. | • A revised payment scheme.<br><br>• Adequate workforce in terms of number of personnel and skill sets.<br><br>• Active involvement of personnel in the development of a project and other administrative business<br><br>• Adequate deliberate succession planning mechanisms<br><br>• Some staff leave before their contracts have expired.<br><br>• "Human capital flight" experienced in the region.<br><br>• Effective human resource planning<br><br>• Aligned roles and responsibilities across divisions and within departments.<br><br>• Functional accountability mechanism to keep staff bound to the organization and committed to performance.<br><br>• Performance contracts and identification of skill sets and workforce required as IGAD grows.<br><br>• Effective horizontal and vertical communication at all levels of IGAD Secretariat and Institutions |
| Knowledge | • ICT Structures and Communication strategy are in place<br><br>• Knowledge Management center established<br><br>• Evidence-based information informs planning and changes in IGAD.<br><br>• Mechanism in place for the division to gather key information.<br><br>• Effective involvement of institutions, researchers, extension agents, entrepreneurs and experts.<br><br>• IGAD Mediation Support utilizes the knowledge and experience of technical experts and mediators.<br><br>• Regional strategies and policies for research, science and technology plans are in place.<br><br>• Strategic alliances, linkages and partnerships between regional research institutions and other institutions in the member states established.<br><br>• Skilled and experienced consultants and long-term personnel are recruited. | • Strategy for institutional memory is required<br><br>• Functional mechanisms for knowledge exchange.<br><br>• Utilization of skills and experiences of Africans living in the continent and those who are living in Diaspora.<br><br>• Establishment of Community of Practices at member state levels.<br><br>• IGAD Specialized and Liaison Offices to be a center of knowledge distribution. |

### 2.3.3. Scope of Capacity Development

According to the implementation framework of the IGAD Regional Strategy 2011-2015, the roles and responsibilities vary between the Secretariat and Specialised Office. However, the list of past and current programmes, attached in Appendix 3 and Figure 1 below show:

• That the Secretariat is the ultimate institution responsible for project outcomes. Few interventions are allocated through Specialized Offices. In some projects, the funding agent participates in implementation of the program – for example to provide technical assistance (TA).

• That Member States also appear to be responsible agents for implementation. However, building and maintaining effective synergy between regional and national programs, with a modest Secretariat, is a real challenge for IGAD.[10] Interviews also reflected that extension of the Secretariat into member states has not functioned well due to the fact that it doesn't fit well within the institutional framework either of the IGAD or of the member states.

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10 IGAD Strategy – Fostering Resilience Through Sustainable Development, Djibouti, 2013, (Updated Draft Version), p. 7

### FIGURE 1: IMPLEMENTATION TRENDS OF IGAD STRATEGIC PLANS
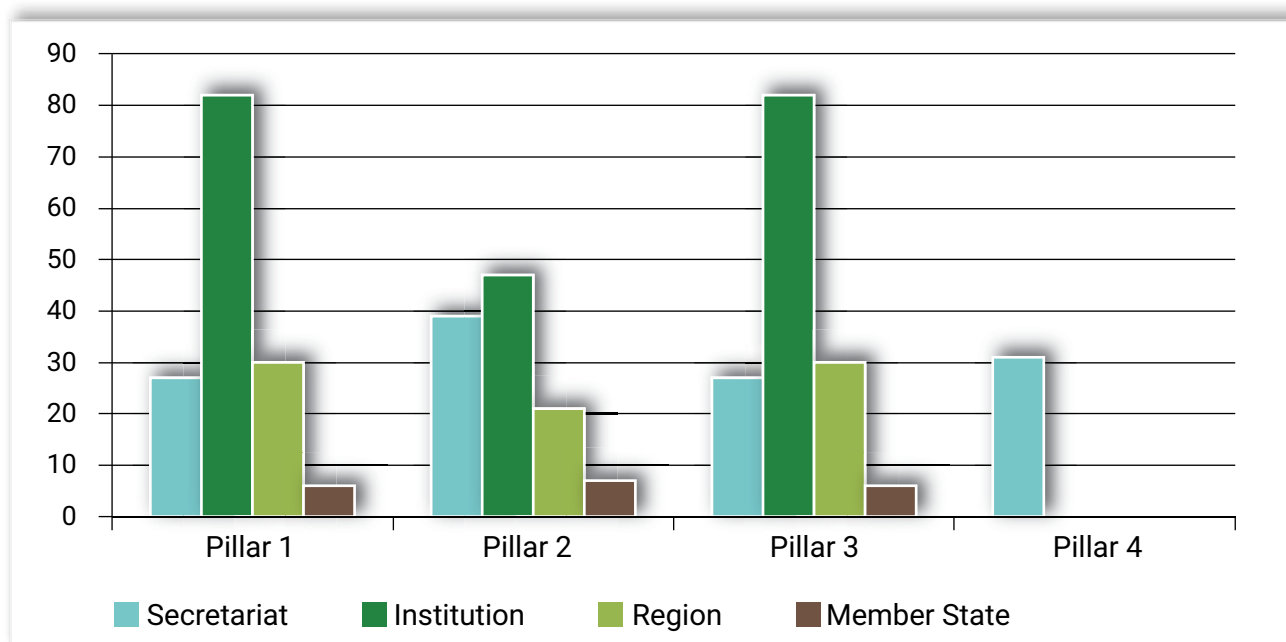


### 2.3.4. Funding Capacity Development

This section looks at partners as funders and budget variables that impact support for the implementation of CD interventions. An essential ingredient for IGAD's success has been continued cooperation with many development partners: the European Union (EU) Germany, The Netherlands, Denmark, USAID, Norway, Finland, Spain, Sweden, Italy, Canada, the World Bank and the African Development Bank (AfDB). All have worked with the IGAD over the years – coordinating their inputs through the IGAD Partners Forum (IPF), which includes the donors and also the IGAD member states, the IGAD Secretariat and other members such as UNDP

and the AU. Other UN participants that cooperate with the IGAD Secretariat in programs and projects include FAO, WHO and UN Women. Non-UN agencies include the International Union for Conservation of Nature (IUCN), the Common Market for Eastern and Southern Africa (COMESA), the East African Community (EAC), Indian Ocean Commission (IOC), the Association for Strengthening Agricultural Research in Eastern and Central Africa (ASARECA), the Organization for Social Science Research in Eastern and Southern Africa (OSSREA), the Regional Centre for Mapping and Resources for Development (RCMRD), AFRICOVER and the Famine Early Warning Systems Network (FEWS), amongst others.

With respect to the allocation of funding,[11] Programs and Projects Fact Sheets were analysed to determine which operational dimensions of CD intervention priorities are most funded under each pillar. Table 6 below shows that donors seem to be more interested in supporting CD interventions related to the system and institution building and less interested in supporting interventions related to knowledge.

[11]    There was enough information to analyse the funding sources and their areas of CD interest.

## TABLE 6:   NUMBER OF FUNDERS SUPPORTING CD PROGRAMS IN EACH PILLAR

|  | Institution | Human | System | Knowledge | Total |
|---|---|---|---|---|---|
| Pillar 1 | 4 | 1 | 13 | 6 | 24 |
| Pillar 2 | 11 | 1 | 10 | 4 | 26 |
| Pillar 3 | 5 | 0 | 5 | 1 | 11 |
| Pillar 4 | 5 | 0 | 0 | 0 | 5 |
| Total | 25 | 2 | 28 | 11 | 66 |

Source: IGAD Strategy 2011 Version

The number of on-going projects with funders is insignificant. This is consistent with the indicated budget for the IGAD 2011-2015 Strategic Plan[12] summarized in Table 7. Of a total budget of $279,485,999, the funded amount available at the time of the research was only US$97,473,818 leaving US$182,012,181 to be mobilized. The fact that only 35% of what was required was available at the time of planning[13] raises a number of critical issues related to implementation possibilities.

[12]    See the Annex 1A-D: Programs and projects Fact Sheets, Page 2 of the IGAD, Regional Strategy Implementation Plan 2011 – 2015.

[13]    IGAD. "IGAD Strategy Implementation Plan 2011-2015," 2013 Update p. 21

## TABLE 7:   INDICATIVE BUDGET FOR EACH PILLAR (IN USD MILLION)

|  | Available Funding | Funds to be mobilized | Total funds (mil. USD) | Percent available |
|---|---|---|---|---|
| Pillar 1 | 42.89 | 95.8 | 138.69 | 31% |
| Pillar 2 | 28.42 | 37.92 | 66.34 | 43% |
| Pillar 3 | 20.57 | 47.89 | 68.46 | 30% |
| Pillar 4 | 5.6 | 0.4 | 6 | 93% |
| Total | 97.47 | 182.01 | 279.49 | 35% |

Source: IGAD Strategy 2011 Version

# 3. FINDINGS, RECOMMENDATIONS AND COLLABORATION

## 3.1. Key Findings and Recommendations

The purpose of the mapping/scoping exercise was to assess activities related to capacity development undertaken to date by IGAD. This included, on-going strategies and programmes proposed as well as studies undertaken in order to identify CD assets, what gaps exist and what interventions the REC and the AU-Multi-Agency Capacity Development Program may consider to incorporate greater capacity development strategies to advance effective implementation of the regional integration agenda. Appendix 1 summarizes the main CD assets and gaps and proposed interventions under each key finding in terms of institution building, system, human and knowledge.

### 3.1.1. Institution Building

*Key finding: Ensuring budgets are aligned to strategic goals and priorities, resources are optimally allocated and efficient accountability mechanisms are in place to enhance the integration of policies, planning and results.*

IGAD is currently involved in institution reform especially to increase the capacity of the Secretariat to better coordinate the implementation of the integration agenda. At the same, IGAD has demonstrated strength in collaborative leadership to involve stakeholders in the different areas of implementing that agenda. For example, through the involvement of NGOs and the Civil Society Forum citizens are engaged. The Business Forum (IBF) brings together the private sector to discuss possibilities of implementing the integration agenda in terms of trade and business. The Greater Horn Horizon Forum (GHHF) utilizes intellectuals and experts in the region and the Partners Forum (IPF) mainly participates in resource mobilization. In addition, strategies and programmes are well-aligned with the vision and mandates of IGAD and are regularly reviewed. The information gathered is used in the on-going planning process to sharpen focus on results.

As work expands within the IGAD it is critical to mobilize more resources from within the region to complement external funding - this is critical for all long-term and sustainable regional integration programmes. In practice, Capacity Development is recognized as a

key ingredient to enable institutions to deliver results; institutionalization of CD within IGAD's organization structure is important so that CD programs are well coordinated and aligned with the post-2015 IGAD Implementation Strategy Plan. To address these issues the assessment defined the following interventions:

- A quantifiable CD plan is required to support the next generation of the IGAD Implementation Strategic Plan, placing CD within IGAD's Corporate Development Service for better CD planning and coordination.

- Enhancement of capacity at member states is important so they can be full participants in the IGAD's integration strategy.

- Interventions to strengthen the IGAD-Inter-Parliamentary Unit (IPU), NGOs, the Civil Society Forum, the Business Forum (IBF), the Partners Forum (IPF), and the Greater Horn Horizon Forum (GHHF) to engage citizens on integration issues on a larger scale.

- Priority be given to mobilizing sustainable and long-term resources in collaboration the IBF, other RECs, member states and the IPF with emphasis on utilizing African resource for the regional integration agenda.

- Interventions to strengthen the IGAD Specialized Offices including Liaison offices to address, in particular, governance, management, structure and human related capacity issues.

### 3.1.2. System

*Key finding: Robust and responsive opening rules and procedures, supported by an appropriate Information Management System and an Integrated Monitoring and Evaluation and reporting framework are essential for IGAD to achieve results-based performance.*

To ensure more effective operation of the Secretariat and its Offices (Liaison and Specialized), IGAD has established within its organizational structure, fundamental processes, procedures and guidelines such as: internal audits, financial controls, a Project

Preparation and Management Unit (PPMU), a Monitoring and Evaluation (M&E) system, Management Information Systems (MIS), Result-Conflict Prevention, Management and Resolution (CPMR), a Results-Based Management (RBM) system, Warehouse Receipt Systems (WRS), and a Transitional Support Unit (TSU) inter alia.

IGAD has undertaken a revision planning-process of its current Implementation Strategy Plan based on the review conducted in 2013 and has also conducted a systems audit to determine what is working well and what is not working in order to enhance the effectiveness of these systems.

Notwithstanding significant capacities in setting operational processes, there are still structural, managerial and programme delivery challenges for the IGAD Secretariat and its Offices (Institutions and Liaison) to deliver the key regional integration program successfully. For example, some newly established rules and procedures require new policies for smooth operationalization. An efficient organizational structure needs to be in place to ensure that there are no overlaps in some of key duties and responsibilities if the accountability mechanism is to be effective. More attention is required to ensure that M&E and MIS are integrated and include all levels of the Secretariat and its Institution and Liaison offices as well as the member states.

The following CD interventions are considered necessary to increase the effectiveness of the IGAD's procedures, guidelines and processes.

- Amendment of management practices and systems focusing on administrative processes, lines of authority and responsibility, feedback mechanisms, operating rules and guidelines, as well as internal audit, control and procurement. The IGAD system audit conducted 2014 can be helpful in providing the parameters for this amendment.

- A well-functioning and integrated M&E system is required to guide all key stakeholders in implementing, monitoring, evaluating and reporting all projects, programs and strategies.

- A constant review of the organizational structure, programs, policies, procedures, and guidelines to ensure that they always conform to IGAD's regional integration agenda in line within technological and social and economic trends.

- It is important to put into operation an effective Management Information System for planning, re-planning and policy-making processes. These are means through which all levels of the IGAD Secretariat and institutions access the same information and integrate data collection, processing, storing and sharing into management functions.

### 3.1.3. Human

*Key finding: Building on bedrock human resources is the most vital requirement for the implementation of the IGAD protocols and programmes of regional integration.*

IGAD has established polices related to human resources. For example, there is a process to evaluate staff members for promotion, termination, demotion, confirmation or extension of contract. But as noted earlier in the study, building human capacity seems to have fewer CD interventions compared to other CD core levels. The assessment shows that there are different sources used to compensate staff – payment of key members in some areas such as procurement and finance comes from donor funding while others are paid from the general budget. The organization also experiences 'human capital flights' with some staff and experts leaving before their contracts have expired because of an unfavorable work environment. Some processes such as performance contracts or staff appraisals are not adequately implemented. This is problematic as employees are the key for any organization to implement reforms and achieve real results. Thus, priorities may include the following:

- Arrange workflow according to Secretariat plans to engage employees more fully in the planning process and in other administrative issues. Practical tools such as the use of video conferencing may be considered to increase vertical and horizontal interaction between the organs and the Secretariat as well as between the Secretariat and its Specialized and Liaison Offices.

- Assessing and planning of skill-sets, introducing mentorships as a means to retain staff and skills and conducting leadership development programs in line with IGAD expansion and mandates.

- Performance contracts focusing on human resource policies and procedures and aligned with IGAD governing and Secretariat

organizational structures, grading systems and remuneration structure and include a performance management and appraisal system.

### 3.1.4. Knowledge

*Key finding: It is a fundament need for the IGAD to become a learning institution that effectively communicates its vision, mission, value and mandates to all staff members as well as to member states.*

Much of the IGAD's strategies and programs emerge from situational analyses and background studies followed by a series of workshops and meetings that produce common regional positions on the issues at hand. These are then usually endorsed by the sectoral policy organs and approved by higher IGAD Policy Organs. IGAD effectively involves institutions, researchers, extension agents and entrepreneurs in the decision-making process, particularly in areas of drought, food security and the peace and reconciliation process. In other words, knowledge comes into the IGAD through linkages with regional research institutions, experts and consultants and knowledge sharing and exchange with other RECs. Also, it was noted that in each division there is a process in place for gathering key information to support the operational and financial objectives and technical and financial reporting.

It was also noted that whilst staff have accumulated considerable experience and knowledge during the institutional reform process, the challenge is to transfer that knowledge to other employees at other IGAD institutions and at member state level. It was also observed that more interventions are required to help staff fully internalize the vision, mission and values of IGAD. Peer-to-peer learning will be important to increase interaction vertically and horizontally so that skills and experience that exist with individual professional and executive staff will be synchronized and become a knowledge asset for implementation of the integration programs.

Three CD interventions would address these issues and help IGAD become a learning institution:

- Programs to increase the knowledge of staff at all levels of IGAD Secretariat and Offices (Liaison and Specialized), with emphasis on internalizing the vision, values, mission and procedures guidelines.

- Increasing the harnessing and utilization of African Skills and experience by establishing a pool of CD technical expertise, developing a strategy to tap into the potential of Africans living in the Diaspora and increasing the capacity of the Greater Horn Horizon Forum (GHHF) to coordinate innovation and skills development in collaboration with higher education and Centers of Excellence.

- Operationalizing the implementation of an effective communication strategy, including the establishment of a Community of Practices (CoPs) and a knowledge exchange framework to increase knowledge and awareness of the integration agenda throughout the region.

## 3.2. Areas of collaboration

There should be a collective effort to utilize capacity development to help implement a complex agenda and achieve lasting regional integration that will make a real difference to people's lives. The following interventions should help the M-CDP support capacity-strengthening within IGAD to deliver core mandates and achieve its regional integration goals:

- Mobilize resources by establishing an inter-REC implementation framework for resource mobilization and providing technical and financial support that IGAD can access.

- Become involved in developing a comprehensive results-oriented CD program and helping to roll out the program. This will involve providing CD guides based on the Capacity Development Strategic Framework to help to ensure that the planning and monitoring processes reference the same indicators.

- Engage in the process of revising and integrating MIS and M&E to assist IGAD to become a more results-oriented organization.

- Support the assessment, planning and roll-over of programmes for human and skills-set development.

- Assist in the establishment of a CD technical experts' pool and the development of an Africans in the Diaspora strategy to increase the utilization of evidence-based knowledge in everything that the IGAD does regarding regional integration.

## 3.3. Conclusions

There are unlimited opportunities for the IGAD to improve the social and economic circumstances of the people of this region. There is little doubt that appropriate utilization of valuable African resources would go a long way towards freeing the Secretariat from its current dependency on foreign donors.

Moreover, the experience gained by IGAD through its programmes and strategies has provided a constructive foundation on which to build Multi-Agency Capacity Development Programs. Thus, to maintain continuity, it is proposed that interventions are action-oriented and designed to support specific initiatives and to optimize existing strategies, programmes, structures, systems and mechanisms to deliver better results.

Shores near Djibouti port
© Derejeb | Dreamstime.com

# APPENDIX 1: SUMMARY OF KEY FINDINGS, AVAILABLE AND REQUIRED CAPACITY AND OUTPUTS

| Core CD Levels | Available Capacity | Required Capacity | Key finding | CD Outputs | Opportunity for AU-MCDP |
|---|---|---|---|---|---|
| **INSTITUTION BUILDING** | • Internal audit control in place.<br>• Organizational structure aligned with IGAD vision.<br>• Member states committed to funding the IGAD.<br>• Accountability mechanisms and structures in place.<br>• Control and travel policies in place.<br>• Linkage established with stakeholders and member states.<br>• Institutional reforms taking place to enhance Secretariat capacity.<br>• Harmonization of policies and protocols for better coordination.<br>• Inter-REC linkages have been built.<br>• Collaborative leadership stakeholders include:<br>• The IGAD NGOs and Civil Society Forum,<br>• IGAD Business Forum (IBF),<br>• IGAD Partners Forum (IPF),<br>• IGAD and the Greater Horn Horizon Forum<br>• (GHHF) which brings together the intellectuals in the region.<br>• Capacity Development recognized as the key ingredient to enable institutions to deliver results. | • Adequate and sustainable resource mobilization – both internal and external.<br>• Mechanisms to engage member states adequately.<br>• Capacity development focused on enabling the member states to become fully engaged in the implementation of the integration agenda.<br>• Additional policies to operationalize new systems being established.<br>• Strengthening the Specialized and Liaison Offices to deliver results. | *Ensuring that budgets are aligned to strategic goals and priorities, resources are optimally allocated, and efficient, mechanisms to ensure accountability are in place to enhance the integration of policies, planning and results.* | 1. A quantifiable CD plan to support the next generation of the IGAD Implementation Strategic Plan and placing CD within IGAD's Corporate Development Service and framework for better CD planning and coordination.<br><br>2. Identification of CD needs required for member states to implement IGAD's plans.<br><br>3. Interventions to strengthen IGAD-Inter-Parliamentary Unit (IPU) NGOs and Civil Society Forum, Business Forum (IBF), Partners Forum (IPF), and the Greater Horn Horizon Forum (GHHF) to engage citizens in issues of integration on a larger scale.<br><br>4. Mobilization of sustainable and long-term resources in collaboration with IBF, RECs, member states and IPF with emphasis placed on utilizing African resource to support the regional integration agenda.<br><br>5. Interventions to strengthen IGAD's Specialized Offices (including the Liaison offices) and particularly to address governance, management, structural and human-related capacity issues. | Become involved in the process of developing a comprehensive results-oriented CD program and its framework to roll out the program.<br><br>Support mobilization of resource efforts by establishing an inter-REC implementation framework to mobilize resources and provide technical and financial support for IGAD during the process. |

| Core CD Levels | Available Capacity | Required Capacity | Key finding | CD Outputs | Opportunity for AU-MCDP |
|---|---|---|---|---|---|
| SYSTEM | • The Mid-Term Review to update the 2011-2015 strategic plan has been conducted to inform pre-planning.<br>• Reports are shared with respective donors depending on the terms of agreement.<br>• The Project Preparation and Management Unit (PPMU) is in place.<br>• In 2014 the IGAD conducted an over-arching systems audit at the Secretariat and its Offices (Specialized and Liaison).<br>• A Results-Based Management (RBM) system has been introduced.<br>• The Conflict Prevention, Management and Resolution (CPMR) Program has been developed.<br>• The IGAD Transitional Support Unit (TSU) is established.<br>• IGAD's SunSystem financial application has been introduced.<br>• The audited financial statements reported governance body is in place.<br>• Administrative and financial controls and M&E are in place.<br>• Baseline mapping and a legal and policy framework for the development of Warehouse Receipt Systems (WRS) has been established. | • Effective and integrated MIS.<br>• Implementation of recommendations proposed to address the 2014 System Audit.<br>• Adequate, effective and integrated financial management.<br>• Make SunSystems more functional.<br>• Ensure structures allow accountability and compliance to take place. | *Robust and responsive rules and procedures, supported by an appropriate Information Management System and an Integrated Monitoring and Evaluation and reporting framework, are essential for IGAD to achieve results-based performance.* | 1. Amendment of management practices and systems focusing on administrative processes, lines of authority and responsibility, feedback mechanisms, operating rules and guidelines, as well as internal audit, control and procurement, and the IGAD system audit conducted in 2014 can all be helpful in revision.<br><br>2. A well-functioning and integrated M&E system is needed to guide all key stakeholders to implement, monitor, evaluate and report on all projects, programmes and strategies within the IGAD Secretariat and offices (Liaison and Specialized).<br><br>3. Constant reviews of organizational structure, programs, policies, procedures and guidelines are needed to ensure that they are always synchronized with IGAD's regional integration agenda in line with technological and social and economic trends.<br><br>4. Operationalization of an effective Management Information System for planning, re-planning and policy-making to ensure that all levels of IGAD Secretariat and institutions access the same information. Also make data collection, processing, storing and sharing a part of management functions. | Engage in the process of revising and integrating MIS and M&E to assist IGAD to become more results-oriented. |

| Core CD Levels | CD Assets | CD Gaps | CD Intervention | CD Outputs | Opportunity for AU-MCDP |
|---|---|---|---|---|---|
| HUMAN | • Human Resources Policy Manuals are in place.<br>• A process to evaluate staff members for promotion and termination has been developed. | • A revised payment scheme.<br>• Adequate workforce in terms of numbers of personnel and skill-sets.<br>• Active involvement of personnel in the development of projects and other administrative business.<br>• Adequate and deliberate succession-planning mechanisms.<br>• Dealing with the challenge of staff leaving before completing their contracts.<br>• Addressing the issue of "Human capital flight" experienced in the region. Aligned roles and responsibilities across divisions and within departments.<br>• Functional accountability mechanism to keep staff bound to the organization and committed to performance.<br>• Performance contracts and identification of skill sets and workforce to support the IGAD's growth.<br>• Effective horizontal and vertical communication at all levels of the IGAD Secretariat and Institutions | *Building on bedrock human resources is the most vital requirement to implement the IGAD protocols and programmes of the regional integration.* | 1. Arrangement of workflow according to Secretariat plans to engage employees more in the planning process and in other administrative issues. Other practical solutions such as using video-conferencing may be considered to increase vertical and horizontal interaction between the organs and Secretariat as well as between the Secretariat and Specialized and Liaison Offices.<br><br>2. Assessment and planning of skill sets, mentorships, retention of staff and skills, leadership development and workforce in line with IGAD expansion and mandates should be undertaken.<br><br>3. Performance contracts, human resources policies and procedures focusing on aligning the IGAD governing bodies and the Secretariat organizational structure, grading systems, remuneration structure as well as performance management and appraisal systems need to be initiated or strengthened. | Support the assessment, planning, and roll-over plans for human and skill-sets development. |

| Core CD Levels | CD Assets | CD Gaps | CD Intervention | CD Outputs | Opportunity for AU-MCDP |
|---|---|---|---|---|---|
| KNOWLEDGE | ICT Structures and Communication strategies are in place.<br><br>Knowledge management center established.<br><br>Evidence-based information informs planning and changes in IGAD.<br><br>Mechanisms in place for the division to gather key information.<br><br>Effective involvement of institutions, researchers, extension agents and entrepreneurs and experts.<br><br>IGAD Mediation Support utilizes the knowledge and experience of technical experts and mediators.<br><br>Regional strategies and policies for research and science and technology plans are in place.<br><br>Strategic alliances, linkages and partnerships between regional research institutions and other institutions in the member states have been established.<br><br>Skilled and experienced consultants and long-term personnel are recruited. | A strategy for institutional memory is required.<br><br>Functional mechanisms for knowledge exchange are needed.<br><br>Ways need to be developed to utilize skills and experiences of Africans living in the continent and those who are living in the Diaspora.<br><br>Community of Practices should be established at member state levels.<br><br>IGAD Specialized and Liaison Offices should become centers of knowledge distribution. | It is a fundamental need for IGAD to become a centre of learning and effectively communicate its vision, mission, value and mandates to all staff and transfer these to member states. | Interventions aiming at increasing knowledge of staff members with emphasis on internalization of vision, values, mission and procedures guidelines at all levels of IGAD Secretariat and Offices (Liaison and Specialized).<br><br>Develop ways to harness and utilize African Skills and experience, establish a pool of CD technical expertise and develop a strategy to tap the potential of Africans living in the Diaspora.<br><br>Increase the capacity of the Greater Horn Horizon Forum (GHHF) to coordinate innovation and skills development in collaboration with higher education and Centres of Excellence.<br><br>Operationalize the implementation of communication strategies, including the establishment of a Community of Practices (CoPs) and a knowledge exchange framework to increase knowledge and awareness of the integration agenda throughout the region. | Assist the establishment of a CD technical experts' pool and develop a strategy to actively engage Africans in the Diaspora to increase evidence-based knowledge in everything that IGAD does relating to regional integration. |

# APPENDIX 2:  REVIEWED DOCUMENTS

**Policies, Regulations, Protocol**

IGAD Financial Rules and Regulations Chart of accounts

IGAD 2012 Audit Report and Management Letter

IGAD Procurement and Grants Policy

IGAD Service regulations 2004

IGAD Human Resources Policy IGAD Travel Policy

IGAD Audit Committee Charter IGAD Internal Audit Charter IGAD Internal Control Policy

IGAD Internal Audit

IGAD Protocol for Inter-Parliamentary Union

**Programs**

IGAD PCM Manual IGAD M&E Guidelines

CEWARN - RRF Handbook II Comprehensive set of application and reporting forms of the CEWARN Rapid Response Fund

RRF Handbook 1 - Rules and procedures of the CEWARN Rapid Response Fund Financial guidelines - IGAD TSU

Financial guidelines experts - IGAD TSU Code of conduct for IGAD TSU staff

List of IPU-IGAD projects 2014

**Strategies**

IGAD Regional Strategy Implementation Plan 2011-2015 IGAD

IGAD-KPMG IT Strategy

IGAD Information Communication Strategy

IGAD Minimum Regional Integration Plan 2010

IGAD- IPU Strategy Framework and Action Plan (2014-17)

IGAD Road Map for Regional Integration

**Studies**

IGAD. Report for systems audit (assessment of processes, workflows and systems) and International Public Sector Accounting Standards (IPSAS) compliance review, 2010.
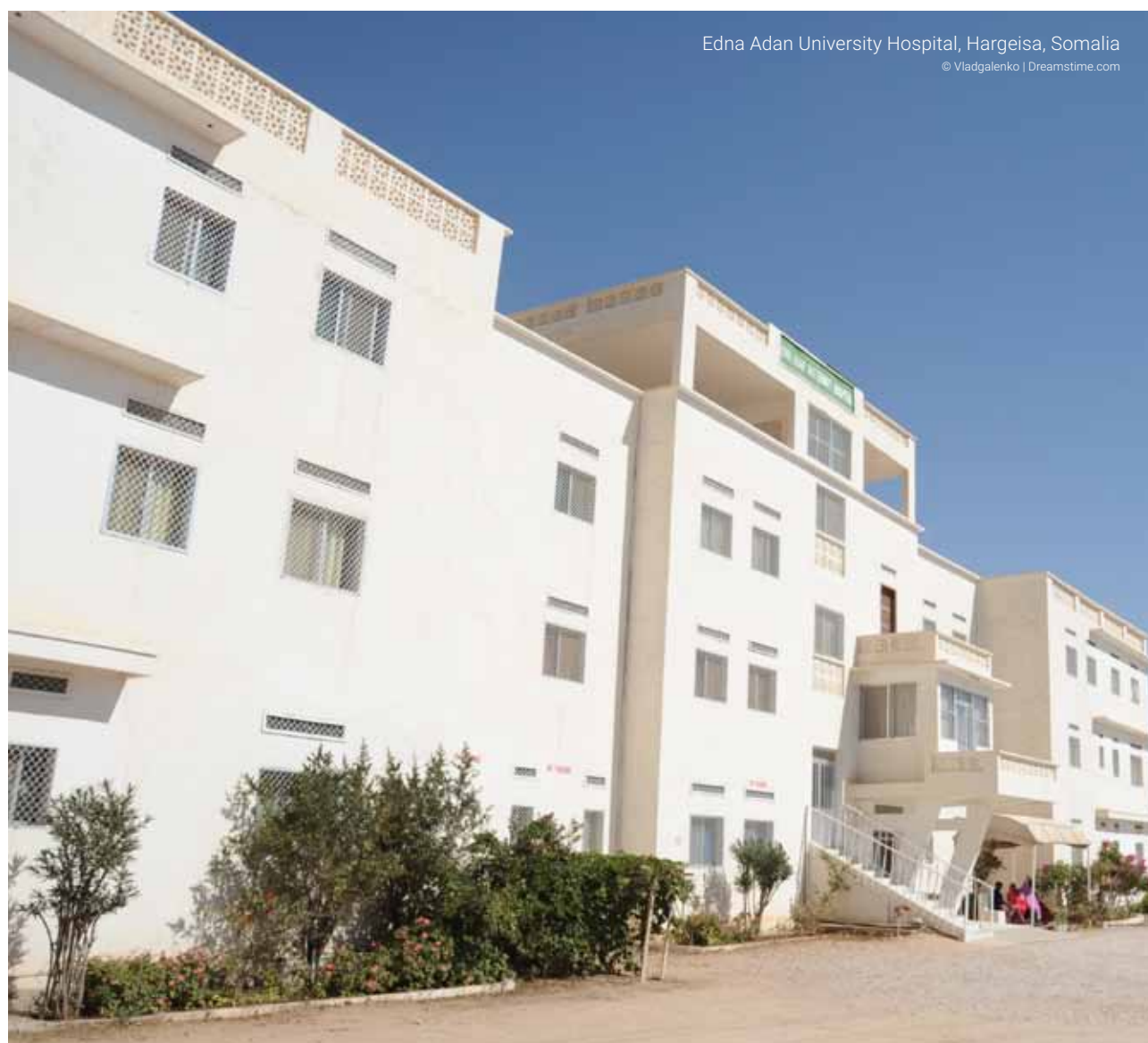
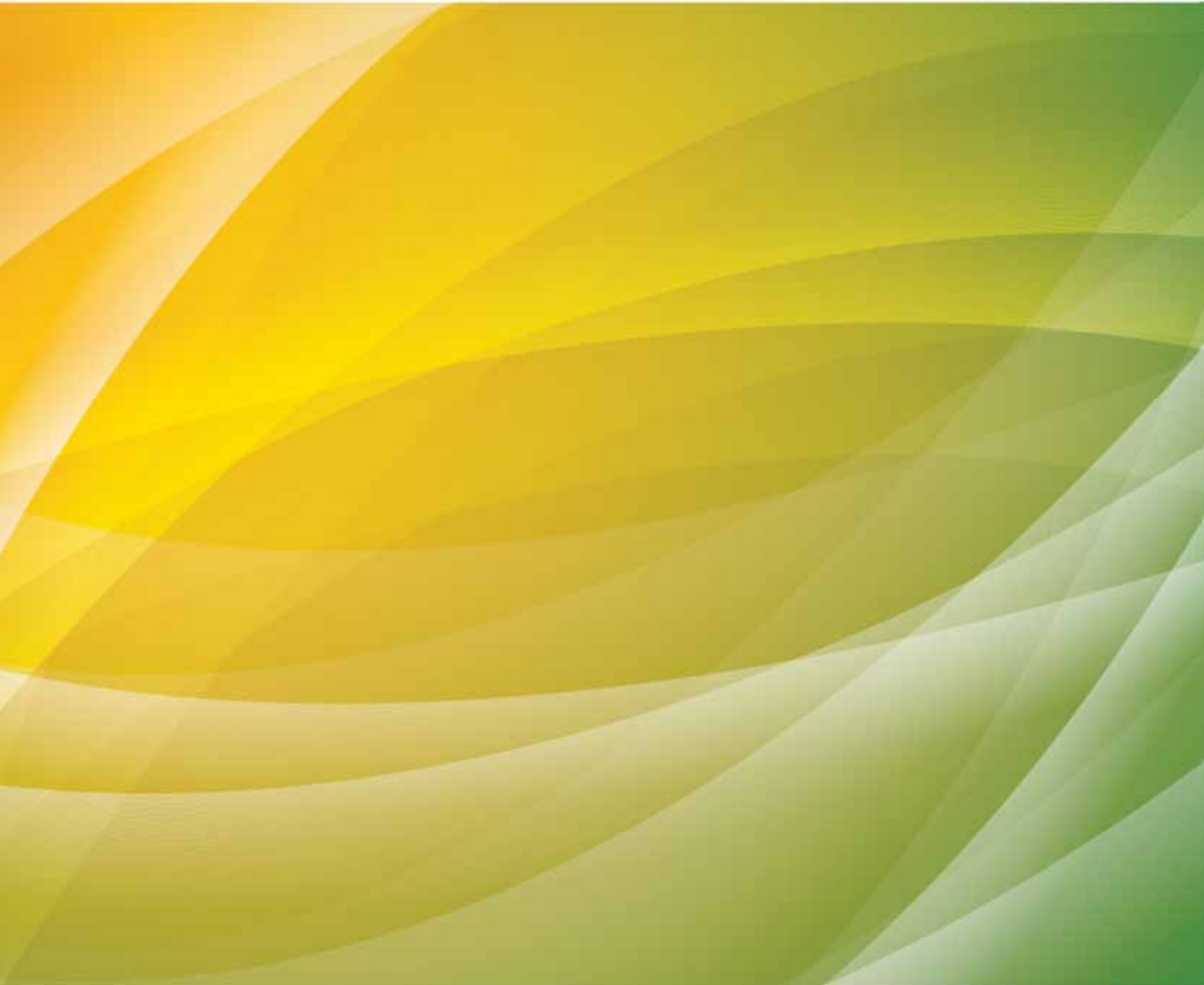# APPENDIX 3: LIST OF ONGOING AND ENDING CAPACITY DEVELOPMENT STRATEGY PROGRAMS

| Project code | Donor | Description | Administration location |
|---|---|---|---|
| 2001 | SIDA | Swedish International Development Agency (Sida) | Djibouti 2002/3035 |
| 2002/3035 | CDDA | IGAD CIDA | |
| 2004 | UNEP | IGAD/United Nations Environment Program (UNEP) | Djibouti |
| 2006 | | IGAD CCD | Djibouti |
| 2007 | | USA CROP | Djibouti |
| 2008 | Italian Fund | IGAD/Regional Integrated Information system (RIIS) Italian Fund | Djibouti |
| 2009/2038 | | IGAD OUA PASSU | Djibouti |
| 2010 | GIZ | Deutsche Gessellschaft fur Internationale Zusammenarbeit (GIZ) | Djibouti |
| 2012 | Pooled fund partners | Counter Terrorism (USA, Netherlands, Canadian, Norwegian, Spanish, Italy, Denmark, Swedish) | Djibouti |
| 2013 | HASP | Djibouti | Djibouti |
| 2014 | USAID | United States Agency for International development (USAID)/ Limited Scope Grant Agreement (LSGA) | Djibouti |
| 2015 | Jointly funded | IGAD/Peace Fund | Djibouti |
| 2016 | Denmark | Danish Peace Fund | Djibouti |
| 2017 | EU | IGAD/AU-APF-CB & TS | Djibouti |
| 2018/42/80 | | Finland Peace Fund | Djibouti |
| 2019 | | House hold energy project | Djibouti |
| 2025 | EU | Regional Food Security & Risk Management Program East & South Africa | Djbouti |
| 2026 | EU | IGAD Conflict Prevention Management & Resolution in Eastern & Southern Africa ) CPMR PE 1 | Djibouti |
| 2028 | | Ital peace | Djibouti |
| 2027 | World Bank | World Bank HIV/AIDS PPSP | Djibouti |
| 2029 | UNIFEM | United Nations Development Fund for Women (UNIFEM) | Djibouti |
| 2030 | | Water Harvesting | Djbouti |
| 2032 | | IGAD Nether Env & Documentation | Djibouti |
| 2034 | | IGAD Inst. Assessment | Djibouti |
| 2034 | Italian Government | Italian Special Fund | Djibouti |
| 2036 | | International Development Research Centre (IDRC) | Djibouti |
| 2037 | | United Nations – Internally Displaced Persons (UN-IDPs) | Djibouti |
| 2039 | CIDA | Canadian International Development Agency (CIDA) Technical support | Djibouti |
| 2041 | | IGAD Preparedness | Djibouti |
| 2043/3055 | UNFPA | Global Mechanism of the United Nations Convention to Combat Desertification – Sub-regional Support Facility (GMSSF) | Djibouti |
| Project code | Donor | Description | Administration location |

| Project code | Donor | Description | Administration location |
|---|---|---|---|
| 2045 | EU | IGAD/Arabian, Caribbean, and Pacific Group of States (ACP)-EU Reg. Disaster  Djibouti 2046 | GTZ |
| 2046 | GTZ | IGAD GTZ (Gesellschaft für Technische Zusammenarbeit) Upeac) | Djibouti |
| 2047 | | IGAD Prep Fund | Djibouti |
| 2048 | | IGAD/GTZ Liaison Officer EC | Djibouti |
| 2049 | WTO | World Trade Organisation (WTO) | Djibouti |
| 2050 | CIDA | CIDA – BCI 564 | Djibouti |
| 2052 | EU | Institutional Strengthening and Capacity Building (IS&CB) | Djibouti |
| 2052 | UNEP | UNEP Earth | Djibouti |
| 2060 | AU | Early Response Mechanism (ERM) -Somalia Facilitation Office | Djibouti |
| 2060 | Denmark | Somali Effort Denmark -MGD | Djibouti |
| 2070 | AU | IGAD/African Union (AU) –African Peace and Security Architecture (APSA) | Djibouti |
| 2090 | Pooled fund partners | Joint Financing Arrangement (JFA) Fund | |
| 3001 | UNFPA | Reproduction Health_UNFPA | Djibouti |
| 3010 | SIDA | Swedish support to IGAD operations in Sudan | |
| 3020 | EU | Regional Political Integration and Human Security Support Program (RPIHSSP) | Djibouti |
| 3080/3090 | | Old IGAD Projects BIS | Djibouti |
| 4000 | World Bank | IGAD Regional Economic Integration & Institutional Strengthening (IRIISP) | Djibouti |
| 5000 | EU | IGAD/European Union (EU) Regional Integration Support Program (RISP) II | Djibouti |
| 5010 | Finland | Project Preparation and Management Unit (PPMU) | Djibouti |
| 5020 | | Infrastructure Consortium | Djibouti |
| 6000 | AFDB | IGAD/Infrastructure Consortium for Africa (ICA) African Development Bank (AFDB) | Djibouti |
| 6010 | EU | Inter-regional Coordinating Committee (IRCC)/EU Fund | Djibouti |
| 6020 | Italian Government | Inland Water Resources Management Program (INWRM) Start-up Italian contribution | Djibouti |
| 6030 | EU | Inland Water Resources Management Program (INWRM) Start-up | Djibouti |
| 6040 | | IGAD JFA Peace & Security | Djibouti |
| 6050 | | IGAD-TSU Funds | Khartoum & Juba |
| 6070 | Norway | The IGAD Drought Disaster Resilience and Sustainability Initiative (IDDRSI) | Djibouti |
| 6080 | | Bio Diversity Project | Djibouti |
| AU/IBAR | | AU/IBAR-PAN | Djibouti |
| CEWARN | SIDA | Rapid Response Fund (RRF) | CEWARN Addis |
| CEWARN | SIDA | SIDA | CEWARN Addis CEWARN |
| ICPAC | EU | AMESD | ICPAC – Nairobi |
| ICPAC | AFDB | Climate change | ICPAC – Nairobi |
| ICPAC | World Bank | Global Facility for Disaster Reduction and Recovery (GFDRR) | ICPAC – Nairobi ICPAC |

# APPENDIX 4: IGAD – LIST OF PERSONS INTERVIEWED

| Name | Position/Division | Contact |
|------|-------------------|---------|
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