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This action is funded by the European Union

ANNEX 3

of the Commission Decision on the Annual Action Programme 2016 in favour of Somalia to be financed under the 11th European Development Fund

Action Document for the Governance Consolidation Programme for Somalia (GOVCON)

INFORMATION FOR POTENTIAL GRANT APPLICANTS

WORK PROGRAMME FOR GRANTS

This document constitutes the work programme for grants in the sense of Article 128(1) of the Financial Regulation (Regulation (EU, Euratom) No 966/2012), applicable to the EDF in accordance with Article 37 of the Regulation (EU) 2015/323 in the following sections concerning calls for proposals: 5.4.1, 5.4.2, .5.4.3.

| | | |
|--|---|----------------------------|
| 1. Title/basic act/ CRIS number | Governance Consolidation Programme for Somalia (GOVCON) CRIS number: SO/FED/038-756 financed under 11 th European Development Fund (EDF) | |
| 2. Zone benefiting from the action/location | Somalia countrywide | |
| 3. Programming document | 11 th EDF National Indicative Programme for Somalia | |
| 4. Sector of concentration/ thematic area | Focal Sector 1: Peace and Statebuilding | DEV. Aid: YES ¹ |
| 5. Amounts concerned | Total estimated cost: EUR 26 000 000 Total amount of EDF contribution EUR 26 000 000 | |
| 6. Aid modality and implementation modalities | Project Modality Direct Management (grants – call for proposals; grants – direct award; procurement of services) Indirect management with international organisations (United Nations Multipartner Trust Fund) MPTF and/or specific United Nations(UN) agencies) | |
| 7 a) DAC code(s) | Main DAC code: 15220 – civilian peace-building, conflict prevention and resolution (10%). Sub-code 15112 - decentralisation & support to subnational government (15%), Sub-code 15130 - legal & judicial development (15%), Sub-code 15150 – democratic participation and civil society (15%), Sub-code 15151 – Elections (15%); 15152 – | |

¹ Official Development Aid is administered with the promotion of the economic development and welfare of developing countries as its main objective.

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|---|---|-------------------------------------|-------------------------------------|-------------------------------------|
| | legislatures and political parties (5%), 15153 – Media and free flow of information (5%). Sub-code 15210 – security system management and reform (15%). Sub-code 15110 - Public policies and administrative management (5%). (indicative) | | | |
| b) Main Delivery Channel | Channel 1: Non-Governmental Organisations & Civil Society (21000 & 22000) and Channel 2: Multilateral Organisations – United Nations (41000) | | | |
| 8. Markers (from CRIS DAC form) | General policy objective | Not targeted | Significant objective | Main objective |
| | Participation development/good governance | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| | Aid to environment | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Gender equality (including Women In Development) | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| | Trade Development | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Reproductive, Maternal, New born and child health | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | RIO Convention markers | Not targeted | Significant objective | Main objective |
| | Biological diversity | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Combat desertification | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Climate change mitigation | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Climate change adaptation | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | 9. Global Public Goods and Challenges (GPGC) thematic flagships | N/A | | |
| 10. Sustainable Development Goals (SDGs) | Main SDG goals 5, 10, 16 | | | |

SUMMARY

This programme aims at further deepening and consolidating achievements made over the past 2-3 years throughout Somalia in the area of state building, democratisation, federalisation, security and the rule of law. A combination of direct and indirect management is envisaged to adequately respond to the complexity and fluidity of the Somali context.

The objective is to support the much needed rebuilding of the *social contract* and the strengthening of the trust of the Somali population in the state structures including its security sector. This should be achieved through three dimensions: a) fostering reconciliation, b) enabling the government(s) to carry-out their basic functions and c) promoting an increased participation of the society and especially women in Somali peace and state-building initiatives. The expected results are:

Representation, democratisation and social accountability: peoples' representation bodies (federal parliament, regional assemblies) are able to carry-out their duties of representation, legislation and parliamentary control. The foundations for inclusive, transparent and credible electoral processes are established and further progress in the Constitutional architecture is achieved. Civil society engagement in policy formulation, implementation, and monitoring is enhanced and key non-state actors have increased capacity to demand accountability and carry out evidence based research.

Stabilisation, local governance and federalisation: The transition of Federal Member States (FMS) into fully-fledged constituent states is supported by increased legitimacy and recognition from the population through effective reconciliation as well as appropriate democratic decision-making processes. Selected entities at district, state and federal level are progressively set up and consolidated with the involvement of the communities and can provide a minimum of basic services. The overall framework for federalism is consolidated and division of roles and responsibilities across levels clarified.

Rule of Law and Security: human security and justice are enhanced through strengthened and more accountable institutions (particularly with greater civilian oversight of the security entities) and greater citizen access to policing and justice services that address key grievances and injustices, with a particular focus on criminal and civil justice for women, children and minorities.

The enhanced stability resulting from progress in the above mentioned areas is likely to have a positive impact in reducing internal and external movement/displacement of people. This in turn would also lead to more favourable conditions for returns of Somalis from the region and beyond. Enhanced participation in local decision making, essential service delivery at local level by representative administrations, increased access to justice and security will also contribute to address grievances that are often considered to be among the root causes of radicalisation and violent extremism.

1 CONTEXT

1.1 Sector and Country context

After 25 years of chaos and failure of basic state functions, Somalia is reaching a turning point on the path towards stabilisation, peacebuilding and emergence of a democratic state. However, progress is fragile and spoilers continue to be effective in reducing and delaying progress. Key issues remain: i) the presence and activity of the terrorist organisation Al Shabaab, ii) the clan-dominated nature of Somali politics (akin to a zero-sum approach), iii) the existence of warlords, militias and armed groups, iv) a rent seeking economy based on benefits from war and destabilisation. Against this background the path towards achieving long-lasting and robust stability and security in Somalia relies heavily on a comprehensive approach with parallel and mutually reinforcing interventions rather than linear or sequenced ones.

Critical parameters of Somalia as a Federal State, including the formula for resource sharing, are still to be defined and enshrined in the Constitution of the State. The progress in this politically sensitive domain is highly dependent on the establishment of relations of trust between the centre and the periphery and the completion of the State formation process. Important work will still be required in the years to come to roll out a robust constitutional process, ensure popular recognition and acceptance of the Constitutional set up, enforce its implementation and align regional regulatory frameworks to the federal Constitution. While universal elections will not take place in 2016, the Federal Government of Somalia (FGS) is committed to a more inclusive and transparent transfer of power in 2016. The development of legal and institutional foundations for a future democratic exercise in 2020 has to be initiated now. More inclusive and democratic electoral processes at local and Federal Member State levels may take place prior to fully-fledged Federal elections. Legislative institutions at federal and regional levels have made progress but continue requiring support in legislative, oversight and representation functions. Other institutions currently being established will be key in building functioning checks and balances in the years to come, including the Constitutional Court, the Justice Service Commission, the Human Rights Commission and the Federal Upper House.

Stabilising newly accessible areas, strengthening local governance and advancing the federalism process are of key importance for building an enduring trust of the Somali population in the State(s).

Somalia remains fragmented and the federal project requires a range of state-building efforts at multiple levels. Unsolved differences remain over controversial issues such as adequate clan representation and territorial coverage but also the degree of responsibility and decision making power of Federal Member States (FSM) in policy making and implementation. In this context it will be also important to further clarify the level of decentralisation, e.g. the distribution of functions and resources across national regional and local levels. At local level there has been good progress in establishing local authorities in the north of Somalia that perform partly also basic service delivery. However in newly accessible areas of Southern Somalia, reestablishment of local governments remains a slow and volatile process as they remain dependent on clan militia and other armed groups for security.

Security and the rule of law are two key components needed for sustaining and carrying further the state and peacebuilding process. The existing security is largely ensured by African Union Mission to Somalia (AMISOM) presence and its offensive activities. The Somali National Army and Somali Police Force remain weak and unable to fulfil their role independently. Both security providers and their respective ministries (Defence and Internal Security) need strengthening in terms of HR, administrative and financial procedures and responsibilities. Beyond the need for a more professional and capable justice sector there has to be a holistic approach to the “justice chain”, encompassing law enforcement (police), judiciary and corrections.

Somali civil society has had a crucial role in taking up government functions during the collapse of the central state: as service providers, mainly in the social sectors area due to the prolonged conflict and absence of central institutions, and as peace builders and conflict mediators. With the end of the transition, the federal and regional governments are eager to regain their leadership in the delivery of services and see this as an essential prerequisite for building state legitimacy. It is important to clearly determine the role of the Government(s) and civil society through: i) closer coordination and collaboration on key service delivery with the Government building up regulatory framework, development planning, oversight and monitoring and ii) building a safe legal and physical space for non-state actors to contribute to the statebuilding and peacebuilding process and iii) allowing the media to play its role in a professional manner. Their role and capacity to ensure accountability and transparency and contribute to policy formulation and implementation should be strengthened, and their involvement in outreach and civic education would ensure that the population is informed about State processes and structures and able to participate effectively.

1.1.1 Public Policy Assessment and EU Policy Framework

The programme objectives are in line with the Somali New Deal Compact Peace and Statebuilding Goals (PSG) priorities, and more specifically, PSG 1, 2 & 3. The identification of actions has been conducted in direct consultation with the Federal Government of Somalia through the Ministry of Planning and International Cooperation as well as through key line Ministries and stakeholders including FMS, Parliament, Media and Civil Society. This programme operationalises key national framework documents. The Somalia's Political Roadmap 2016-2020 defines key milestones of the democratisation process to be achieved during the next dispensation. The Police Plan 'Hegaan' and New Policing Model, the Military Plan 'Gulwaade' and the National Security Policy/Architecture as well as the New Justice Model provide the basis for building a more professional, properly resourced Somali justice and security sector so that the Somali citizen regains the respect and trust in these key security and law enforcement bodies. In the area of Local Governance, the recently launched Wadajir Framework provides guidance for local government development in a way responsive to local needs that strengthens linkages between long-term work on decentralised development with short-term stabilisation measures. The objectives follow a Rights-Based Approach ensuring that programming contributes to the development of the capacities of ‘duty-bearers’ to meet their obligations and/or of ‘rights-holders’ to claim their rights and supports elements of the Somali Human Rights Action Plan. This support programme is also in line with the Agenda for Change policy of the EU. The areas of focus of this programme correspond with key pillars of the action plan for the Horn of Africa. It will

also contribute to the attainment of the EU Gender Action Plan (GAP) 2016 -2020 objectives, specifically objective 17 which stresses equal rights and ability for women to participate in policy and governance processes at all levels.

1.1.2 Stakeholder analysis

The final beneficiaries to this programme will be the people of Somalia who will benefit from a more peaceful and stable environment, functioning state structures including in the justice and security sectors as well as inclusive, transparent and participatory political sphere. Women, youth and marginalised groups will be given specific focus.

Key stakeholders and direct beneficiaries in this project are:

a) Federal, regional and local authorities: Ministry of Planning and International Cooperation (MoPIC) being responsible for aid coordination. Federal Ministry of Interior and Federal Affairs, which is in charge of key aspects of the democratisation, stabilisation and state building process, will benefit through enhanced capacity to formulate regulatory frameworks, participate in state building and consolidation processes, and conduct stabilisation efforts. Ministries of interior, democratisation and reconciliation of the Federal Member States are dealing with various aspects of peace building, constitution, reconciliation, stabilisation and democratisation. Ministries of Justice and Internal Security were responsible for providing the strategic vision and content for what has become the Joint Rule of Law Programme. The GOVCON support will be in direct contribution to achieving agreed work plans and the overall Heegan Plan (developed by the MoIS and Police). The Ministry of Defence (with support being provided by EUTM-S and an EU contracted expert) has adopted a new MoD guideline and development plan against which the GOVCON support will be matched. Ministry of Defence and Ministries of Internal Security at Federal and FMS level, who currently have limited oversight over the Armed Forces and Police respectively, will benefit from training and mentoring in financial management, procurement, policy and planning. Ministry of Justice will benefit from developed pool of legal professionals and an increased ownership and direction giving of the formal justice system. Ministry of Women and Human Rights Development, which is in charge of formulation and implementation of the National Gender Policy and mainstreaming gender considerations across Government policies. Somali-wide Local authorities (at the district level) in charge of basic service delivery and incremental for grass root reconciliation will benefit from capacity building and technical support allowing them to fulfil their basic executive functions as stipulated in the Wadajir framework.

b) The Judiciary and Parliaments at national and regional level as well as other independent constitutional bodies such as NIEC (National Independent electoral Commission) , Regional electoral management bodies, Constitutional Court, Attorney General, Chief Justice Human Rights Commission (to be established) which are playing specific accountability roles will benefit through enhanced capacity to deliver on their mandate and strengthened stakeholder collaboration. Support to Parliament(s) shall aim to enhance its legislative and oversight functions as well as its role in the area of constitutional development and implementation. The judiciary (attorney general's office, chief justice office...) was involved in identifying the content of the strategy and workplan. Furthermore, the ministry (at Federal and FMS level) and judiciary have been working hand in hand in articulating the new Justice and Corrections Model which should be adopted throughout 2016/early 2017 and against which GOVCON will be providing support.

c) Somali Non-state actors at national and local level (e.g. bar associations, media, educational centres, women associations, human rights organisations and other non-state actors) are key players in domestic accountability and access to justice but are hampered by limited capacity. They will benefit from the action through capacity building, enhanced access to information about peace and state building processes in order to play advocacy roles, develop capacity among citizens, raise awareness, and monitor government performance.

d) Non-governmental organizations (NGO), international organizations (IO) and regional players will implement this programme in close cooperation with government authorities.

Throughout the design-phase of the actions, specific attention will be paid to the most vulnerable groups such as children, minorities, discriminated groups, etc. Furthermore, all actions will be required to have gender, and specifically women-focused elements will be targeted to enhance their capacity to claim their rights and take part in decision making processes at local and national level.

1.1.3 Priority areas for support/problem analysis

Problem analysis is provided above (1.1). Priority areas for support are identified as follows:

- Electoral systems and process are put in place and institutions are more accountable and transparent towards the Somali citizens.
- Improving responsiveness of peoples' representatives to the needs of their constituents and demand for accountability.
- Participatory development and progressive implementation of the Federal Somali Constitution, including coherence of Federal and State legislation.
- Reconciliation aimed at building/strengthening trust between communities and between citizens and the State.
- Strengthen federal, regional and local government structures, systems and processes to increase legitimacy of the State towards its citizens, including service delivery.
- Strengthening and expanding the rule of law so more Somalis have access to and trust in law enforcement and the judicial system thus ensuring greater respect for human rights.
- Ensuring a greater civilian oversight of the Somali security forces such as the police and armed forces through strengthened public financial management and human resources development.
- Strengthening non-state actors so that the civil society is better equipped to play their legitimate role in the system.

2 RISKS AND ASSUMPTIONS

| Risks | Risk level (H/M/L) | Mitigating measures |
|---|---------------------------|--|
| Security continues to undermine the further stabilisation of the country and prevents access to newly liberated areas. | H | EU and other international partners continue to support AMISOM and relevant security entities such as Somali National Armed Forces (through EUTM (European Union Training Mission) and the Somali Police (both at federal and regional level through EDF and EUCAP (European Union Maritime Capacity Building Mission)). Identification of new partners able to access newly accessible areas. |
| The Federalisation and state building process stalls due to political disagreements. | H | Continued diplomatic dialogue and support by the EU, UNSOM, (United Nations Assistance Mission to Somalia) IGAD (Intergovernmental Authority on Development) and other international partners for the process. |
| Federal and Regional authorities' revenue does not increase steadily and they are unable to meet their financial responsibilities as per their mandate. | H | Continued work on PFM (Public Financial Management) and revenue raising through appropriate legal frameworks as well as encouraging private sector development and job creation. |
| Misappropriation of funds due to weak financial management and procurement systems | M | Continue strengthening PFM and procurement as well as oversight functions |

| | | |
|---|--|--|
| Assumptions | | |
| Continuation of the peace and state building processes resulting into increased institutional and political collaboration between the centre and the regions; no major security/violence destabilisation. Further advancement of the State formation process. | | |

3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

3.1 Lessons learnt

An internal EU Conflict Analysis conducted in May 2015 highlighted key areas that remain causes of conflict and instability in Somalia: i) competition and conflict over land, ii) peoples' displacement triggered by climate change and resulting competition or conflict over resources, iii) a lack of economic opportunities and basic economic infrastructure, iv) weak or absent institutions of public authority unable to stabilize the fragmented and conflict-ridden political landscape, v) a rule of law that is very weak to non-existent. In addition, the Somali society has two defining characteristics: a) a strong 'gun culture' and proliferation of small arms and light weapon, b) dispersal and fragmentation of the means of violence across different actors and institutions. Implementing development cooperation in such an environment is extremely challenging: expectations need to be realistic and implementing modalities need to be as flexible as possible.

One of the privileged implementation agents of the New Deal Compact has been the UN's Multi Partner Trust Fund (MPTF). Evidence to-date shows that although it is a vehicle that brings together multiple UN agencies and allows for donors to channel their funds in a more coordinated and transparent way, the administrative work associated with contracting through the MPTF is heavy and very time-consuming. Additionally, the UN agencies are, like many other actors, challenged in rolling-out assistance across the entire country. Based on this consideration, the implementation modalities envisaged by this document are diversified, with the expectation that such combination will contribute to efficient and effective actions.

3.2 Complementarity, synergy and donor coordination

Complementarity will be ensured with thematic programs including civil society organisations and local authorities (CSO/LA), the European Instrument for Democracy and Human Rights (EIDHR) as well as Instrument contributing to Stability and Peace (IcSP) and interventions under the newly created EU Trust Fund on the Horn of Africa. In particular on the latter, GOVCON will provide essential elements in terms of improved governance at various levels that will allow the EUTF RE-INTEG programme on migration to achieve its results.

The main donor coordination vehicles for the targeted sectors are inclusive politics (PSG1), security (PSG2), justice (PSG3) and revenue and services (PSG5), the SDRF (Somali Development and Reconstruction Facility), as well as stabilisation coordination meetings. The Delegation is a major actor across the PSGs and co-chairs the SDRF, PSG3 and two sub-working groups in PSG1 and 5, thus is in a position to have the full picture of interventions across the sectors. These fora bring together Somali (government, regions, CSOs), international partners and UN agencies and are the platform for discussing priorities, programmes as well as policy and political issues.

The EU Delegation has built close working relationships with the three CSDP (Common Security and Defence Policy) missions in Somalia, in line with the comprehensive approach, and regularly liaises and coordinates with: the EU's maritime capacity building (civilian) CSDP mission EUCAPNESTOR, which offers strategic and operational advice as well as law drafting support and training, and organises workshops for legal practitioners and police, the EU's Training Mission for Somalia (EUTM-S) which provides strategic advice and training to the Somali Defence institutions and EUNAVFOR on issues pertaining to maritime security/fisheries and people smuggling/refuges. EU development cooperation funds have been providing flanking measures to all three CSDP activities.

Civil society, media and other non-state actors have developed respective capacity over the years, including through EU funding, but continue facing internal divisions alongside with problems of human and financial resource mobilization, internal governance, capacity in planning, documentation, financial management and monitoring and evaluation.

3.3 Cross-cutting issues

The effect of two decades of civil war and violence on the respect for human rights, and particularly women, has been disastrous. Minorities, women, internally displaced persons (IDPs) and persons with disabilities have often borne the highest price. Building up norms and mechanism for enforcing the respect of human rights requires a concerted and sustained effort by both the Somali government and people and the international community. Gender mainstreaming throughout the programme will be two-pronged: on the one hand it will promote women's participation within the planned activities (integrationist approach); on the other hand it will address women's specific concerns in democratic governance (agenda setting approach). Also, the media in Somalia has a key role to play in ensuring transparent and responsive governance. In order to do this, however, free speech needs to be guaranteed. Given the evident human rights relevance across the sectors, all interventions of this programme will include human rights and women empowerment aspects.

4 DESCRIPTION OF THE ACTION

4.1 Objectives/results

This programme is relevant for the United Nations 2030 Agenda for Sustainable Development and contributes primarily to the progressive achievement of SDG target(s) Goal 16, 5 and 10. This does not imply a commitment by the country benefiting from this programme.

The **overall objective** is to contribute to a more secure, peaceful and stable Somalia by rebuilding the *social contract* and increasing an enduring trust of the Somali population in the State(s), inclusive, participatory and transparent political processes, accountable and effective security and justice providers and State-delivered basic social and administrative services.

The **specific objectives** are:

Result 1: Strengthening democratisation, social accountability and participation of non-state actors in governance processes through a) credible, inclusive, transparent and acceptable democratic exercises at federal, regional and local level focusing also on women representation in politics; b) strengthened oversight and legislative functions and cooperation of Parliaments at federal and regional level; c) advanced constitutional architecture and implementation; d) enhanced social accountability and participation of non-state actors in democratisation, peace and state-building and human rights promotion (particularly also in the security sector), with a specific focus on women's rights and decision making.

Result 2: Promoting reconciliation and strengthening selected district, state and federal government structures, systems and processes in order to transition from state formation to state building, through a) consolidation of state formation efforts leading to sustainable state building; b) empowerment of selected entities at district, state and federal level to improve people's everyday life and articulation of the overall framework for federalism and distribution of functions and revenues across all levels c) progressive stabilisation in selected areas.

Result 3: Security and justice are enhanced through strengthened institutional capacity and accountability and greater citizen access to policing and justice services, through a) increased access to a more professional, impartial and capable formal and informal justice system; b) enhanced civilian and parliamentary oversight of the security services (armed forces and police) and; c)

increased capacity and accountability of Federal and regional police and improved respect of human rights.

In support of these results, civil society will be strengthened and mobilised in order to improve and increase the ability of citizens to participate in democratic governance, hold the government(s) to account, and contribute to stabilisation and reconciliation.

4.2 Main activities

Result 1:

- Support to the formulation of electoral laws and institutional frameworks for **elections**; targeted support to the electoral cycle and capacity building of institutions (Ministry of Interior, NIEC etc) at federal, regional and local levels focusing also on women representation in politics; support to start-up phase of civil or/and voter registry; support for civic education, support for inclusive political dialogue and consensus building amongst electoral stakeholders. (rationale: current funding for elections at federal level – through UN MPTF – is being spent on twin track approach for 2016 exercise and for initial support to NIEC, and will be exhausted by the end of 2016. Local elections are expected to happen in 1 or more federal member states during the implementation of this programme).
- Capacity building of members of **Federal and Federal Member States' Parliaments**, advisory support, support to enhanced functioning and development of Parliamentary administrative and institutional structures including infrastructure input; support to peer-to peer cooperation amongst parliamentary assemblies. (rationale: EU sponsored technical support and capacity building for parliamentary Committees at federal level is ensured until 2019. GOVCON will complement this by supporting mainly regional assemblies).
- Continued support to the **constitutional development and implementation** including through supporting consultative processes, political dialogue, legal expertise and public information campaigns; (rationale: the constitutional review process has stalled in 2016 and the remaining funding under UN MPTF is likely to be redirected to fill immediate gaps in parliamentary support. A plan for a renewed engagement on constitutional development is being drafted and will require fresh funding as of 2017).
- Support to capacity building of **non-state actors** in democratisation, peace- and state-building processes and human rights promotion (particularly also in the security sector); support to **women's** groups and women leaders/aspirants platforms; capacity building of key institutions to implement gender commitments at federal and regional levels. (rationale: the civil society allocation under the NIP will be devoted to continue some level of core funding and strengthen civil society accountability role across the three results of GOVCON. Specific attention will be devoted to complement the activities mentioned above and promote women's participation in decision making).

Result 2:

- Strengthening **intergovernmental inclusive political dialogue, reconciliation and stabilisation** to clarify and settle relations between the federal government and Federal Member States as well as restore trust within and between communities, citizens and the State(s) - as catalyst for wider EU resilience sector engagement; (rationale: EU's engagement in the area of local governance and federalism is scaling up in parallel to a stronger leadership of the government under the Wadajir Framework. The proposed intervention will build upon and draw lessons on an ongoing IcSP action ending in 2017. Also, as more and more districts are expected to be accessible over the next years, the pressure for timely interventions increase.
- **Strengthening entities at district, state and federal level** and clarification of functional assignments and relations between the different levels through supporting the development of institutional and legal frameworks, capacity building, and promotion of dialogue – allowing them to **fulfil basic executive functions**; (rationale: same as above.)

Result 3:

- Facilitation and enhancement of **access to justice** at Federal and State; supporting the development of legal professionals and institutions within the justice sector; and provision of **priority justice infrastructure**; (rationale: the UN Joint Rule of Law Programme is largely underfunded – USD 40 000 000 out of USD 160 000 000 – and will require substantial investment for the foreseeable future, also in the view to support the implementation of a new justice model. Based on feedback and assessment of UN performance, only specific areas of the UN JRoL programme will be funded through GOVCON, including mobile courts, legal aid, law scholarships, support to justice training institutions, law faculties and Bar Association(s) and selected infrastructure).
- Promote increased collaboration and cooperation between traditional dispute mechanism and state justice system, including through the **implementation of the Traditional Dispute Resolution (TDR) policy**. (rationale: a new TDR policy is being adopted and will require fresh funding for its implementation, which will be essential to bring justice to areas where formal justice mechanism have not access).
- Provide support, training and mentoring to the ministries of Defence and Internal Security (in areas such as financial management, procurement, policy & planning, training, etc). (rationale: this component will build upon an agreed IcSP in support to strengthening the civilian oversight by the MoD ending in 2017. It also complements the ongoing heavy EU investment in the police by extending Technical Assistance to the Ministry of Internal Security).
- Provision of priority **non-lethal support equipment to the police** and embedded **advisory and mentoring support** to the leadership of Federal and Regional police forces. (rationale: as already mentioned above, as the EU already provides substantial support to the federal police directly through stipends and indirectly through the UN JRoL programme, it is strategic that complementary support is scaled up in a more comprehensive way. This also capitalises on a just ended year-long TA to the Police that has increased the appreciation of EU by the Somali police and opened the door for closer collaboration.

4.3 Intervention logic

This programme represents a "bridging intervention" linked to further programming in the post-mid term review. Key processes related to the implementation of the political roadmap 2016-2020, justice and security reforms and local governance actions have a long term dimension. In all the proposed areas of intervention the EU has already invested substantial resources and GOVCON will ensure continued support in the mid-term. However, additional resources towards and beyond 2020 will be needed to continue consolidate major achievements to which the EU has contributed in the area of democratic processes, federalism, local governance, security and rule of law.

Improving the Somali polity and citizen-state(s) relationship is the core pillar on which the above-mentioned results are based. These results are mutually strengthening and interlinked and aim at enhancing the coherence, division of labour and functioning of a federal Somalia. A more stable Somalia is also more likely to have an effect in reducing internal and external movement/displacement of people and attract returns of the vast population of Somali refugees in the region and beyond.

By 2020 the people's awareness of and ability to participate in democratic processes will be enhanced through: i) an increased demand (the people – civil society – media), ii) an increased political dialogue and debate (the people – FGS FMS) and iii) an increased delivery/supply (the governments – parliaments). The activities will ensure an increased qualitative and participatory 2020 electoral process. The coherence of the Constitutional architecture will be enhanced through a continuous attention to the review process matched with opportunities to advance on the sectorial division of labour in areas such as justice, decentralisation and security.

Strengthened federal, regional and local government structures, systems and processes will allow to consolidate service delivery and to fulfil basic administrative functions which will contribute to stabilisation efforts in line with the FGS' stabilisation plan. An improved policy and citizen-state(s) relationship as well as conducive institutional environment will allow the government and

communities to jointly revitalise the social contract: critically important to state-building. Rapid stabilisation activities will bring immediate peace dividends to newly accessible/recovered areas.

Supporting the justice and new policing model will contribute to fostering enhanced rule of law and access to justice with a clear definition of the roles and responsibilities of the different justice and police stakeholders. Security entities will operate under increased civilian oversight (FGS, parliament, civil society) leading to increased trust. The sensitive nature of these reforms requires broad-based public support to reinforce the political will to act. Communication and public education must be ensured in order to achieve the desired impact and cross-cutting issues, with a focus on the rights of women and children, must be integrated throughout the process.

As a complementary but integral part of the interventions under results 1-3, non-state actors will increasingly hold public authorities to account at all levels, with a view to ultimately empower citizens. Policy discussions fostered by media and civil society at federal and regional levels will enhance community participation in decision making processes contributing to increased citizens' awareness of governance matters and their capacity in engaging in democratic and developmental processes. Strong coordination between non-state actors and public authorities will be required to prevent duplication, overlap and parallel systems, as well as ineffective and unsustainable interventions.

5 IMPLEMENTATION

5.1 Financing agreement

In order to implement this action, it is foreseen to conclude a financing agreement with the partner country, referred to in Article 17 of Annex IV to the ACP-EU Partnership Agreement.

The signature of a financing agreement is conditioned by the timely (beginning of January 2017) handover of the NAO-functions to the Federal Government in Somalia. Should for any reason the handover be delayed beyond January 2017, the Commission will revert to a financing decision signed at her level in order not to delay the implementation of the action.

5.2 Indicative implementation period

The indicative operational implementation period of this action, during which the activities described in section 02 will be carried out and the corresponding contracts and agreements implemented, is 72 months from the date of entry into force of the financing agreement.

Extensions of the implementation period may be agreed by the Commission's authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute non-substantial amendment in the sense of Article 9(4) of Regulation (EU) 2015/322.

5.3 Implementation for budget support component

N.A.

5.4 Implementation modalities

5.4.1 Grants: call for proposals (one call) "Democratisation, social accountability and participation of non-state actors in governance processes" (direct management)

(a) Objectives of the grants, fields of intervention, priorities of the year and expected results

The objective of this call for proposals is to provide targeted support as detailed in Result 1 and in particular for: 1) elections (civic education, awareness raising, consultations, citizens' scrutiny, advocacy and provision of technical expertise for formulation of electoral laws, implementation of the electoral cycle and capacity of institutions); 2) parliamentary work (public outreach and constituency

work, citizens' scrutiny, advocacy and provision of technical expertise); 3) constitutional affairs (legal expertise, targeted institutional support, public information, advocacy and consultation); 4) non-state actors including women groups and women leaders/aspirants platforms (increasing accountability and oversight capacity in the area of democratisation, local governance, justice and security; capacity building; advocacy; civic education; awareness raising and public consultations).

(b) Eligibility conditions

All contracts implementing the action must be awarded and implemented in accordance with the procedures and standard documents, laid down and published by the Commission for the implementation of external operations, in force at the time of the launch of the procedure in question.

Participation in the award of contracts for this action shall be open to all natural and legal persons, and be non-profit-making, and be a specific type of organisation such as: non-governmental organisation or international (inter-governmental) organisation as defined by Article 43 of the Rules of application of the EU Financial Regulation for the 11th EDF. Further extensions of this participation to other natural or legal persons by the concerned authorising officer shall be subject to the conditions provided for in Art. 20 of Annex IV of the Cotonou Agreement.

Subject to information to be published in the call for proposals, the indicative amount of the EU contribution per grant is EUR 800 000 – 1 100 000 for elections, parliament and constitutional components and EUR 450 000 – 900 000 for support to non-state actors and women groups and women leaders/aspirants platforms. The grants may be awarded to sole beneficiaries and to consortia of beneficiaries (coordinator and co-beneficiaries).

The indicative duration of the grant (its implementation period) is 36 months.

(c) Essential selection and award criteria

The essential selection criteria are financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

(d) Maximum rate of co-financing

The maximum possible rate of co-financing for grants under this call is 80%.

In accordance with Article 192 of Regulation (EU, Euratom) No 966/2012, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100%. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

(e) Indicative timing to launch the call is the second semester of year one.

5.4.2 Indirect management with an international organisation

A part of this Result 1 will be implemented in indirect management with UN agencies (through the UN's Multi Partner Trust Fund) and this in accordance with Article 58(1)(c) of Regulation (EU, Euratom) No 966/2012, applicable by virtue of Article 17 of the Annex to Regulation (EU) 2015/323. The components concerned as well as their results are defined below.

This implementation entails supporting UN Programmes/MPTF in activities under result 1 and in particular for political dialogue and institutional support for elections, constitution, parliaments and political participation and justice for women. This implementation is justified because of the comparative advantage and specific UN mandate in the above mentioned areas.

The entrusted entities would carry out the following budget-implementation tasks: supervise and manage undertaking of the action and enter into contracts and/or grant agreements in accordance with its policies and procedures. They will manage, monitor and supervise the implementation of the activities carried out by the grant recipients or contractors and they will report to the EU on the implementation.

5.4.3 Grants: call for proposals (one call) "Reconciliation and State Building" (direct management)

(a) Objectives of the grants, fields of intervention, priorities of the year and expected results

Actions financed under this call for proposals will contribute to the consolidation of state formation efforts through reconciliation initiatives and strengthened local, regional and federal entities allowing them to fulfil their roles. Grant contracts are foreseen to cover selected activities under Result 2.

(b) Eligibility conditions

All contracts implementing the action must be awarded and implemented in accordance with the procedures and standard documents, laid down and published by the Commission for the implementation of external operations, in force at the time of the launch of the procedure in question.

Participation in the award of contracts for this action shall be open to all natural and legal persons, and be non-profit-making, and be a specific type of organisation such as: non-governmental organisation or international (inter-governmental) organisation as defined by Article 43 of the Rules of application of the EU Financial Regulation for the 11th EDF. Further extensions of this participation to other natural or legal persons by the concerned authorising officer shall be subject to the conditions provided for in Art. 20 of Annex IV of the Cotonou Agreement.

Subject to information to be published in the call for proposals, the indicative amount of the EU contribution per grant is EUR 800 000 – 1 200 000 and the grants may be awarded to sole beneficiaries and to consortia of beneficiaries (coordinator and co-beneficiaries). The indicative duration of the grant (its implementation period) is 36 months.

(c) Essential selection and award criteria

The essential selection criteria are financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

(d) Maximum rate of co-financing

The maximum possible rate of co-financing for grants under this call is 100%.

In accordance with Article 192 of Regulation (EU, Euratom) No 966/2012, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100%. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

(e) Indicative timing to launch the call is the second (2nd) semester of year one.

5.4.4 Grants: call for proposals (one call) "Support to the implementation of the Traditional Dispute Resolution Policy" (direct management)

(a) Objectives of the grants, fields of intervention, priorities of the year and expected results

The objective of this call for proposals is to support the implementation of the Traditional Dispute Resolution Policy with the expected result of increased access to justice. Activities include the

facilitation of increased collaboration and cooperation between Traditional Dispute Mechanism and State Justice system (Result 3).

(b) Eligibility conditions

All contracts implementing the action must be awarded and implemented in accordance with the procedures and standard documents, laid down and published by the Commission for the implementation of external operations, in force at the time of the launch of the procedure in question.

Participation in the award of contracts for this action shall be open to all natural and legal persons, and be non-profit-making, and be a specific type of organisation such as: non-governmental organisation or international (inter-governmental) organisation as defined by Article 43 of the Rules of application of the EU Financial Regulation for the 11th EDF. Further extensions of this participation to other natural or legal persons by the concerned authorising officer shall be subject to the conditions provided for in Art. 20 of Annex IV of the Cotonou Agreement.

Subject to information to be published in the call for proposals, the indicative amount of the EU contribution per grant is EUR 350 000 – 700 000 and the grants may be awarded to sole beneficiaries and to consortia of beneficiaries (coordinator and co-beneficiaries). The indicative duration of the grant (its implementation period) is 36 months.

(c) Essential selection and award criteria

The essential selection criteria are financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

(d) Maximum rate of co-financing

The maximum possible rate of co-financing for grants under this call is 100%.

In accordance with Articles 192 of Regulation (EU, Euratom) No 966/2012, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100%. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

(e) Indicative timing to launch the call

The indicative timing to launch the call is the 2nd semester of year one.

5.4.5 Procurement (direct management)

| Subject in generic terms, if possible | Type (works, supplies, services) | Indicative number of contracts | Indicative trimester of launch of the procedure |
|--|----------------------------------|--------------------------------|---|
| Mentoring and advisory support to Ministries of internal security and defence, and Federal and Regional police forces. | Services | 1 | 1 st semester of year one |

5.4.6 Indirect management with an international organisation

A part of Result 3 will be implemented in indirect management with UN agencies (through the UN's Multi Partner Trust Fund) and this in accordance with Article 58(1)(c) of Regulation (EU, Euratom) No 966/2012, applicable by virtue of Article 17 of Regulation (EU) 2015/323. The components concerned as well as their results are defined below.

This implementation entails support to activities under result 3 namely facilitation and enhancement of access to justice at Federal and State; supporting the development of legal professionals and institutions within the justice sector; provision of priority justice infrastructure and provision of priority non-lethal support equipment to the police and will be implemented through UN Joint Programme(s).

The entrusted entities would carry out the following budget-implementation tasks: supervise and manage undertaking of the action and enter into contracts and/or grant agreements in accordance with its policies and procedures. They will manage, monitor and supervise the implementation of the activities carried out by the grant recipients or contractors and they will report to the EU on the implementation.

5.4.7 Changes from indirect to direct management mode due to exceptional circumstances (one alternative second option)

If negotiations for implementation through indirect management of 5.4.1.2 fail, that part of this action may be implemented in direct management in accordance with the implementation modalities identified in section 5.4.1.1 Grants: call for proposals "**Democratisation, social accountability and participation of non-state actors in governance processes**" (one direct management).

If negotiations for implementation through indirect management of 5.4.3.3 fail, that part of this action may be implemented in direct management in accordance with the implementation modalities identified in section 5.4.3.2 **Procurement** (one direct management).

5.5 Scope of geographical eligibility for procurement and grants

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply.

The Commission's authorising officer responsible may extend the geographical eligibility in accordance with Article 22(1)(b) of Annex IV to the ACP-EU Partnership Agreement on the basis of urgency or of unavailability of products and services in the markets of the countries concerned, or in other duly substantiated cases where the eligibility rules would make the realisation of this action impossible or exceedingly difficult.

5.6 Indicative budget

| | EU contribution (in EUR) | Indicative third party contribution in currency identified |
|---|-------------------------------------|---|
| Result 1 – Strengthening democratisation and enhanced social accountability , composed of | 12 000 000 | |
| 5.4.1 – Call for proposals "Democratisation, social accountability and participation of non-state actors in governance processes" (direct management) | 7 800 000 | |
| 5.4.2 – Indirect management with UN in support to constitutional and electoral processes, democratic institutions and women's participation in decision making. | 4 200 000 | |
| Result 2: Promoting reconciliation and strengthening government structures , composed of | 5 800 000 | |
| 5.4.3. – Call for proposals "Reconciliation and State Building" (direct management) | 5 800 000 | |
| Result 3: Security and justice for all , composed of | 6 500 000 | |
| 5.4.4. – Call for proposals "Support to the implementation of the Traditional Dispute Resolution Policy" (direct management) | 700 000 | |
| 5.4.5. – Procurement (direct management) | | N.A. |
| 5.4.6 – Indirect management with UN in support to increased access to justice and police forces | 3 800 000 | |
| Procurement – total envelop under section 04 | 2 000 000 | N.A. |
| 0 Monitoring - 5.9 Evaluation, | 520 000 | N.A. |
| 5.10 - Audit | 50 000 | |
| 01 – Communication and visibility | 130 000 | N.A. |
| Contingencies | 1 000 000 | N.A. |
| Totals | 26 000 000 | N.A. |

5.7 Organisational set-up and responsibilities

Relevant Programme Steering Committees (PSC) will be constituted as platforms for overall coordination, guidance, oversight and review of progress of programmes and will aim at harnessing synergies with similar interventions. Steering committees will be chaired by the relevant Federal/Regional line ministries, Constitutional bodies (NIEC and others), and Parliament, Federal Ministry of Planning and International Cooperation as well as UN agencies. The PSCs will also attract participation from the donors and implementing partners active in the field and representatives from the EU Delegation to Somalia (as observers).

PSC shall meet on a quarterly basis.

Programmes implemented through the UN agencies and UNMPTF will be approved through the SDRF structure.

Overall coordination with other interventions will be ensured through the existing Aid Coordination Mechanisms particularly at the level of the PSG working groups (currently 1, 2 and 3) and sub-working groups.

5.8 Performance monitoring and reporting

Monitoring by the EU includes the work of the EU field offices in Somalia as well as frequent field visits by the task manager, in coordination with Somali counterparts, notably the Ministry of Planning and International Development and relevant line ministries. Without strengthened monitoring mechanisms, the necessary risk management as outlined above cannot be successful. Existing objectively verifiable indicators (OVIs) include those developed within present frameworks, while additional ones will be identified by project implementers in conjunction with the EU.

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process and part of the implementing partner's responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (outputs and direct outcomes) as measured by corresponding indicators, using as reference the logframe matrix. The report shall be laid out in such a way as to allow monitoring of the means envisaged and employed and of the budget details for the action. The final report, narrative and financial, will cover the entire period of the action implementation.

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

5.9 Evaluation

Having regard to the nature of the action, a mid-term and final evaluations will be carried out for this action or its components via independent consultants contracted by the Commission and in association with Somali counterparts, notably the Ministry of Planning and International Development and relevant line ministries.

The mid-term evaluation will be carried out for learning purposes, in particular with respect to ensuring that the various implementing partners adapt their strategies and improve the implementation of the remaining actions until the end of the project.

The final evaluation will be carried out for accountability and learning purposes at various levels (including for policy revision), taking into account in particular the fact that for some beneficiaries support from this action will be the first they would receive, the geographic location of the actions will be different from previous times (with an increased security risk) and some actions are innovative.

The Commission shall inform the implementing partner at least one month in advance of the dates foreseen for the evaluation missions. The implementing partner shall collaborate efficiently and effectively with the evaluation experts, and inter alia provide them with all necessary information and documentation, as well as access to the project premises and activities.

The evaluation reports shall be shared with the partner country and other key stakeholders. The implementing partner and the Commission shall analyse the conclusions and recommendations of the evaluations and, where appropriate, in agreement with the partner country, jointly decide on the follow-up actions to be taken and any adjustments necessary, including, if indicated, the reorientation of the project.

Indicatively, two contracts for evaluation services shall be concluded in the 8th and 15th quarter.

5.10 Audit

Without prejudice to the obligations applicable to contracts concluded for the implementation of this action, the Commission may, on the basis of a risk assessment, contract independent audits or expenditure verification assignments for one or several contracts or agreements.

Indicatively, one contract for audit services shall be concluded in the 1st semester of 2020.

5.11 Communication and visibility

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget indicated in section 5.6 above.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

The Communication and Visibility Manual for European Union External Action shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.

The funds allocated under visibility budget line are planned to be implemented through procurement and will be pooled with funds from other initiatives from the AAP2016 Somalia.

| Subject in generic terms, if possible | Type (works, supplies, services) | Indicative number of contracts | Indicative trimester of launch of the procedure |
|---------------------------------------|----------------------------------|--------------------------------|---|
| Media contract | service | 1 | 1 st trimester |

Visibility actions supported under this heading may cover all EU cooperation activities in Somalia in order to increase coherence in the EU's communication strategy. Care will be taken that substantial visibility will be given to the programmes as described in this action fiche. Standards for visibility will be derived from the "EU visibility guidelines for external actions" published by the European Commission.

APPENDIX - INDICATIVE LOGFRAME MATRIX²

| | Results chain | Indicators | Baselines (incl. reference year) | Targets (incl. reference year) | Sources and means of verification | Assumptions |
|--|--|--|--|--|--|--|
| Overall objective: Impact | OO: Somalia is more secure, peaceful and stable and the trust of the population in the state is stronger (social contract) | <ul style="list-style-type: none"> • Fragile States Index (FSI)** • Mo Ibrahim Index (MII) on African Governance** • Transparency International Corruption Perception Index (TII)** • Global Peace Index (GPI)** • Freedom House** | FSI: (2015), Rank 2/178 MII: (2015), Rank 54/54 TII: (2015), Rank 167/167 GPI: (2015) Rank: 157/162 Freedom House: (2015), Rank: 7/7/7 | Overall improvement on all indices by end of 2019 | FSI: www.fundforpeace.org MII: www.moibrahimfoundation.org/iiag TII: http://www.transparency.org/research/cpi/overview GPI: http://www.visionofhumanity.org/#/page/indexes/global-peace-index Freedom House: https://index.rsf.org/#/ | |
| Specific objective(s): Outcome(s) | SO 1 Political processes are more inclusive, participatory and transparent and democratic institutions are stronger | 1.1. Number of local elections held between 2017-2019 with increased number of voters (electors) and transparency measures in place 1.2. Draft federal legal electoral framework 1.3. Establishment of systems that stimulate increased women participation in political processes (elections) | 1.1. To be established at inception phase 1.2. No electoral system/electoral law in place 1.3. 14 % women in the Federal elections n/a for local elections | 1.1. Puntland district elections by 2019 1.2. Draft legislation finalised through inclusive process by 2018 1.3. women quota introduced in draft electoral law | 1.1. Electoral management body reports 1.2. Reports from consultations and draft law 1.3. Reports from consultations and draft law State and/or local democratic exercises | For the whole SO1: Continuation of the political and democratisation process within the constitutional system in Somalia not disrupted by major security incidents Local elections held as scheduled and outcome widely accepted Respect for constitutional role of the election management body and further development of relations between the central and regional authorities |

² All baselines/target will be disaggregated by sex where possible and project documents will demand data disaggregation consistently

| | | | | | | |
|--|---|--|--|---|--|--|
| | <p>SO 2 Promoting reconciliation and strengthening selected district, state and federal government structures, systems and processes in order to transition from state formation to state building</p> | <p>1.4. Increased legislative and oversight role of Parliament</p> <p>1.5. Inclusive and participatory constitutional dialogue on critical state issues conducted</p> <p>1.6. Civil society actively participates in public debates, exercises internal and external accountability, acts according to a re-defined framework with the government</p> <p>1.7. Increased level of citizens' awareness of democratic exercise and institutional roles, federalisation and local governance processes, justice and security sector</p> <p>2.1. Number of districts receiving stabilisation interventions within 6 months</p> <p>2.2. Number of district councils established in emerging Federal Member States the period 2017-2019</p> | <p>1.4. 2012-2016: 16 Bills and 17 resolutions/others</p> <p>1.5. All chapters of provisional constitution were reviewed by Oversight committee and first debate held; public consultations not held</p> <p>1.6. Baselines tbd at inception phase / NGO Bill under preparation</p> <p>1.7. Baselines at inception phase</p> <p>2.1. 18 districts in 2015</p> <p>2.2. 0 in 2015</p> | <p>1.4. Functioning legislative and scrutiny process (Committee and Plenary stages)</p> <p>1.5. Inter-institutional agreement on key issues and conduct of public consultations</p> <p>1.6. target tbd at inception phase / NGO bill finalised through inclusive dialogue by 2018</p> <p>1.7. Public debates held around delivery of services, political process etc.</p> <p>2.1. Consolidate in the 18 districts and add at least 10 new districts</p> <p>2.2. At least 8 District Councils formed between 2017 and 2019</p> | <p>1.4. Records of parliamentary sessions available and published legislation</p> <p>1.5. Reports of consultations and Draft constitutional amendments</p> <p>1.6. Reports from consultations, NGOs position papers, media reports, Draft NGO Bill</p> <p>1.7. Perception surveys, media reports</p> <p>2.1. Perception survey and SSF survey tool / Sector specific programme implementation reports</p> <p>2.2. Sector specific programme implementation reports</p> | <p>Smooth federal transfer of power in 2016 with election of new Parliament and Government at Federal level</p> <p>Agreement on conduct of voter or civil registration</p> <p>The environment is for civil society organizations to operate</p> <p>Local CSOs willing and sufficiently resourced to undertake civic awareness campaigns and public outreach</p> <p>Media are independent and provides oversight</p> <p>For the whole SO2: Target areas remain accessible</p> <p>Government authorities at various levels remain supportive of democratisation and state building processes</p> |
|--|---|--|--|---|--|--|

| | | | | | | |
|--|---|---|--|---|---|---|
| | <p>SO 3 Security and justice are enhanced through strengthened institutional capacity and accountability and greater citizen access to policing and justice services</p> | <p>2.3. Progress in implementation of the Wadajir Framework</p> <p>2.4. Number of Federal Member States formalised</p> <p>3.1. Number of cases adjudicated (formal and TDR)</p> <p>3.2. Number of police personnel paid by FGS and/or FMS</p> <p>3.3. Number of reports on human rights violations by the Somali security forces followed up with proper procedures</p> <p>3.4. Number of legal professionals entering the justice sector</p> <p>3.5. Citizens trust in justice and security institutions</p> <p>C.1 Federal and state level policy, legal, planning and programming frameworks are inclusive and gender responsive</p> | <p>2.3. Baselines at inception phase</p> <p>2.4 HMS and Banadir are remaining</p> <p>3.1. 14,214 cases adjudicated (2014, formal justice system) / TDR not available</p> <p>3.2. 6400 Federal police biometrically registered, arrears of many months (2014)</p> <p>3.3. To be determined at inception phase</p> <p>3.4. 55 law faculty graduates with internships in justice sector</p> <p>3.5. to be determined (RoL perception survey to be issued in August 2015)</p> <p>C.1. National gender policy adopted</p> | <p>2.3. Quality of local governance improved in at least 15 districts</p> <p>2.4. HMS and Banadir formally recognised by end of 2016 early 2017</p> <p>3.1. 20,000/year (2018)</p> <p>3.2. Timely payment of salaries to an increased police force.</p> <p>3.3. Decrease of incidents, increase of follow up of reported incidents</p> <p>3.4. 80 graduates/year (2018)</p> <p>3.5. increase in % of citizens trusting justice and security institutions</p> <p>C.1. Sex disaggregated data and gender analysis available for planning, programming and budgeting</p> | <p>2.3. Wadajir progress reports</p> <p>2.4. PSG 1 as forum for measurement of progress.</p> <p>3.1. UN JROL reports/governments statistics</p> <p>3.2 MoF/SPF</p> <p>3.3. CSOs reports, UNSOM, International Human Rights Organisations</p> <p>3.4. UN JROL reports/governments statistics</p> <p>RoL perception surveys</p> <p>C.1. Implementation report of National Gender Policy</p> | <p>Political and security situation allows for implementation and regular monitoring</p> <p>For the whole SO3:</p> <p>Increased cooperation between justice chain stakeholders resulting in strengthened and more professional justice and security sector.</p> <p>Key pieces of legislation (e.g. New police act, new defence act, civilian oversight of police, etc.) are passed.</p> <p>The FGS empowers the MoIS and MoD vis-à-vis the police and armed forces.</p> <p>Federal and state institutions are genuine in promoting respect and recognition of women's value and participation</p> |
|--|---|---|--|---|---|---|

| | | | | | | |
|----------------|--|---|--|--|---|---|
| Outputs | SO 1/O 1 Credible, inclusive, transparent and acceptable democratic exercises at federal, regional and local level focusing also on women representation in politics; | 1.1.1. Number of consultative processes in the development of legal framework, and level of participation. | 1.1.1. No consultations held | 1.1.1. all stakeholders involved in consultations | 1.1.1. Reports from consultations | All stakeholders maintain cooperative and constructive approach and security situation does not deteriorate |
| | | 1.1.2. Number of trainings for electoral staff and procured electoral materials; and Operational systems/ strategic plans, regulations and procedures adopted for the EBMs in place | 1.1.2. 2016/2017 to be determined at inception phase and on the basis of UN NAM | 1.1.2. all electoral staff trained by 2018 | 1.1.2. Operational plans/procedures of EBMs and staff performance reports | Increased cooperation between electoral stakeholders resulting in agreement on electoral system for Somalia |
| | | 1.1.3. Local elections preparation on track against established operational plan of EBM | 1.1.3. legal frameworks and plans for local elections exist but need to be revisited; | 1.1.3. To be determined at implementation phase | 1.1.3. Monitoring and EBM reports | Acceptance of the role and legitimacy of the federal EMB vis-à-vis regions |
| | | 1.1.4. Number of voters/citizens registered | 1.1.4. Not available | 1.1.4. To be determined at implementation phase | 1.1.4. EBM Reports | Political will for holding local elections |
| | | 1.1.5. Role for the federal EBM accepted by all regional stakeholders | 1.1.5. Criticism raised by some regional authorities for the National Independent electoral commission | 1.1.5. National EBM acceptance by all stakeholders | 1.1.5. Reports | Local elections preparation on track |
| | SO 1/O 2 Strengthened oversight and legislative functions and cooperation of Parliaments at federal and regional level; | 1.2.1. Number of procedural and operational documents (e.g. manuals, rules of procedures) developed in Parliaments | 1.2.1. To be determined at implementation phase | 1.2.1. Rules of procedures and manual prepared | 1.2.1. Available reports/manuals | Increased collaboration among Parliaments in a federal spirit |
| | | 1.2.2. Number of inter-parliamentary workshops/interactions (federal-regional) | 1.2.2. all Speakers of Parliaments (except Puntland and Somaliland held); other exchanges too | 1.2.2. yearly meeting of Speakers | 1.2.2. Reports of meetings | Continued development of regional parliaments and political will to clearly define roles for regional parliaments |

| | | | | | | |
|--|--|---|--|--|--|---|
| | <p>SO 1/O 3 Advanced constitutional architecture and implementation;</p> | <p>1.2.3. Number of trainings/capacity building for staff and Members interactions</p> <p>1.3.1. Number of information and public outreach activities on constitutional issues</p> <p>1.3.2. Harmonisation and Compliance process between Federal and regional constitutions/regulatory framework started</p> <p>1.3.3. Establishment of clarifications mechanisms on power and resource sharing arrangements</p> | <p>1.2.3. Trainings have been held but precise number to be determined at implementation phase</p> <p>1.3.1. Few outreach activities held</p> <p>1.3.2. No concrete work undertaken</p> <p>1.3.3. draft options/amendments on five key chapters of the Federal constitution prepared by the Oversight committee and ICRC</p> | <p>1.2.3. all staff of Parliaments undergo at least one training; at least 1/5 of Members of all assemblies are trained</p> <p>1.3.1. To be determined at implementation phase</p> <p>1.3.2. A mechanism put in place; regular meetings</p> <p>1.3.3. Agreement on federal architecture in the areas of security, judiciary and Parliament; and clarifications and implementations on devolution of powers chapter of Constitution</p> | <p>1.2.3. Training reports</p> <p>1.3.1. Reports consultations</p> <p>1.3.2. Reports of meetings</p> <p>1.3.3. Draft amendments, reports of meetings</p> <p>1.4.1. Workshop reports; reports EBMs; Project reports</p> <p>1.4.2. Workshop reports; Project reports</p> | <p>Staff and Member of Parliament(s) are willing to learn and put new skills in practice</p> <p>Political will to continue and the Constitutional development process remains after the 2016 transition</p> <p>Federal member states and federal government are willing to cooperate</p> <p>Federal member states and federal government are willing to cooperate</p> <p>Society increasingly recognises and respects the role of women in democratisation and decision making</p> <p>Women self-confidence increases</p> |
| | <p>SO 1/O 4 Enhanced social accountability and participation of non-state actors in democratisation, peace and state-building and human rights promotion (particularly also in the security sector), with a specific focus on women's rights and decision making.</p> | <p>1.4.1. Number of women participating in elections, elected and in decision making positions</p> <p>1.4.2. Number of new workshops for women's groups networks/Number of women trained and/or mobilised</p> | <p>1.4.1 To be determined at implementation phase</p> <p>1.4.2. 7 EU funded women workshops held in 2016</p> | <p>1.4.1. % of women participating in decision-making and electoral processes increased</p> <p>1.4.2. At least two quarterly workshops organised</p> | | |

| | | | | | | |
|--|---|---|--|---|---|---|
| | SO 2/O 1 Consolidation of state formation efforts leading to sustainable state building. | 1.4.3. Number of communications and positions by non-state actors on political processes, federalism, local governance, justice and security actors | 1.4.3. approx. 25 position papers released by EU funded CSOs 2015/2016 | 1.4.3. To be determined at implementation phase | 1.4.3. Available position papers | Space for civil society does not shrink |
| | | 1.4.4. Defined relations between civil society and government | 1.4.4. NGO bill under preparation | 1.4.4. NGO bill finalised through inclusive dialogue by 2018 | 1.4.4 Reports from consultations and Draft NGO Bill | CSOs and government are mutually interested in improving their relation |
| | | 1.4.5 Restructured CSOs internal governance mechanisms | 1.4.5. Regular CSOs coordination board meetings held | 1.4.5. New administrative structures and plans in place by 2018 | 1.4.5. CSOs Boards reports (activities/financial), and strategies published | CSOs have genuine interest in improving internal management and coordination |
| | | 1.4.6. Increased level of citizens' awareness of democratic exercise and institutional roles | 1.4.6. To be established at inception | 1.4.6. Public debates held around delivery of services, political process etc. | 1.4.6. Public information surveys | Media operate in an increasingly free environment in respect of established rules and international standards |
| | | 2.1.1. Number of reconciliation dialogues at community level. | 2.1.1. Few reconciliation and conflict resolution dialogues held at community level. | 2.1.1. At least 50 reconciliation and conflict resolution dialogues held at community level. | 2.1.1 Project/workshop reports/perception surveys | Actors at different levels mutually acknowledge their roles and responsibilities in an agreed framework |
| | | 2.1.2. Number of new political dialogues among the federal government and Federal Member States. | 2.1.2. Ad hoc political dialogues among the federal government and Federal Member States and through the recently initiated NLF. | 2.1.2. At least 30 political dialogues among the federal government and Federal Member States outside of the NLF. | 2.1.2 Project/workshop reports/perception surveys | Authorities at various levels are willing to determine an efficient distribution of responsibilities resulting in a coherent federal architecture |

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| | SO 2/O 2 Empowerment of selected entities at district, state and federal level to improve people's everyday life and articulation of the overall framework for federalism and distribution of functions and revenues across all levels. | 2.2.1. Number of newly established District Councils. | 2.2.1. 0 full-fledged District Councils in emerging Federal Member States. | 2.2.1. Establishment of 8 full-fledged District Councils in emerging Federal Member States. | 2.2.1 Project/workshop reports/perception surveys | Political will behind the Wadajir Framework remains under the new government post-2016. New offensives against AS result in access to new areas |
| | | 2.2.2. Number of training /workshops provided to local, States and Federal authorities. | 2.2.2. Limited number of training /workshops provided to local, States and Federal authorities. | 2.2.2. Systematic capacitation of 30 authorities. | 2.2.2 Project/workshop reports/perception surveys | Access to remote districts increases |
| | | 2.3.1. Number of districts benefiting from improved access to essential service delivery. | 2.3.1. Limited number of districts benefiting from improved and full-fledged access to essential service delivery. | 2.3.1 At least 10 new districts benefiting from stabilisation efforts. | 2.3.1 Perception surveys/Progress report of the NDP/Project reports | Increasing areas of the country pass under the State's control and become accessible by implementing partners. |
| | SO 2/O 3 Progressive stabilisation in selected areas. | 2.3.2. Number of districts benefiting from consolidation of stabilisation efforts. | 2.3.2. Limited number of districts benefiting from consolidation of stabilisation efforts. | 2.3.2 At least 18 districts benefiting from consolidation | 2.3.2 Perception surveys/Progress report of the NDP/Project reports. | Access to areas of the country under Government control is maintained and consolidated. |
| | | 3.1.1 Number of mobile courts deployed, including number of cases heard and sentences passed | 3.1.1. 1,745 cases heard (2014) | 3.1.1. 2500/year (2018) | 3.1.1. UN RoL Project report | Security allows to increase deployment of mobile courts in the regions |
| | | 3.1.2 Number of persons who received legal aid | 3.1.2. 14,950 (2014) | 3.1.2. 16,000/year (2018) | 3.1.2. UN RoL Project report | Legal Aid policy are accepted and rolled-out by the Federal and FMS Ministries of Justice. |
| SO 3/O 1 Increasingly access to a more professional, impartial and capable formal and informal justice system | 3.1.3 Number of RoL infrastructure upgrades/built | 3.1.3. 4 rehabilitation projects done & assessments carried out for police-judiciary-corrections (2014) | 3.1.3. Tbd at inception phase | 3.1.3. UN RoL Project report | Infrastructures are not target of attacks and are properly maintained | |

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| | SO 3/O 2 Enhanced civilian and parliamentary oversight of the security services (armed forces and police) | 3.1.4 Number of Somalis going into the legal scholarship programme | 3.1.4. tbd at inception | 3.1.4 Tbd at inception phase | 3.1.4. UN RoL Project report | Places of higher education remain able to carry-out their functions. | |
| | | 3.1.5 TDR policy enacted and implemented | 3.1.5. Draft TDR policy discussed | 3.1.5 TDR Policy adopted. X number of cases adjudicated through TDR or assigned to formal justice system | 3.1.5 relevant project report / perception survey | TDR policy is accepted by the local population | |
| | | 3.2.1. Number of trainings provided to ministries of Defence and Internal Security | 3.2.1. Tbd at inception phase | 3.2.1. Tbd at inception phase / 80/year (2018) | 3.2.1. relevant project report | Staff in the ministries is willing to learn and apply the skills acquired | |
| | | 3.2.2 Number of civil servants mentored | 3.2.2. Tbd at inception phase | 3.2.2. Tbd at inception phase | 3.2.2. relevant project report | Civil servants are open to advice and mentoring | |
| | | 3.2.3 Number of internal documents on financial management, procurement, policy & planning, training development (in Ministries of Defence and Internal Security and in the Police) | 3.2.3. Tbd at inception phase | 3.2.3. Tbd at inception phase | 3.2.3. relevant project report | Documents produced are followed up and used | |
| | | 3.2.4 Number of sittings of the defence and security parliamentary committee | 3.2.4. Tbd at inception phase | 3.2.4. Tbd at inception phase (12/year?) | 3.2.4. Parliamentary proceedings | Parliament capacity increases | |
| | | SO 3/O 3 Increased capacity and accountability of Federal and regional police and improved respect of human rights | 3.3.1 Number of police officers who received training and mentoring | 3.3.1. Tbd at inception phase | 3.3.1. Tbd at inception phase | 3.3.1. relevant project report | Police officers are willing to learn and apply the skills acquired |
| | | | 3.3.2 Number of police officers who received basic policing (non-lethal) equipment | 3.3.2. Tbd at inception phase | 3.3.2. Tbd at inception phase | 3.3.2. relevant project report | Equipment is properly maintained and used according to human rights standards |
| | | | 3.3.3 Number of infrastructures rehabilitated/built | 3.3.3. CID in and 6 police stations refurbished (PL) and 2 built | 3.3.3. Tbd at inception phase | 3.3.3. UN RoL project report | Infrastructures are not target of attacks and are properly maintained |

