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This action is funded by the European Union

ANNEX

of Commission Decision amending Decision C(2015)8748 of 10.12.2015 on the Annual Action Programme 2015 in favour of the Kingdom of Lesotho to be financed from the 11th European Development Fund

Action document for "Participatory Initiative for Social Accountability in Lesotho (PISA)"

<u>INFORMATION FOR POTENTIAL GRANT APPLICANTS</u>		
<u>WORK PROGRAMME FOR GRANTS</u>		
This document constitutes the work programme for grants in the sense of Article 110(2) of the Financial Regulation applicable to the EDF in accordance with Article 37 of Regulation (EU) 2015/323 in the following sections concerning grants awarded directly without a call for proposals: 5.4.1. "Grant – direct award (direct management)".		
1. Title/basic act/ CRIS number	Participatory Initiative for Social Accountability in Lesotho (PISA) CRIS number: LS/FED/038-073 financed under the 11 th European Development Fund (EDF)	
2. Zone benefiting from the action/location	Kingdom of Lesotho The action shall be carried out at the following location: all ten districts of Lesotho.	
3. Programming document	National Indicative Programme (NIP) (2014-2020) between the Kingdom of Lesotho and the European Union	
4. Sector of concentration/ thematic area	Governance	DEV. Aid: YES ¹
5. Amounts concerned	Total estimated cost: EUR 6 930 000 Total amount of EDF contribution: EUR 6 000 000 This action is co-financed in joint co-financing by: German Federal Ministry for Economic Cooperation and Development (<i>Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung</i>) (BMZ) for a tentative amount of EUR 930 000	
6. Aid modality and implementation modality	Project modality Direct management - grants - direct award (during Phase I) Indirect management with Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) (during Phase II)	
7 a) DAC code(s)	15150 - Democratic participation and civil society	

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

b) Main Delivery Channel	13000 - Third Country Government (Delegated co-operation)			
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"/>	X
	Aid to environment	X	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input type="checkbox"/>	X	<input type="checkbox"/>
	Trade Development	X	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	X	<input type="checkbox"/>	<input type="checkbox"/>
	RIO Convention markers	Not targeted	Significant objective	Main objective
	Biological diversity	X	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	X	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	X	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	X	<input type="checkbox"/>	<input type="checkbox"/>
9. Global Public Goods and Challenges (GPGC) thematic flagships	N/A - The action will contribute to citizens' empowerment and participation in governance, targeting both rural and urban areas. It will contribute to raising citizens' awareness on civic responsibilities in a democratic society.			
10. Sustainable Development Goals (SDGs)	SDG 16 Promote just, peaceful and inclusive societies SDG 5 Achieve gender equality and empower women and girls SDG 17 Partnerships for the goals			

SUMMARY

Under the Governance component of the 11th EDF, the EU aims at contributing to improve democratic governance and a more efficient and cost-effective provision of public goods and services in Lesotho. In 2016, the EU decided to finance the Participatory Initiative for Social Accountability (PISA), a nationwide decentralised civic education programme co-financed by the German Government under its Southern African Development Community (SADC) governance programme. The rationale for this initiative is to build capacities of citizens and duty bearers as well as promote systems for inclusive dialogue that will enable collaborative community responses to service delivery problems. In 2018, a separate programme in support of Civil Society (NIP, EUR 4.5M, Annual Action Programme (AAP) 2017) was decided with the objective of strengthening the roles of Civil Society Organisations (CSOs) as watchdogs in the areas of democracy, transformative gender actions and accountable institutions and rule of law.

Strengthening governance in Lesotho is of utmost importance to mitigate and possibly avoid repetitive crisis situations that obstruct the development of the nation. After the snap elections of February 2015 and the general assembly elections of June 2017, the situation remains unstable and needs an effective response, also to mitigate the growing frustration of the population. This situation is essentially due to the weakness of the political system including, for citizens, the lack of capacity, motivation and opportunity in exercising their democratic rights by duly taking part in public life. Both state and non-state stakeholders and ordinary citizens require more knowledge and greater awareness of democracy and human rights issues as well as more motivation to participate in democratic and development processes, whilst

elected representatives and civil servants require skills training and commitment to the efficient provision, maintenance and protection of a comprehensive human rights culture.

PISA works across the whole spectrum of the social accountability concept, i.e. providing out-of-school, non-formal civic education for citizens to exercise and demand their rights and to fulfil their responsibilities (demand-side), capacitating local duty-bearers to better listen to, engage with, and represent citizens (supply-side) and connecting the two sides through constructive dialogue and community responses (matching). The specific objective is to strengthen collaborative local responses of citizens, community formations, service providers, state representatives and traditional authorities to improve service delivery. This will assist improved service delivery by identifying bottlenecks and either elevating these to the right level and/or institution for action or by devising local community-based self-help solutions.

In the second phase to be financed from this rider (PISA II), PISA will aim to further promote, scale up and consolidate its civic education approaches, while at the same time working towards sustainable institutionalisation of the programme. In doing so, the role of GIZ district staff will gradually shift from that of being the principal implementer, to joint implementation with national and/or local stakeholders and eventually handing over implementation fully to Basotho organisations. The Project Management Unit (PMU) will gradually assume a role of a technical assistance team for the local implementers. This process has already started in the first phase and will be finalised during phase II.

To ensure sustainability, this second phase will work towards establishing a locally-owned and managed national programme under the existing institutions of the Lesotho stakeholder landscape by implementing a capacity development strategy to strengthen in-country capacity at the individual, organisational and policy level.

The outcome/expected results are as follows:

- 1) Awareness, knowledge and skills of citizens in project areas on how to participate in democratic and developmental processes have increased.
- 2) Systems for inclusive dialogue formats and community responses of citizens and citizen representatives to improve local service delivery are strengthened.
- 3) Awareness, knowledge and skills of local councillors and chiefs in project areas on how to consult with and represent citizens are enhanced.
- 4) The integration of PISA into the national institutional set-up of Lesotho is completed.

1. CONTEXT

1.1 Sector/Country/Regional context/Thematic area

Lesotho is a small, constitutional monarchy, fully independent since 1966, entirely landlocked within South Africa, with a population of around 2 million inhabitants, 76 % of whom reside in rural areas, with a dispersed settlement pattern, which makes it costly to provide universal access to basic services. The economy of Lesotho is mainly supported by exports of textiles, water, and diamonds to the United States, South Africa and Belgium. Lesotho has made some progress towards the Millennium Development Goals (MDGs); however, there were shortfalls in almost all areas, especially regarding the eradication of extreme poverty and improving maternal health care. Lesotho is ranked only 160th out of 188 countries in the 2016 UN Human Development Index, and faces serious social and macro-economic challenges and growing fiscal imbalances, including poverty, significant food insecurity, extremely low life expectancy (in part due to very high levels of HIV/AIDS), inequality and weak economic growth.

Lesotho's ranking in the World Economic Forum's gender gap index has seen a continuous drop in overall ranking over the last few years (8th in 2010 to 73rd in 2017). Though the country has closed its educational attainment and health and survival gaps between men and women, it scores on the two other sub-indexes of economic opportunities for women, and political empowerment have not improved over the last few years. The social dynamics in Lesotho society are fast changing, as an important part of the population is less than 25 years of age, which impacts on gender relations. Historically, men in Lesotho have been labour migrants and women were the organisational factor in society and in productive economy. Gender relations are very dynamic: women have higher educational levels than men and are increasingly contributing to household income, while men are faced with unemployment and an erosion of traditional roles which in turn promotes gender-based violence against women and girls. Also, young women are at risk of early marriage, unwanted pregnancy and are most vulnerable to HIV infection.

The political situation in Lesotho has been marked by periods of instability since the earliest years of the independence in 1966. In August 2014 security forces operations forced the then-Prime Minister into brief exile. International mediation, led by the Southern African Development Community (SADC) resulted in an agreement between the major political parties for early elections in February 2015. These elections were considered free and fair by international observers, resulting in the formation of a Second Coalition government. The *Coalition Agreement on Stability and Reform*, which has been cut short by snap-elections of June 2017, outlined the objectives of restoring national peace and political stability, deepening democracy and respect for human rights, and making transparency and good governance a hallmark of the Government. The agreement also committed the Government to place greater focus on consultation and citizen participation. However, a motion of no confidence forced the country into a third national assembly election in June 2017, that brought in a coalition of four parties, which signed in August 2017 a Coalition Agreement for *National Unity, Reconciliation, Peace and Stability*. First signs of the new government are positive towards engagement with civil society and it expressed the intention to embark on a national dialogue process to start a process of constitutional, justice, and security and public service reforms. However, three key opposition leaders have fled to South Africa since October 2017, citing threats to their lives, and there is concern that this could undermine the credibility and popular acceptance of the reform process. Meanwhile the reform process is stumbling forward, but not moving smoothly. A vision and road map document, entitled "*The Lesotho We Want: Dialogue and Reforms for National Transformation*" has been approved by Cabinet in December 2017, followed by a bill for the creation of a "Reforms Commission", tabled at the Parliament but challenged by the Opposition MPs with a point of order, and referring to the pre-electoral pledge for the organisation of a national dialogue which should pre-empt any legislation relative to the reforms.

In 2014, the Cabinet of Lesotho adopted a National Decentralisation Policy². It introduces a revision of the way in which local governance is organised and foresees a shift in power-relations between central and local government. The purpose of the policy is to reduce poverty, promote equitable local development and enhance participatory governance by transferring functions, responsibilities and resources for service delivery to local authorities and empowering citizens to actively participate in all service delivery processes. The present political instability in Lesotho combined with a chronic lack of political will to support a real devolution of powers from Maseru to the districts has however had a 'paralysing effect' on the planned structural improvements in the quality of governance and likewise on the implementation of the decentralisation policy. Political analysts expect that as a result, the

² National Decentralisation Policy Kingdom of Lesotho; Ministry of Local Government and Chieftaincy, February 2014.

legal framework for effectuating the decentralisation policy will most likely not be adopted soon. It is therefore not likely that within the coming years sufficient structural changes will take place that will strengthen the decentralised government structures in terms of their mandates, capacities and resources unless the reform process embarks genuinely on the decentralisation process. In addition, the civil service at all levels of government is weak and extremely politicised, the management capacity is variable, and corruption is common.

While in the past the relationship between government and politicians on the one hand and national level CSOs on the other hand has been rather antagonistic, both parties acknowledge that over the last few months there have been improvement in this relationship, as reflected by government representatives attending a national reconciliation meeting organised by the Lesotho Council of Non-governmental Organisations (NGOs) and the expressed intention of government to involve civil society actively in the proposed reform process.

While the Constitution of Lesotho entrenches the right of citizens to participate in public affairs, there is limited awareness and capacity on the part of citizens, especially in rural areas, with regard to their participation in democratic and developmental processes, as well as an emerging cynicism, especially amongst young people, about the failure of democracy. Moreover, there are limited platforms for citizens to participate in the implementation of national policies and development initiatives. The "Citizen's Participation Survey" (CPS) conducted by PISA and the United Nations Development Programme (UNDP) in March 2017 found that only 27.8 % of citizens confirmed that they had sufficient knowledge to participate in democratic processes. Less than half (44 %) of respondents had ever attended a public gathering, which is regarded as the most important format for citizens' participation at the local level. Two-thirds of the respondents in the CPS felt that they had "very low or no opportunity" to participate in local council processes (females: 71.4 %, males: 58.5 %). While youth are motivated to participate in public life, they feel excluded. To alleviate this situation, the African Peer Review Mechanism report of 2011 suggested public awareness campaigns and civic education programmes for Lesotho.

Hence the need for a continuation of the civic education initiative that was started under PISA, further developing and making use of its de facto hybrid position bridging government's and civil society's interests for developing and promoting mechanisms to enable people's participation in decision making processes and generating a stronger voice from the bottom for demanding adherence to the principles of democratic governance.

1.1.1 Public Policy Assessment and EU Policy Framework

The "Vision 2020" and the National Strategic Development Plan (NSDP) set out Lesotho's national development policy, and are centred on the Government's strategic orientation towards development through education, social protection and economic growth. The NSDP identifies six development clusters: i) accelerated, shared and sustainable economic growth, ii) human development and social protection, iii) key infrastructure, iv) good governance, v) environment and vi) climate change, and cross-cutting issues (gender, youth etc.). Furthermore, the NSDP expresses the intention of the Government to actively work together with its development partners, civil society and the private sector to achieve these development objectives. These intentions will most likely shape the NSDP 2 as well, which is currently being formulated.

The legal basis for bilateral cooperation between the EU and Lesotho is the Cotonou Agreement, while the New European Consensus on Development³ is the cornerstone of the EU's development policy, which is part of the overall EU response to the United Nations

³ New European Consensus on Development: 'our world, our dignity, our future'. OJ C 210 of 30.6.2017.

2030 Agenda for Sustainable Development. The Consensus engages the EU to implement a rights-based approach to development cooperation, encompassing all human rights.

The EU stresses the importance of Good Governance in general in the "EU action plan for human rights and democracy"⁴ and specifically defines gender-focused participation (*SDG 14: "Promoting gender equality, women's rights, empowerment and participation of women and girls"*) and accountability (*Action 5a: "Continue strengthening good governance and the rule of law through support to the separation of powers, independence and accountability of democratic institutions; promote the role of domestic actors in reform processes, including constitutional reforms, in order to better reflect the interests of various stakeholders"*) to be main issues. The broader concept of accountability in governance and its importance is furthermore underlined in the "Handbook on promoting Good Governance in EC development and cooperation".

The second EU Gender Action Plan (GAP II) clearly makes reference to governance through its objective of "women and girls equal participation in decision making" and its thematic pillar "strengthening girls' and women's voice and participation". The Lesotho government has revised its national gender policy, which is currently awaiting cabinet approval, and which will provide a policy framework to promote women's social, political and economic empowerment.

Under the 11th EDF, Governance is one of the three priority sectors for Lesotho, supporting the implementation of the NSDP. In the National Indicative Programme (2014-2020) for co-operation between the Kingdom of Lesotho and the European Union, the overall objective for support in the area of governance is to achieve *a more efficient and cost-effective provision of public goods and services*. It has allocated EUR 32 000 000 for supporting improved public-sector management and service delivery; support to the rule of law; and improving the performance of oversight institutions. Importantly, it highlights how the EU values the participation of civil society organisations (CSOs) in development and recognises the multiple roles that CSOs play as promoters of democracy and defenders of rights holders and of the rule of law, social justice and human rights. It reaffirms the EU's commitment to promote civil society space and enhance their support for building the capacity of CSOs, to strengthen their voice in the development process and to advance political, social and economic dialogue. EUR 4 500 000 have specifically been allocated by the EU to strengthen the competence and expertise of civil society organisations in Lesotho in areas such as effective engagement in structured dialogue; strengthening their capacity to monitor public service delivery performance; and participate in the design, implementation and monitoring of policies linked to the focal sectors of EU cooperation.

There is no national curriculum, policy or comprehensive institutional structure in place to provide guidance for civic education, both in-school and out-of-school for young people and adults in Lesotho. However, in regard to the out-of-school sphere, the National Decentralisation Policy adopted in February 2014 makes specific reference to civic education. Section 3.16 mentions "Civic Education Programmes to enhance Citizen's Empowerment and Accountability". Furthermore, the NSDP clearly plans, under Section 5.6.1 on Stability and Democracy, to "develop and implement a robust civic education programme". While the Independent Electoral Commission (IEC) holds the mandate to carry out civic education and has permanent staff distributed across all ten districts of Lesotho, it actively implements civic education only during elections in the form of voter education. Several CSOs are also involved in civic education as part of voter education or other governance-related initiatives,

⁴ Joint Communication to the European Parliament and the Council: Action Plan on Human Rights and Democracy (2015-2019) "Keeping human rights at the heart of the EU agenda". JOIN(2015)16 of 28.4.2015.

but these activities are neither standardised in terms of content, methodology and role of stakeholders nor systematically planned in terms of geographical coverage.

1.1.2 Stakeholder analysis

PISA is an inclusive programme and of partnership-oriented nature, providing a multi-stakeholder platform for national and local government agencies, state institutions, especially the IEC, CSOs and Community Based Organisations (CBOs).

The key institutions in relation to civic education in the sector in Lesotho, and more specifically the PISA programme, are:

- Independent Electoral Commission (IEC);
- Ministry of Local Government and Chieftainship (MoLGC), including local governments (district and urban/community councils) and chiefs;
- CSOs and CBOs, especially the umbrella body Lesotho Council of NGOs (LCN) and those active in governance.

Of equal importance is the conflict between the traditional leadership and the elected community councils. For a number of reasons, including a lack of adequate knowledge on roles and responsibilities and sheer competition over power, there has not been much harmony between the two authorities who are supposed to work together in advancing local development agenda. The result of the conflict has been the disruption and frustration of the decentralisation process, a process aimed at bringing socio-economic services closer to the communities. At the local level, it is important to note that a country needs more than local authorities to make a meaningful impact on the living conditions of people; CBOs and civil society have a crucial role in addressing the constraints above. However, civil society has capacity and financial constraints which have impeded them from making adequate enough contribution in the development agenda.

The following are the capacity constraints that have been identified: first, there is limited knowledge on the local government legal framework defining entry points for public participation, role and responsibilities of different role players etc. This limited awareness combined with a growing frustration of the population towards its politicians perceived to be corrupt and not interested in the development priorities of the communities is believed to have impeded communities from demanding accountability and improved service delivery. Secondly, the contribution of CBOs and CSOs has been hampered by unsustainable resources, including finance, material and expertise. CBOs lack skills in competence areas of development such as governance, management and leadership, advocacy, project management, monitoring and evaluation, research and policy analysis, mentorship, resource mobilisation, conflict management, budget tracking and social audit etc.

Private Sector and Civil Society: Chiefs and traditional leaders have responsibilities in relation to conflict resolution and land management, including rangelands and grazing permits, in cooperation with Councils. Political leaders (Parliamentarians and Councillors), as well as CSOs, are important stakeholders and potential change agents, especially in relation to community development at village level. CSOs implement civic education projects and promote public participation practices. Some CSOs are also active in natural resources' management, improved farming techniques, climate change adaptation, HIV/AIDS awareness, gender mainstreaming, etc.

The Lesotho Council of NGOs (LCN) has the comparative advantage of leading on coordination and advocacy matters and has been granted a four-year 11th EDF grant of EUR 1 500 000 to consolidate their ability to implement their mandate and to support the country in inclusive and participatory reform processes.

The final beneficiaries are the general population along with the CBOs as well as national and local authorities.

1.1.3 Priority areas for support/problem analysis

As analysed for the Phase I of PISA, strengthening the institutional set-up of governance structures in Lesotho has to be combined with measures that envisage broader citizen participation especially on a decentralised level. This can best be achieved by a nationwide district based civic education programme, which links the day to day challenges of the people with the overall governance system and enhances citizens' participation and social accountability. Therefore, it is important that civic education measures take fundamental social and economic problems into account, namely service delivery at local level, gender based violence, HIV/AIDS, maternal and child health, food security and environmental risks as well as conflicts related to the access to and use of land.

Despite being better educated than their male counterparts, women's leadership and political participation in Lesotho is restricted. Women are underrepresented as voters, as well as in leading positions, whether in elected office, the civil service, the private sector or academia. This occurs despite their proven abilities as leaders and agents of change, and their right to participate equally in democratic governance. Achieving gender equality requires women's active participation and involvement in decision making at all levels, starting at home and extending to the highest levels of the government. Women's equal access and participation in political decision making is a pre-requisite for gender responsive governance. Gender equality is central to representation, participation, accountability, responsiveness and transparency. Women that gain knowledge of their rights will help a more equal society in Lesotho.

Research shows that citizens in Lesotho lost confidence in the functioning of democratic institutions and the ability of government addressing their basic needs effectively. The national assembly elections of June 2017 brought in a coalition government which coalition agreement is based on a vision of national unity, reconciliation, peace and stability, committing to rescue Lesotho from political instability, economic stagnation and degradation of democracy and to work for lasting peace and stability of the nation. Meanwhile the reform process is stumbling forward, but not moving smoothly. The political instability at national level has a "paralysing effect" on planned structural improvements in the quality of governance and likewise on the implementation of the decentralisation policy. As a result, development funds do not trickle down to the local level, resulting in local structures not being effective and local democracy essentially not being functional. The local government elections of November 2017 brought in a new batch of local government councillors and it remains to be seen if these new councillors will be more engaged towards the interests of their constituencies. There is indeed limited meaningful dialogue between communities and government staff, partly because both deconcentrated staff as well as staff from local governments has limited discretionary authority to allocate resources. As a result, the Government is not sufficiently addressing the felt needs of its citizens, resulting in an attrition of its legitimacy in the eyes of its citizens, reduced voter turnout at elections and low participation in public gatherings.

This resulting apathy has also been affecting the willingness and ability of citizens to address community problems themselves, to mobilise internal and external resources and to demand better services, which is also related to a lack of awareness about their civic rights and duties and the ways in which they could engage constructively. This "developmental deadlock" in Lesotho represents a classical "collective action problem" as described by David Booth as: *"neither political leaders nor ordinary citizens can be counted on as development principals, since both face collective action problems when it comes to acting in ways that contribute to*

development"⁵. In these settings, one must resort to "local problem solving", which not only contributes to resolving real problems in service delivery at the community level, but at the same time promotes and puts into practice democratic decentralisation, client power and social accountability by empowering citizens and other stakeholders. Local problem solving is about addressing the collective action problems that stakeholders face in specific local contexts. Solutions involve local reformers coming together in new ways to deal with specific service delivery bottlenecks, working within the limitations defined by the present formal and informal institutions and structures. The principle of collective action or co-creation is to make optimal use of the limited local resources that are available, like human resources in a community that can be mobilised, the presence of chiefs and councillors who could play a representative and leadership role, local government staff who are willing to assist even though they have limited resources or discretionary power and CSOs that can mobilise people, lobby and advocate at the local government level.

1.2. Other areas of assessment

N/A.

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Booth, David (2012): Development as a collective action problem; Addressing the real challenges of African governance. Overseas Development Institute 2012.

2 RISKS AND ASSUMPTIONS

The following risks can be identified:

Main risks as identified in RMF	Risk Level (H/M/L)	Mitigation Measures
Political instability can lead to further loss of legitimacy of the government. Instability can lead to a breakdown of dialogue opportunities.	<i>Medium</i>	<ul style="list-style-type: none"> - Beyond the sphere of influence of the project. - Development partners and SADC aim to strengthen democratic practices in Lesotho. - Supporting civil society and church leaders engaging with the political leadership. - Grass root work of "community parliaments" as well as national dialogue and reconciliation initiatives being implemented with EDF 11 PISA and LCN projects.
CSO activities being restricted. Restrictions could delay dialogue and create antagonistic Government of Lesotho -CSO relations.	<i>Low</i>	<ul style="list-style-type: none"> - Continuation of the positive dialogue between Government of Lesotho and Civil Society and increased respects for each other's role in the democratic process. - EDF 11 Support to the Civil Society (LCN and other CSOs through call for proposals) will contribute to CSOs becoming more professional, accountable and influential.
Sectorial Risks	Risk Level (H/M/L)	Mitigation Measures
No long-term commitment of all stakeholders.	<i>Medium</i>	<ul style="list-style-type: none"> - The need for a long-term commitment by the Government of Lesotho, the EU and its member states is continuously emphasised in Art. 8 Cotonou political dialogue.
Basotho CSOs consider the programme as a threat and as a competitor.	<i>Medium</i>	<ul style="list-style-type: none"> - Long-term vision for sustainability of PISA based on integration of programme in existing institutions rather than the formation of a new organisation. - Involvement of core CSOs in the national and district steering committees. - Close coordination and partnership with CSOs at national and local level. - PISA will closely coordinate with the EU-funded "Support to Civil Society in Lesotho" programme.
Assumptions for Sector		
<ul style="list-style-type: none"> • A long-term perspective and commitment towards civic education, active civic engagement and collective action from all stakeholders is guaranteed. • Although restricted in their authority and limited in resources, local government officials are in general willing to participate in the project and contribute to their best ability to resolve community problems and are willing to work with CSOs even if they are critical of government. • CSOs' are willing to cooperate with the communities and with government and will, with support from PISA, allocate the required capacity and resources to contribute in community dialogues and local problem-solving processes to complement PISA's activities (such as representation or lobby and advocacy). • Local leaders (chiefs, community and district councillors, etc.) will take up their leadership and representative role and put the interest of their community high on their agenda. • The PISA project will be able to resolve sufficient number of community problems to keep all stakeholders interested and committed to the process. • The programme will be able to recruit and retain competent and skilled staff in a competitive environment. 		

3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

3.1 Lessons learnt

The majority of stakeholders engaged during the preparation of this intervention emphasised the need for skills training, civic education and public awareness programmes in Lesotho. Both state and non-state stakeholders and ordinary citizens require more knowledge and information and greater awareness of human rights issues, whilst elected representatives and civil servants require skills training in the efficient provision, maintenance and protection of a comprehensive human rights culture. The Lesotho country evaluation has stressed the need for civil service reform. Implementation of such an overall civil service reform constitutes a key issue to be addressed by the Government and it is a key element of the policy dialogue and monitoring carried out by the EU.

At the local level, the decentralisation process was expected to provide better opportunities to forge genuine development partnerships between government and communities and to promote dialogue for a more responsive and accountable system of local governance. This has not happened, due to a combination of factors that include limited incentives, lack of capacity and resources of both the councils and communities to engage in governance processes and limited coordination between the communities within a district or community. The lack of resources of national level CSOs to establish a more permanent presence at district level has meant that their support in strengthening the demand side in local governance at the district and community level has been limited.

The programme would contribute to peer learning within the SADC region. Both EU and German Development Cooperation (GDC) support SADC in its efforts to create sound governance structures on regional and on member state levels. In addition, both EU and GDC do also cooperate in strengthening of civil society in Lesotho by co-financing the Deepening Decentralisation and Non-State Actors Programme (DDNSA).

The first phase of PISA was influenced by lessons learnt from the EU-supported National Initiative for Civic Education (NICE) in Malawi, which was developed in 1998 and initially implemented by GIZ up until 2005 when it became a foundation. NICE is credited with having made a crucial contribution to the stabilisation of Malawi's young democracy. NICE Malawi has, however, over the past years overshadowed other existing civil society initiatives and become the single provider of civic education in Malawi. However, CSOs were much less developed in Malawi when NICE started than they are in Lesotho today. Therefore, an intensive effort of dialogue has taken place with the much stronger CSOs in Lesotho to closely associate them to the implementation and steering of the programme from its inception. While the NICE programme was the basis of inspiration, PISA was prepared in close consultation with all stakeholders in Lesotho to build on indigenous knowledge and experience.

When progressing into its second phase, the programme can now also build on important field experience gained from implementation. An external Mid-Term Review (MTR) conducted in late 2017 analysed the current state of implementation, collated lessons learnt and made recommendations going forward. The MTR points out that PISA has made positive strides in linking civic education and state-citizen dialogue forums to local problem solving through collective action in communities, and there is sufficient evidence that local problem solving can work in the Lesotho setting. It also learnt that in these initial stages of tackling community problems through community responses, an external and neutral facilitator or catalyst is necessary to bring different actors together to collectively analyse and resolve community issues and to re-establish trust and mutual accountability.

In these processes, PISA has played the role of facilitator, bringing these actors together to discuss, analyse and collectively address community problems and help to resolve specific

service delivery bottlenecks (for example, in one community the chief who is not cooperating, in another the ministry of health not aware of the fact that the health post is continuously out of stock of essential drugs,). "Help" in this case does not mean "resolving the problem for the community" but "walking with the community" to understand the problem, analyse its causes and identify ways how they can collectively address them. By focusing on civic engagement (defined as individual and collective actions designed to identify and address issues of public concern) and collective action and co-creation between citizens, formal and non-formal organisations and government (in all its forms), PISA has been able to retain a neutral facilitator role, rather than playing an advocacy and lobbying role on behalf of the communities in which it has been working.

PISA as a project that is *de facto* located and operating within the space between government and civil society in Lesotho, and with a stable funding source for a limited period, is uniquely positioned to be a "test lab and incubator" for innovative approaches in civic education and strengthening democratic governance from the bottom up. It has learnt that in order to be successful in this setting and field of work it must:

- Link civic education directly to the resolution of real life issues in dialogue forums to make the added value of democratic governance tangible and to keep citizens involved and eager to learn more, i.e. work on developmental topics as well as core topics around democracy and governance;
- Ensure that issues discussed at dialogue forums are followed-up with the right offices at the right level, where possible and necessary linking citizens with civil society initiatives for further support in advocating for their issues;
- In the present setting at the local level, where people have lost confidence in their government, it is important to start tackling issues that people can resolve themselves within their community to restore a minimum level of trust in basic democratic concepts like representation, accountability and citizen responsibility;
- Help citizens to analyse their own problems and let them experience and learn the values of accountability, transparency and representation;
- Cultivate a strong problem-driven learning approach; i.e. look for solutions that are identified in response to locally perceived problems and that are viable given the context. There are of course bottlenecks in service delivery that require big investments and cannot be resolved through collective action but there are plenty of day to day issues that can be resolved at the local level, related to e.g. the maintenance of water facilities, the opening hours of the clinic, the absence of teachers at school, etc.;
- Respond to the need of young people by developing and utilising youth-specific approaches to empower young people to participate in public life, and in doing so harness the potential of digital solutions and social media to reach out to citizens;
- Promote gender-positive approaches and tools to enable women's civic participation;
- Work with and build alliances between multiple change agents at the local level (like chiefs, councilors, CBOs, informal groups and informal leaders, youth);
- Considering the limited mandate and capacities of local councils to influence service delivery and respond to citizens demands, focus on the representative role of councilors and chiefs, i.e. drawing them into the demand-side by strengthening their role in giving citizens a voice;
- Strengthen the principle of co-creation across the whole operation to fully harness local knowledge as well as build in-country capacity for sustainability of the programme;
- Strategise how to best organise its coverage of the citizenry by expanding its approaches to include, for example, traditional media and social media, by establishing a volunteer network and/or sharing geographical outreach with other initiatives;
- Continue investing in quality implementation through a strong Project Management Unit (PMU) that ensures methodological and didactical excellence, provides technical

backstopping and financial controls, and takes charge of monitoring and documenting results (i.e. what works and what does not work);

- Continue sharing lessons learnt as much as possible among project staff and with other organisations through collective reflections and peer learning mechanisms.

3.2 Complementarity, synergy and donor coordination

The Government has shown increased willingness to take upon itself a role of aid coordination as per Paris, Accra and Busan agreements. The Aid Coordination Unit in the Ministry of Development Planning is currently gaining strength, with EU support.

PISA will strengthen its partnership with CSOs and CBOs to enable them to support communities to resolve bottlenecks in local service delivery or to unlock community problems. Consequently, the proposed continuation of PISA will be complemented by the **"Support to Civil Society in Lesotho" programme of the EU**, which has as its overall objective "to promote peace, democratic governance and build effective institutions ", and in particular its first outcome: "Enhanced capacity of the general population, both men and women, to participate in decision-making within their communities, in particular in the identified sectors within the NIP and to promote accountable representatives". PISA will strive for complementarity with the larger CSOs advocacy efforts; PISA's role is to facilitate dialogue and community responses, but it does not function as a lobbying mechanism for citizens. Hence, community issues may be handed over from PISA staff to CSOs for lobbying with authorities. Also, while the "Support to Civil Society" programme will focus more on the larger national level CSOs, the PISA project will work mainly with local community-based initiatives with a presence in the districts.

German Development Cooperation (GDC) through GIZ is, in close cooperation with the EU, actively involved in supporting Lesotho's governance sector. In its **support to the SADC Secretariat**, GIZ also supports enhanced governance in SADC's member states. PISA will continue to build and utilise opportunities for learning about civic education across the SADC region, as well as to function as a vehicle for the regional integration agenda in Lesotho.

The **GIZ regional programme "Prevention of Violence against Women and Girls in Southern Africa"** supports multi-stakeholder initiatives for the prevention of gender violence drawing in government, civil society and private sector stakeholders. PISA will explore and harness opportunities for collaboration around building women and men's awareness of women's rights and service delivery for survivors of violence.

UNDP works with the Government of Lesotho on governance issues with a focus on promoting its reforms agenda. Complementarities and synergies with PISA around involving citizens in an inclusive national dialogue process for reforms, will be actively sought after through close coordination.

The United Nations Children's Fund (**UNICEF**), with support from the EU and GIZ, has been supporting the MoLGC in selected pilot councils to improve service delivery through the installation of a Citizen Service Centers for councils to act as citizen service centres. This includes the development of an Online Service Directory. The PISA centres act as information and referral points for citizens seeking services. Further, PISA will capacitate councillors to engage with and represent citizens more effectively. Hence, synergies between PISA's and UNICEF's support to councils will be harnessed.

In the first phase, PISA has established a country-wide network of PISA centres. PISA has decentralised offices in all district towns that are housed in centres with a public library, internet connection and space for workshops and trainings. **Other EU or development**

partners' programmes can use these structures for complementary initiatives, for example for disseminating information material or for conducting events.

3.3 Cross-cutting issues

In addition to the core issues of civic education (voter education, constitutionalism, local government), the activities supported by this initiative are expected to have a positive impact on cross cutting issues that are relevant for the lives of the citizens of Lesotho.

As in the first phase, **rights based approach (RBA)** will inform the entire work of PISA II. Accordingly, the action focuses on strengthening the capacities of both rights-holders and duty-bearers, and places a particular strong emphasis on the participation and accountability pillars of the RBA.

According to the MTR, PISA has during its initial phase proven that it is well positioned and capable of operationalising the cross-cutting issues of HIV/AIDS, gender equality and climate change at the local level in a very practical manner that is highly context relevant. PISA has developed an integrated mainstreaming strategy for the three topics that encompasses addressing the cross-cutting issues as programmatic themes in civic education and dialogue forums and at the work place.

Considering the deep-rooted and widespread gender disparity in all spheres of society, **gender equality** will be mainstreamed in all components of PISA II. This will be achieved through addressing gender-related topics (e.g. domestic violence, political participation) in civic education, employing gender-sensitive methodologies that encourage women and men to participate actively in community matters, by targeting women's associations and gender-focused organisations in its proposed activities as well as through prioritising gender positive and gender transformative initiatives and gender disaggregated indicators for monitoring. Gender equality is also promoted internally by seeking gender balance in the workplace.

Empowerment of other marginalised groups, particularly **people living with disability (PLD) and HIV/AIDS** will also be prioritised in the different components of the Action, primarily through addressing issues of access to services by marginalised groups and using inclusive methodologies. The mainstreaming strategy also has an internal component to address HIV at the workplace.

Given the central importance of sustainable natural resource management, **environmental protection and climate change** represent important cross-cutting issues in the PISA. In its first phase, PISA conducted a nation-wide "responsible herding"-campaign to raise citizens' awareness of the effects of unsustainable grazing practices on land erosion, as well as the internal "going green" initiative, which will be continued in the second phase.

The first phase of PISA showed that young people are disenchanted with the political system and do not participate in the available platforms for public participation, which they regard as ignorant of young people's opinions and needs. Hence, youth-specific civic education interventions are required. In the second phase, PISA II, **support to youth** issues will therefore also be mainstreamed, also taking into consideration that Lesotho has one of the highest unemployed youth populations in the world. Accordingly, empowerment of the youth will be prioritised. In the first phase, the programme developed the METHAKA youth volunteer network of approximately 200 trained youth that conduct youth-oriented civic education activities and provide an important outreach mechanism for PISA at community-level. The METHAKA network will play an important role in addressing youth issues.

4 DESCRIPTION OF THE ACTION

4.1 Objectives/results

The **overall objective** of the action is to contribute to a more efficient and cost effective provision of public goods and services.

The **specific objective is:** Public participation of citizens and citizen representatives in project areas in dialogue formats and community responses to improve local service delivery is strengthened.

Outcomes/results:

- 1) Awareness, knowledge and skills of citizens in project areas on how to participate in democratic and developmental processes have increased (demand-side).
- 2) Systems for inclusive dialogue formats and community responses of citizens and citizen representatives to improve local service delivery are strengthened (matching).
- 3) Awareness, knowledge and skills of local councillors and chiefs in project areas on how to consult with and represent citizens are enhanced (supply-side).
- 4) The integration of PISA into the national institutional set-up of Lesotho is completed (institutionalisation).

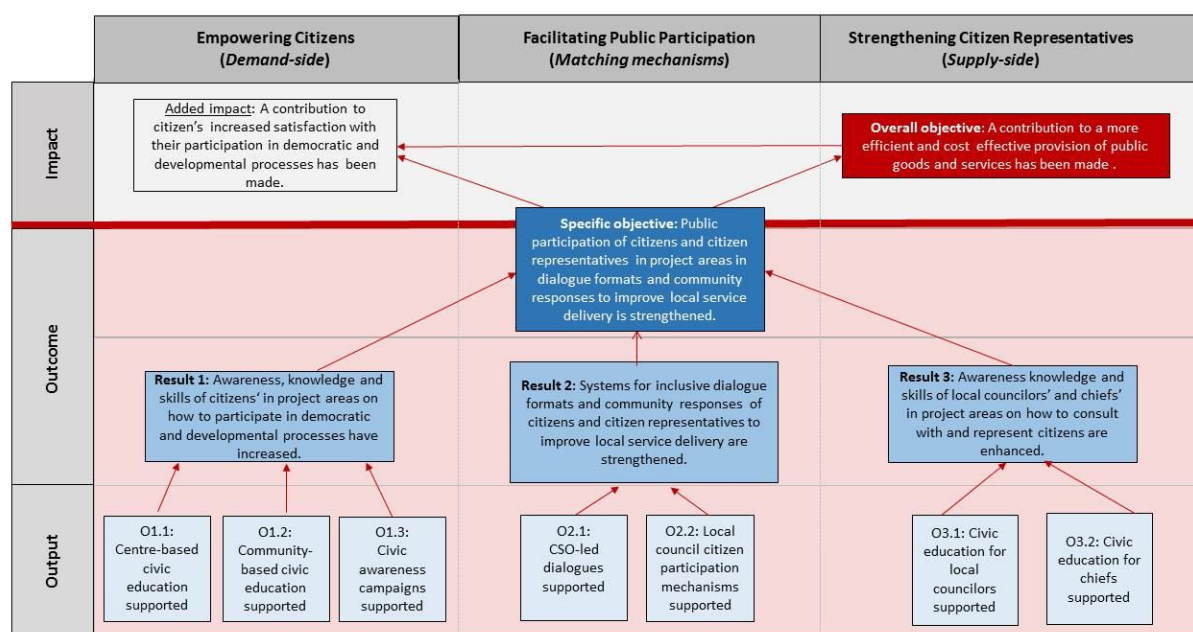
The second phase of PISA introduces a fourth result area focussing on institutionalisation. While the activities under the results areas 1, 2 and 3 are regarded as "core processes" to achieve the programme's intended outcomes and specific objective, the fourth results encompasses all "support processes" that are required for sustainability, including: Results-Based Monitoring (RBM) and knowledge management to document effective approaches and methodologies; communication activities to build PISA into a recognised and respected brand; stakeholder dialogue to promote consensus building around strategic issues pertaining to civic education (e.g. National Civic Education Policy, Curriculum, Master Plan); staff capacity building to professionalise a cadre of well-trained civic educators; and regional collaboration to enable learning from other initiatives in Southern Africa and beyond. It also includes concrete measures towards institutionalisation, like capacity assessments and preparation of contracts.

This programme is relevant for the United Nations Agenda 2030 for Sustainable Development. It contributes primarily to the progressive achievement of SDG 16 "Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels", but also promotes progress towards Goals 5 "Achieve gender equality and empower all women and girls" and 17 "Strengthen the means of implementation and revitalise the global partnership for sustainable development". This does not imply a commitment by the Kingdom of Lesotho benefiting from this programme.

4.2 Main activities

PISA will continue to strengthen the demand and supply side of governance as well as the interface between the two (see figure 1). The theory of change has been validated based on the findings of the MTR conducted in late 2017 and has been discussed and agreed upon by all PISA stakeholders in a series of consultative meetings in early 2018.

Figure 1 PISA's conceptual framework (theory of change) for phase 2



Result areas:

The **first result area** ("Empowering Citizens") focuses on civic education and on empowering citizens to play a constructive role in dialogue processes with the local government and other service providers and on collective problem resolution. PISA limits its approach to non-formal, out-of-school civic education. Its civic education activities are based on tested methodologies (standard modules) and the curriculum developed with support from PISA in phase 1, and they are offered in conjunction with the IEC and CSOs. While the main thrust is to consolidate good practice, in the second phase, PISA will continue to operate as an agile learning organisation by employing a "learning by doing" approach and also developing and testing new modules and methodologies that respond to practical needs of communities (e.g. access to services) and overarching policy themes (e.g. regional integration). The activities include civic education services in the PISA centres (i.e. public libraries with free internet access, weekly Open Citizen Sessions, "Express Yourself" cultural events in conjunction with Alliance française) mainly for the urban population in district towns. Citizens in selected remote rural areas will be served by community-based activities (e.g. public gatherings). The METHAKA volunteer network will be used as a means to specifically engage and address youth in the communities. In all these activities, mobilisation of citizens will be done in a way to include marginalised and vulnerable groups. In the first years of implementation, PISA established a network of offices in all districts and implemented activities in all councils across the country, thereby generating a "footprint" in the communities. The community-based activities of the PISA second phase will target selected councils in remote parts of the districts, rather than aiming for full coverage of the citizenry. PISA district staff shall take care not to spread its efforts too thinly – especially in light of the remoteness and difficult terrain -, but rather intensify their support to fewer communities, especially in remote councils, to enable effective follow-up to dialogues and create the possibility to work closely with the community to solve real-life problems. Further, civic awareness on citizens' rights and responsibilities is promoted under PISA II through media-based campaigns. Here, the potential of Information and communication technology (ICT) and social media is harnessed to reach especially young and urban citizens. The campaigns

will deal with a broad array of issues that provide an overarching theme that all activities are then linked to for a specified period of time.

Under **result 2** ("Facilitating Public Participation"), the creation of dialogue platforms, PISA facilitates the process of bringing citizens, community leaders, civic organisations and government representatives together to collectively analyse and resolve community problems or bottlenecks in service delivery. Given the limited resources available at the local level, the limited mandates of both local government and of staff of sector ministries to respond to such needs as well as the fact that the rural population lives dispersed and there is a huge backlog in the provision of basic services, only a fraction of the problems can be resolved through collective action. Nevertheless, it is within the present Lesotho context, the only way in which the consumerist behaviour of citizens towards service delivery on the one hand and the apathetic attitude of government staff in general can be changed, while in practice much more will be achieved with the limited resources available.

In phase one, PISA has developed effective methodologies for citizen-state dialogue, including the standard modules of council-level Citizen Dialogue Forums, Youth Forums, "Speak up 4 Lesotho" panel discussions, the "Meet Your MP" approach and online formats on platforms like Facebook. These formats will be continued in the targeted councils in collaboration with civil society organisations. Further, PISA supports the use of mechanisms for citizens' participation led by citizen representatives, i.e. local councils and/or chiefs (who are members of the councils). PISA and the MoLGC developed a toolbox with a broad range of mechanisms for citizen participation and trained several hundred council members across all districts. In addition, an IT-based/SMS feedback system was piloted in three councils in view of potential upscaling by the ministry. The second phase of PISA will support councils to effectively apply the mechanisms for citizen participation and feedback.

Result area 3 ("Strengthening Citizen Representatives") will remain the most difficult area to achieve meaningful results due to the structural bottlenecks in government service delivery processes mentioned above. Nevertheless, in close cooperation with the MoLGC and several of the sector ministries that are starting (or have the intention to start) to de-concentrate some of their funding and decision-making responsibilities, like the Ministry of Health and the Department of Rural Water Affairs, some progress can be made in terms of enhancing the more generic capacities of relevant staff members, related to improved communication, transparency, negotiation, planning and priority setting, constructive dialogue, inclusion, non-discrimination and accountability etc., and in which the second phase of PISA can play a significant role.

At this stage in the decentralisation process, in which the oversight role of councillors is insufficiently developed, PISA II will develop support activities that are primarily focussed on enhancing the representation role of the councillors, to enable them to identify, understand and analyse community problems, to represent the community at council and district level, to facilitate dialogue processes between the community and service providers, to identify community resources that can be utilised for bottleneck solving and to motivate community members to participate actively in the process of co-creation, but also to hold the service provider to account to deliver and contribute as agreed upon. Hence, PISA focusses in its second phase on enhancing the individual capacities of local councillors and chiefs to consult with and better represent citizens' demands. The assumption is that with sufficient capacity and motivation, councillors will be confident enough to face and interact with the community members, even in respect to critical issues. To this end, PISA will develop civic education programmes tailored to the needs of citizen representatives, both for councillors and for chiefs, so that they fully understand the democratic dispensation of Lesotho, the governance structures as well as the mandates of different stakeholders, including their own.

As above indicated, **PISA II introduces a fourth result** area focusing on institutionalisation. PISA was implemented in view of transforming the programme into a new stand-alone institution. However, the MTR found that stakeholders showed little ownership for this concept so that a **new vision for sustainability** was formulated through a series of consultations. PISA II will work towards integrating into the existing stakeholder landscape with the institutionalisation finalised at the end of the programme. In the preferred scenario, the IEC will act as host institution for PISA with the ability to leverage public funds through the national budget. LCN would act as management agent for coordinating, at least parts of, implementation. A Memorandum of Understanding (MoU) between IEC and LCN will be signed to this effect. Selected CSOs and CBOs will act as implementers in the districts and communities. The implementers will work as "franchise partners" carrying out standardised PISA activities according to a handbook and standard operating procedures. In this set-up, the second phase would provide a grant to the IEC as well as to LCN, whereby LCN would sub-grant to the franchise partners. This set-up is in line with the various organisations' mandates, considers available expertise and management capacities, provides for political neutrality and credibility, as well as for financial self-sustenance beyond donor support.

GIZ will and must conduct **in-depth capacity assessments** of potential grantees, including the commercial suitability check of the grantees financial management and control systems, to safeguard its fiduciary responsibility towards the EU and German government. The institutionalisation strategy outlined above thus hinges upon positive capacity assessments.

The following sequence is envisioned to attain institutionalisation across the two programme phases: The first and second year of PISA's first phase (Year 1 and Year 2) served to establish the programme structures, develop approaches and methodologies and create a "footprint" in the communities. GIZ acted as direct implementer with limited collaboration with local organisations.

In the third year of phase one and the first year of phase two (Year 3 and Year 4), the focus is on upscaling and consolidating the work of PISA, while concurrently strengthening joint implementation with Basotho stakeholders at national and local levels. The principle of co-creation will be rigorously employed to harness and build in-country capacity around civic education and public participation. This point is especially important in regard to promoting community responses as follow-ups to dialogue forums, whereby local citizen formations should take the lead. These formations require encouragement and technical support ("walking with the community"), which can be provided by PISA district staff, but also by civil society actors. Lastly, this period also serves to prepare for the hand-over of implementation to the IEC, LCN and CSO/CBOs as franchise partners.

The second and third year of PISA II (Year 5 and Year 6) are then implemented by organisations, as outlined above, with grants from GIZ. GIZ district staff could be absorbed by IEC, LCN and/or the franchise partners based on a voluntary process of recruitment. The staff in the GIZ Project Management Unit (PMU) will function as Technical Advisors to the various implementing partners and implement capacity development measures for the implementing partners and its staff. The capacity development strategy will be crafted in response to the capacity needs of the selected implementing partners, including the franchise partners.

As part of the support processes, PISA II will continue applying its established **RBM and knowledge management** system, including its web-/phone-based application, to document its approaches and methodologies that will eventually be laid down in a PISA handbook and standard operating procedures (SOP) for the implementing and franchise partners. The RBM system allows for extensive and continuous monitoring and internal reporting throughout the programme and is flexible enough to capture the changing context in the various districts.

Importantly, PISA will conduct a rigorous impact evaluation (RIE) towards the end of the second phase in 2022, whereby the variables measured in the 2017 "Citizen Participation Survey" (CPS) can be collected again to assess the programme's outcomes and impact over a five-year period. Ideally, this "before-and-after" measurement will be complemented by a quasi-experimental design ("with-and-without" counterfactual scenario) to provide for a double-difference methodology that will be enabled through the targeting strategy employed by PISA. The learning experience generated through the RBM system and RIE shall be shared with all stakeholders in Lesotho as well as SADC and civic education initiatives in other countries in the region to enhance learning around good governance beyond elections.

Regional collaboration will continue under the second phase of PISA to enable learning from other initiatives in Southern Africa and beyond. PISA's attachment to the GIZ regional governance programme with the SADC Secretariat provides opportunities to inform the regional approach to democratic governance, to provide space for learning between national and regional role players as well as between initiatives in different countries across the region and to bring the regional integration agenda to the fore in civic education in Lesotho. PISA will continue to explore and support opportunities for regional collaboration, such as staff exchanges and conferences.

4.3 Intervention logic

These results can be achieved by an increased and informed participation of citizens in public life. Considering different options to achieve these expected results as well as the institutional and socio-political constellation in Lesotho, it has been concluded that the programme objective can be best achieved through the establishment of a decentralised civic education support structure with a national office and district offices in all districts of Lesotho. Participation of a significant number of men and women in community meetings for local and national issues, and in civic education campaigns as well as Community Councils (a) adopting and (b) budgeting innovative communication strategies to inform citizens about policies, programs, services, and initiatives of the local government will enhance citizen's engagement in democratic matters in Lesotho.

Debate on a National policy on Civic education drafted in consultation with CSOs incorporating gender specific issues and establishment of decentralised network centres for State and non-State institutions will lead to the creation of dialogue platforms with effective engagement for local and national structures.

Number of policy issues expressed at community level that are discussed by relevant stakeholders including Ministries at national level will enhance community participation in public policy processes in Lesotho and together with the previous outcome contribute to increase citizens' awareness of governance matters and their capacity in engaging in democratic and developmental processes.

In the long-term, PISA will contribute to the overall objective of "more efficient and cost effective provision of public goods and services". This will then also have a positive effect on citizens' satisfaction with democracy and their participation in democratic and developmental processes. This is based on the assumption that democratic institutions and processes obtain the trust of citizens through tangible improvements in their well-being. In a resource-constrained country like Lesotho, this is closely linked to basic services like water, electricity, infrastructure, health and education.

Improved service delivery is, of course, dependent on various influencing factors, many of which lie outside the control of the PISA programme. The contribution of PISA, as formulated in its specific objective, is to strengthen "public participation of citizens and citizen representatives in project areas in dialogue formats and community responses to improve local service delivery". This will assist improved service delivery by identifying

bottlenecks and either elevating these to the right level and/or institution for action or by devising local community-based self-help solutions.

The assumptions for this to happen are firstly that citizens and citizen representatives have the necessary awareness, knowledge and skills (individual capacities), and secondly that there are functional systems (institutional capacities) in place to enable and promote constructive dialogue and collective action. These aspects are addressed by the PISA directly under its Results and Outputs. In addition, however, there is an assumption that local actors are willing to work together for the greater good of their community and nation and that they are able to set aside political differences. Here, PISA needs to devise strategies to promote and tap into a spirit of community self-reliance and break through the consumeristic attitude fostered by the reliance of communities on cash or material hand-outs from politicians and development agents. Finally, there is an assumption that the citizens and local stakeholders - such as councils and CSOs/CBOs - can mobilise the resources for community responses, for example, funding for community self-help projects or to take issues identified as bottlenecks, to the right institution to be addressed.

PISA's entry points for support are spread across the whole spectrum of the social accountability concept, i.e. empowering citizens to exercise and demand their rights and to fulfil their responsibilities through civic education (demand-side), strengthening citizen representatives in their task to consult with and represent their constituencies (supply-side), and connecting the two sides through constructive dialogue and community responses to address local service delivery problems (matching mechanisms).

For public participation to happen, it is essential to have various systems and platforms (institutional capacities) for citizens and citizen representatives to engage constructively in place. This is catered for under Result 2 (Facilitating Public Participation), whereby PISA strengthens systems for inclusive dialogue formats and community responses to improve local service delivery. The assumption is that each dialogue will culminate in an agreement between stakeholders by means of which actions they would want to move towards reducing the respective service delivery challenges. Further, it is assumed that the stakeholders receive technical support in taking action, either by PISA facilitators and/or civil society representatives, who will "walk with the community".

On the one hand, PISA supports dialogue formats led by civil society (Output 2.1). Further, PISA supports the use of mechanisms for citizens' participation led by citizen representatives, i.e. local councils and/or chiefs (who are members of the councils) (Output 2.2), as laid down in the toolbox developed by PISA and MoLGC in 2017/18. A broad range of mechanisms is at the disposal of councils, including IT- and non-IT-based mechanisms to collect citizens' feedback on services. The assumption is that councillors and the councils' administration apply the toolbox effectively.

To equip and motivate them to participate in the dialogue platforms and community responses, citizens and citizen representatives both require awareness, knowledge and skills (individual capacities). To this end, PISA builds the capacities of actors on the demand-side (citizens) and supply-side (citizen representatives) through civic education.

Under Result 1 (Empowering Citizens), citizens are offered various avenues to build their capacities and motivation on how to participate in democratic and developmental processes. The civic education activities are based on a national curriculum supported by PISA in 2018, and they offered in conjunction with the IEC and civil society.

The activities include civic education services in the PISA centres (Output 1.1) and at the community level (Output 1.2). Further, civic awareness on citizens' rights and responsibilities is promoted through (social) media-based campaigns (Output 1.3) that deal with a broad array

of developmental issues, such as environmental protection, gender equality or access to health services.

Under Result 3 (Strengthening Citizen Representatives), PISA aims to enhance the individual capacities of local councillors and chiefs to consult with and represent citizens' demands. The role of PISA is to enable councillors and chiefs to better engage with and represent the citizens. The assumption is that with sufficient capacity and motivation, councillors will be confident enough to face and interact with the community members, even in respect to critical issues.

To this end, PISA provides civic education to local councillors (Output 3.1) and chiefs (Output 3.2).

5 IMPLEMENTATION

5.1 Financing agreement

In order to implement the amendment to this action, it is foreseen to conclude an addendum to the financing agreement with the partner country.

5.2 Indicative implementation period

The indicative operational implementation period of this action, during which the activities described in section 4.2 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 of the budget support component

N/A

5.4 Implementation modalities

Both in indirect and direct management, the Commission will ensure that the EU appropriate rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with EU restrictive measures affecting the respective countries of operation⁶.

5.4.1 Grant: direct award (direct management)

Under phase I of the programme, a grant contract was signed with the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) on 8 June 2016 for an amount of EUR 2 950 000. The implementation of the grant contract will come to an end on 8 May 2019.

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

The specific objective of the Grant Agreement is to contribute to increasing citizens' awareness of governance matters and their capacity in engaging in democratic and developmental processes.

⁶ https://eeas.europa.eu/sites/eeas/files/restrictive_measures-2017-04-26-clean.pdf

Expected results are: 1) Enhanced citizens' engagement in democratic matters in Lesotho; 2) Creation of dialogue platforms with effective engagement of local and national structures; and 3) Enhanced community participation in public policy processes in Lesotho.

(b) Justification of a direct grant

Under the responsibility of the Commission's authorising officer responsible, the grant may be awarded without a call for proposals to Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ).

Under the responsibility of the Commission's authorising officer responsible, the recourse to an award of a grant without a call for proposals is justified because of the technical competence of GIZ, in line with Art 190(1)(f) of the Rules of Application of the Financial Regulation. GIZ is the only neutral partner existing in Lesotho that can resist political pressure. GIZ has designed and set up the national civic education programme in Malawi and has proven to be an efficient and effective implementing partner as well as to offer political independence. GIZ also has strong track records in the field of decentralisation and capacity building of local authorities in Lesotho. GIZ has a management capacity and infrastructure in the country, which could be utilised for the implementation of this programme. GIZ is committed to co-finance the action (13.4 % of total budget). GIZ's co-financing will allow the achievement of the expected results more efficiently. Finally, GIZ has an excellent track record in terms of fiduciary responsibility.

(c) Eligibility conditions

N.A.

(d) Essential selection and award criteria

The essential selection criteria are the 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.

(e) Maximum rate of co-financing

The maximum possible rate of co-financing for this grant is 86.6 % of the eligible costs of the action.

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.

(f) Indicative trimester to conclude the grant agreement

2nd trimester 2016.

5.4.2 Procurement (direct management)

Subject in generic terms, if possible	Type (works, supplies, services)	Indicative number of contracts	Indicative trimester of launch of the procedure
Evaluation	Services	2	3 rd quarter 2017, 3 rd quarter 2022
Audit	Services	1	1 st quarter 2019

5.4.3 Indirect management with Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)

A part of this action (Phase II) may be implemented in indirect management with the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ).

This implementation entails decentralised national civic education programme in the ten districts of Lesotho and on empowering citizens to play a constructive role in dialogue processes with the local government and other service providers and on collective problem resolution. It will also continue to facilitate the creation of dialogue platforms and develop support activities that are primarily focussed on enhancing the representation role of the councillors, to enable them to identify, understand and analyse community problems and to represent the community at council and district level. The European Union will ensure that there is no overlap of activities or double-funding between the grant contract and the indirect management with GIZ.

This implementation is justified because GIZ has proven to be an efficient and effective implementing partner as well as to offer political independence. GIZ has strong track records in the field of decentralisation and capacity building of local authorities in Lesotho and it has very efficiently managed the first phase of PISA. It has a management capacity and infrastructure in the country, which could be maintained for the implementation of the second phase of this programme. Finally, GIZ has excellent track records in terms of fiduciary responsibility; it is the preferred implementation partner for the phase II of this project and for preparing the hand over to local stakeholders towards the end of Phase II.

The entrusted entity would carry out the following budget-implementation tasks: daily management of the programme including supervision of the staff on the districts and procurement as well as reporting to the EU.

In accordance with the EDF Financial regulation and the GIZ Pillar Assessment results for Grants, in the case specific case grants are to be awarded under the Delegation Agreement, and Implementing Partners (and not GIZ) are to award and manage the grants, EC Grant Procedures and the relevant chapter of the PRAG and its Grant Annexes will be applied.

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

Number	Description of Activity	EU contribution (in EUR)	Indicative third party contribution (in EUR)
1	5.3.1 Grant contract (Phase I)	2 950 000	465 000
2	5.3.2 Indirect Management_with GIZ (Phase II) <i>(including the provisions for Communication and Visibility)</i>	2 950 000	465 000
3	5.9 Evaluations and 5.10 Audit	100 000	
TOTAL		6 000 000	930 000

5.7 Organisational set-up and responsibilities

PISA II will continue to be managed by a **strong Project Management Unit (PMU)** in Maseru composed of GIZ technical and administrative staff. Experience in the first phase has shown that a reasonable team size is required to ensure both strategic and conceptual work as well as sufficient technical backstopping for harmonised and high-quality implementation in the districts as well as for smooth administration of procurement, contracting, logistics and effective financial controls.

PISA II will continue to **operate in a decentralised fashion** through GIZ staff deployed to and operating from the district towns. This mode of operation is quite unique in Lesotho, and it enables a presence outside the capital city with greater proximity to the mainly rural citizenry. It also reduces transport costs for activities in the communities. Every district team will consist of at least two officers who are responsible for implementing district-level work plans in the PISA centres and in selected rural councils. The team size may vary depending on the localities served, which may differ from one district to another. The district offices are fully equipped and housed within the premises of the PISA centres, which are located in rented premises.

In the first phase, the **means of transport** for district staff working in the communities was by motorbike, which proved to be ambivalent due to risks involved with the terrain and climate and the lack of trained motorbike riders in Lesotho. GIZ provided several vehicles that were stationed in Maseru that district staff could access upon request, some of which are now also ageing. For PISA II, additional vehicles will be procured to revamp and expand the fleet, also in view of easing transport for district staff.

In view of institutionalisation, the organisational set-up will change after the first year of PISA II when implementation is handed over to local implementing and franchise partners with funding through grants. The grants will include all running costs for the PISA centres, staff salaries and an activity budget. The PISA district staff under GIZ contract will be absorbed into the local partner organisations on a voluntary basis.

The **inter-institutional steering structures** established in the first programme phase will be retained for PISA II to allow for continuity, effective coordination across and broad-based buy-in:

A **National Steering Committee (NSC)**, formed by key stakeholders at national level, will be steering the programme, providing strategic guidance and oversight and approving annual work plans, budget and reports. The NSC will be composed of relevant representatives from the state and civil society, such as the National Authorising Officer (NAO), the MoLGC, the IEC and the two chambers of Parliament and LCN as representative of civil society. The EU Delegation and the regional GIZ programme will have an observer status, while GIZ acts as Secretariat to the NSC. The composition might be adjusted depending on the experience and to avoid conflict of interest of stakeholders involved in implementation.

This structure will be mirrored in all ten districts through respective **District Steering Committees (DSC)** composed of local government represented by the District Council Secretary (DCS), a representative of the chief's office and three civil society organisations. The PISA district office acts as Secretariat to the DSC.

An **Annual PISA Stakeholders Forum** that was hosted for the first time in Year 3 of the first phase will bring all stakeholders involved in PISA together once per year for learning and networking. This includes all NSC and DSC members as well as international, regional and local collaborating partners.

5.8 Performance monitoring and reporting

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).

A baseline study was carried out by GIZ before the start of the project and complemented with a household-level Citizen Participation Survey (CPS) in 2017. The findings were used to construct and then update the logframe baseline indicators and targets, where possible disaggregated by gender.

5.9 Evaluation

Having regard to the nature of the action, a mid-term evaluation and a final evaluation will be carried out for this action or its components via independent consultants contracted by the Commission.

The mid-term evaluation was carried out and completed end of April 2018 for problem-solving and learning purposes, in particular with respect to the long-term institutional set up of social accountability and civic education programming in Lesotho.

The final evaluation will be carried out for accountability and learning purposes at various levels (including policy revision).

Indicatively, one contract for final evaluation services shall be concluded under a framework contract at the latest in the third quarter of 2022.

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, one contract for final evaluation services shall be concluded under a framework contract at the latest in the third quarter of 2022.

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 under a framework contract in first quarter of 2019.

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 the action 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.

APPENDIX - INDICATIVE LOGFRAME MATRIX

The activities, the expected outputs and all the indicators, targets and baselines included in the logframe matrix are indicative and may be updated during the implementation of the action, no amendment being required to the financing decision. When it is not possible to determine the outputs of an action at formulation stage, intermediary outcomes should be presented and the outputs defined during inception of the overall programme and its components. The indicative logframe matrix will evolve during the lifetime of the action: new lines will be added for including the activities as well as new columns for intermediary targets (milestones) for the output and outcome indicators whenever it is relevant for monitoring and reporting purposes. Note also that indicators should be disaggregated by sex whenever relevant.

	Results chain	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
Overall objective (Impact)	A contribution to improved democratic governance and a more efficient and cost-effective provision of public goods and services in Lesotho has been made.	OO 1: Number of services devolved to Local Government (under the five Ministries to be devolved by the end of 2015: Ministry of Energy, Forestry, Health, Local Government and Social Development)	0	20 services devolved	Official Gazette devolving functions under the 5 Ministries	
Specific objective (Outcome)	Public participation of citizens and citizen representatives in project areas in dialogue formats and community responses to improve local service delivery is strengthened.	SO 1: % of citizens in project areas who state that their participation in community meetings does not matter, because citizens have no influence decreases (disaggregated by gender, age, disability, urban/rural)	56.6% (national sample 2017)	30% (project areas 2022)	Impact Evaluation Study 2022	<p>The GoL shows its willingness for change.</p> <p>The GoL maintains its commitment towards devolution of functions for the pilot Ministries.</p> <p>Line Ministries' willingness and commitment to devolve functions and resources.</p> <p>The GoL does not impede the establishment of consultative structures at local level.</p>

		SO 2: # success stories of community responses contributing to improved service delivery	0	30	PISA RBM system	
		SO 4: # of citizens participating in local council citizen participation mechanisms in project areas	tbc	Tbc	PISA RBM system	
		SO 5: % of citizens in project areas who state that they have no or low opportunities to attend local council meetings decreases.	69.1% (national sample 2017)	50% (project areas 2022)	Impact Evaluation Study 2022	
Result 1: Empowering Citizens	Result 1 (Outcome): Awareness, knowledge and skills of citizens in project areas on how to participate in democratic and developmental processes have increased.	RI 1: Proportion of citizens in project areas who confirm that they have sufficient knowledge to participate in democratic processes (disaggregated by gender, age, disability)	Males = 31.1%, females = 25.0% (national sample 2017)	Males = 60%, females = 50% (project areas 2022)	Impact Evaluation Study 2022	
	Output 1.1: Centre-based civic education supported	OI 1.1.1: # of centre-based civic education events (15% on crosscutting issues of gender, HIV and climate change) supported	0	1,000	PISA RBM system	
		OI 1.1.2: # of citizens from urban councils attending activities in the PISA centres (disaggregated by gender, age, disability)	0	10,000	PISA RBM system	
		OI 1.1.3: average monthly # of citizens accessing print and/or online information in PISA libraries (disaggregated by gender, age, disability)	0	200	PISA RBM system	

	Output 1.2: Community-based civic education supported	OI 1.2.1: # of community-based civic education events in project areas in rural councils (15% on crosscutting issues of gender, HIV and climate change) supported	0	1,000	PISA RBM system	
		OI 1.2.2: # of citizens from rural councils in project areas participating in community-based civic education events (disaggregated by gender, age, disability)	0	50,000	PISA RBM system	
		OI 1.2.3: # of educational print materials distributed to citizens in project areas in rural councils	0	150,000	PISA RBM system	Educational material is made available by government stakeholders, civil society organisations and/or development partners
	Output 1.3: Media-based civic awareness campaigns supported	OI 1.3.1: # of radio and/or social media-based activities supported (15% on crosscutting issues of gender, HIV and climate change)	0	100	PISA RBM system	
		OI 1.3.2: # of citizens, participating in interactive radio and social media-based activities (disaggregated by gender, age, disability)	0	5,000	PISA RBM system	
Result 2: Facilitating Public Participation	Result 2 (Outcome): Systems for inclusive dialogue formats and community responses of citizens and citizen representatives to improve local service delivery are strengthened.	RI 2.1: Good practice collection produced	0	1	PISA RBM system	
		RI2.2: Guidelines for inclusive dialogue formats produced	0	1	PISA RBM system	
	Output 2.1: CSO-led dialogues supported	OI 2.1.1: # of CSO-led dialogue formats in project areas in rural councils	0	60	PISA RBM system	

		(15% on crosscutting issues of gender, HIV and climate change) supported				
	Output 2.2: Local council citizen participation mechanisms supported	OI 2.2.1: # of local councils in project areas utilising citizen participation mechanisms	0	100	PISA RBM system	Local councils use the toolbox developed and trained by PISA and MoLGC in 2018
Result 3: Strengthening local councillors and chiefs as citizen representatives	Result 3 (Outcome): Awareness, knowledge and skills of local councillors and chiefs in project areas on how to consult with and represent citizens are enhanced.	RI 3: % of local councillors and chiefs that confirm adequate knowledge to consult with and represent citizens (disaggregated by gender)	0	75	Impact Evaluation Study 2022	
	Output 3.1: Civic education for local councillors supported	OI 3.1.1: # of civic education events for local councillors in project areas supported (15% on crosscutting issues of gender, HIV and climate change)	0	60	PISA RBM system	
		OI 3.1.2: # of councillors from rural councils in project areas participating in community-based civic education events (disaggregated by gender, age, disability)	0	100	PISA RBM system	
	Output 3.2: Civic education for chiefs supported	OI 3.2.1: Toolbox for chiefs on approaches for citizen participation produced	0	1	PISA RBM system	
		OI 3.2.2: # of chiefs from project areas trained on citizens participation toolbox	0	100	PISA RBM system	
		OI 3.2.3: # of civic education events for chiefs in project areas supported (15% on crosscutting issues of gender, HIV and	0	60	PISA RBM system	

		climate change)				
		OI 3.2.4: # of chiefs from project areas participating civic education events	0	100	PISA RBM system	
Result 4: Institutionalisation of PISA (Outputs)	Result 4 (Outcome): The integration of PISA into the national institutional set-up of Lesotho is completed	RI 4.1: Three-year action plan and budget (2022-2025) for PISA approved by IEC leadership	0	1	PISA RBM system	IEC Directorate for Civic Education is established and budgeted for
	Output 4.1: Development of framework documents for PISA beyond EU/GIZ support developed	OI 4.1.1: Final Draft National Civic Education Policy approved by PISA National Steering Committee	0	1	PISA RBM system	
		OI 4.1.2: Vision, Mission Statement and Organisational Flow Chart for PISA available	0	1	PISA RBM system	
		OI 4.1.3: Standard Operating Procedures available	0	1	PISA RBM system	
		OI 4.1.3: MoU between IEC and LCN to regulate implementation of PISA signed	0	1	PISA RBM system	
	Output 4.2: Handing over of implementation of district-based activities to franchise partners completed	OI 4.1.1: # of grant agreements signed project areas handed over to franchise partners	0	10	PISA RBM system	