



This action is funded by the European Union

**ANNEX**

of the Commission Decision on the Annual Action Programme 2015 in favour of the Kingdom of Lesotho to be financed from the 11<sup>th</sup> European Development Fund

**Action Document for Participatory Initiative for Social Accountability in Lesotho (PISA)**

**INFORMATION FOR POTENTIAL GRANT APPLICANTS**

**WORK PROGRAMME FOR GRANTS**

This document constitutes the work programme for grants in the sense of Article 128(1) of the Financial Regulation (Regulation (EU, Euratom) No 966/2012), applicable to the EDF in accordance with Article 37 of Regulation 2015/323 in the following section concerning grants awarded directly without a call for proposals: 5.3.

<b>1. Title/basic act/ CRIS number</b>	<b>Participatory Initiative for Social Accountability in Lesotho (PISA)</b> CRIS number: LS/FED/038-073 financed under the 11 <sup>th</sup> European Development Fund			
<b>2. Zone benefiting from the action/location</b>	Lesotho The action shall be carried out at the following location: All ten districts of Lesotho			
<b>3. Programming document</b>	11 <sup>th</sup> EDF National Indicative Programme (2014-2020) for cooperation between the Kingdom of Lesotho and the European Union			
<b>4. Sector of concentration/ thematic area</b>	Governance			
<b>5. Amounts concerned</b>	Total estimated cost: <b>EUR 3 465 000</b> Total amount of EDF contribution: <b>EUR 3 000 000</b> This action is co-financed in joint co-financing by: Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) for an amount of <b>EUR 465 000</b>			
<b>6. Aid modality and implementation modality</b>	Project modality Direct management - grants – direct award			
<b>7. DAC code(s)</b>	15150 - Democratic participation and civil society			
<b>8. Markers (from CRIS DAC form)</b>	<b>General policy objective</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

	Aid to environment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Trade Development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	<b>RIO Convention markers</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Biological diversity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>9. Global Public Goods and Challenges (GPGC) thematic flagships</b>	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.			

## SUMMARY

Under the 11<sup>th</sup> European Development Fund, Governance is one of the three priority sectors for Lesotho, together with Water and Energy. The combined support to these three sectors will contribute to the implementation of the National Strategic Development Plan (NSDP). In the National Indicative Programme (NIP), the overall objective for support in the area of governance is *a more efficient and cost effective provision of public goods and services*. One of the *expected results* of EU support to the governance sector is a *greater transparency, openness and accountability of the executive due to support given to the Parliament*. An essential role of the Parliament is the oversight of the executive. The European Union (EU) will help build the capacity of the Parliament. Complementary support was foreseen to help the *Independent Electoral Commission* in its responsibility of upholding the rights of the people of Lesotho in selecting its representatives in a free and fair way. Such support was originally foreseen for general elections which had been expected to take place in 2017. As snap elections were called two years earlier (February 2015), the EU did not have sufficient time to mobilise the foreseen envelope, and it was decided to instead use this provision for a nationwide *civic education programme*.

Strengthening governance in Lesotho is of utmost importance to mitigate and possibly avoid repetitive crisis situations that obstruct the development of the nation. This situation is essentially due to the weakness of the political system including, for citizens, the lack of exercising their democratic rights by duly taking part in public life. Both state and non-state stakeholders and ordinary citizens require more knowledge and information and greater awareness of democracy and 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. After the snap elections of February 2015, the situation remains volatile and needs an effective response. Government has the responsibility to create an enabling environment for related dialogue and education measures. The specific objective of the proposed intervention is to contribute to increasing citizens' awareness of governance structures as well as the capacities of local and national structures to engage in democratic and developmental processes. The expected results of a Lesotho *national civic education initiative* are as follows:

1. Enhanced citizen's engagement in democratic matters in Lesotho;
2. Creation of dialogue platforms with effective engagement of local and national structures;
3. Enhanced community participation in public policy processes in Lesotho.

## **1 CONTEXT**

### **1.1 Sector/Country/Regional context/Thematic area**

Lesotho is a small, land-locked, mountainous kingdom ranked 158<sup>th</sup> out of 187 countries in the UN's Human Development Index. It faces many challenges. It is characterized by pervasive poverty, low life expectancy, weak economic growth and highly skewed wealth distribution. In 2010, an estimated 57% of households (representing over a million Basotho) lived below the basic needs poverty line of USD1.08 per day, and 34% (some 650 000) lived below the food poverty line of USD0.61 per day. The potential for agricultural production is threatened by farming practices that lead to severe soil degradation, contributing to the country's food insecurity.

Lesotho's ranking in the World Economic Forum's gender gap index (38<sup>th</sup>) has seen a significant drop in overall score and ranking compared to 2013 (16<sup>th</sup>) and 2010 (8<sup>th</sup>). Though the country has closed its educational attainment gap, it has reduced scores on the three other sub-indexes of economic opportunities for women, health and survival and political empowerment. Domestic gender based violence is a critical issue in Lesotho, as well as the issue of inheritance and access of women to chieftainship (Lesotho has expressed reservations on Article 4 of the Convention on Elimination of Discrimination Against Women related to inheritance rights). The structures for governance institutions, such as the Office of the Ombudsman, the Directorate on Corruption and Economic Offences, and the Auditor General exist; however, they do not have the capacity and environment to exercise their functions fully. The civil service is weak and extremely politicised, the management capacity is variable and corruption is common. The long overdue National Human Rights Commission has not been established yet. Citizens, especially from rural areas, find it difficult to know what their rights are and voice their needs.

The political situation in Lesotho has been unstable after a military intervention on 30 August 2014. International mediation by the Southern African Development Community (SADC) (viz. the Maseru Facilitation Declaration and other SADC brokered accords) led to an agreement between the major political parties for early elections on 28 February 2015. Despite the political disruption in 2014, the EU Delegation maintained open communication channels at administrative levels and was able to progress with working level exchanges in the water, energy and governance sectors, as well as in overarching areas such as Public Financial Management (PFM) reform. A major cause of the challenging political and social environment lies in the regular inability of the political class to reach a consensual policy orientation. In addition, the public is neither sufficiently informed nor strategically organised to exercise its civic rights. Hence the need for a substantial civic education initiative, developing mechanisms to enable people's participation in decision making processes. The African Peer Review Mechanism report of 2011 suggested that in order for citizens to exercise their civil and political rights, continuing public awareness campaigns and civic education programmes could assist in strengthening the country's human rights culture. It further recommended developing comprehensive training of elected representatives and public servants on human rights concepts and practices at the national and local levels.

The Constitution foresees the right of citizens to participate in public affairs but it is basically only applied at times of elections. The Lesotho Chapter of the Media Institute of Southern Africa (MISA) based in Maseru launched an information campaign some years ago to advocate for an "Access to Information Act" but it never materialised. Access to Parliament is open for any individual; however, policies and access to international conventions are usually

not debated in Parliament but adopted by the executive. Transcripts of parliamentary debates are in principle accessible from Parliament, but the capacity of the information office is very limited. The Civil Society Organisations (CSOs) play an important part in addressing governance issues in Lesotho, but due to insufficient resources and a lack of an enabling infrastructure, their individual geographical outreach is limited and their penetration into the citizenry at large is not strong enough. The formal umbrella organisation, the Lesotho Council of NGOs (LCN) provides a central platform for coordination, advocacy and representation. Under the EDF 10 Deepening Decentralisation Programme, LCN is building the capacity of local Community Based Organisations (CBOs) to start constructive engagement in local government. Mapping of community needs through community dialogues has started in 38 community councils. However, CSOs lack the resources and capacities to establish an effective permanent presence in the districts, which hampers the efforts to work together on advocacy and service delivery issues. National policies and the legislative framework in Lesotho recognise the role of CSOs in contributing to the formulation and implementation of development policies. Lesotho's 'Vision 2020' explicitly mentions the key role of civil society in national development and in the elaboration of the national poverty reduction strategies. However, the actual influence of civil society on national policy and development is still limited. An apparent lack of political will and institutional deficiencies within the Government continue to hold back a more inclusive and transparent development process in which CSOs can play a formally recognised role in shaping and monitoring national development processes. The April 2015 Coalition Agreement acknowledges (point C13) the role that CSOs could play to "strengthen and deepen democracy, grow the economy and ensure peace and stability through strategic engagement, sharing of expertise and other activities". Together with the National Authorising Officer (NAO), CSOs have been closely involved in the preparation phases of this programme, both through regular meetings and as participants to a study tour to Malawi in January 2015 to learn lessons from the National Initiative for Civic Education (NICE) in Malawi, financed by the EU.

### ***1.1.1 Public Policy Assessment and EU Policy Framework***

There is no policy or structure in place for civic education in Lesotho. 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*". This is not a civic education policy as such, but a valid policy document. Furthermore, the National Strategic Development Plan (NSDP) clearly plans, under Section 5.6.1 on Stability and Democracy, to "develop and implement a robust civic education programme". The Independent Electoral Commission (IEC) has permanent staff distributed across all ten districts of Lesotho and is responsible for voter education. The European Union finances civic education activities with some CSOs, including voter education. However, these activities are neither standardised nor geographically covering the whole country. In addition, there is no harmonisation on the priority sectors covered. The absence of a formalised and structured way of engagement constrains the role of CSOs in national development and the political reform process.

### ***1.1.2 Stakeholder Analysis***

This initiative is foreseen to be inclusive and of dialogue oriented nature, providing a platform for government, civil society organisations and CBOs to get a wider outreach for their information and education activities. It can contribute to enhancing outreach capacity and targets more specifically vulnerable groups such as women, children, people with disabilities and people living in hard to reach areas of Lesotho.

The action aims at targeting local CBOs, national and local authorities and the general public. Limited public participation in local governance is one of the most important constraints of

development and of the decentralisation process in Lesotho. The communities' failure to participate in development agenda-setting platforms and failure to hold the authorities accountable has led to poor service delivery. 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 closer to the communities socio-economic services. Having analysed the problems 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 have a crucial role in addressing the constraints above. However, the CBOs themselves have their own constraints which have impeded them from making meaningful contribution in the development agenda.

The pre-project situation underlines the following capacity constraints: first, there is limited awareness and knowledge on the local government legal framework defining entry points for public participation, role and responsibilities of different role players etc. It is this limited awareness that is believed to have impeded communities, CBOs and CSOs from demanding accountability and improved service delivery. Secondly, the contribution of CBOs and CSOs has been hampered by very unsustainable resources, including finance, material and expertise. CBOs also 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.

It is on this basis that the action proposes to: i) Enhance citizens' engagement in democratic matters in Lesotho (such as human rights, women rights, elections, anti-trafficking, general rights and duties, etc.); ii) Create dialogue platforms with effective engagement of local and national structures; iii) Enhance community participation in public policy processes in Lesotho (such as local authorities development plans, preparation of community needs in view of national budget, etc.).

The key institutions in the sector in Lesotho are:

- Ministry of Finance (MoF), including the National Authorising Officer (NAO)
- Ministry of Development Planning (MoDP)
- Ministry of Local Government and Chieftainship (MoLGC), local governments, chiefs and the local authorities
- Ministry of Justice
- Independent Electoral Commission (IEC)
- Parliament
- CSOs, CBOs and Faith Based Organisations, including those active in governance
- Other development partners active in civic education or other relevant sectors

**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, conflict management and gender mainstreaming.

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

A SWOT analysis of the CSO/CBO sector is provided below:

	<b>STRENGTHS</b>	<b>WEAKNESSES</b>
<b>INTERNAL FACTORS</b>	<ul style="list-style-type: none"> <li>• Committed staff (all).</li> <li>• Strong in participatory approaches and engaging in community dialogues (CSOs).</li> <li>• Good informal relations with high level government officials (all national CSOs).</li> <li>• Strong expertise in HIV/AIDS mainstreaming (all CSOs).</li> <li>• Strong solidarity (local CSOs).</li> <li>• Experience in and commitment to conflict management and mediation (national CSOs)</li> <li>• Good gender balance and knowledge of gender mainstreaming (national CSOs).</li> </ul>	<ul style="list-style-type: none"> <li>• Uncoordinated activities of CSOs at district and local levels and between CSOs and CBOs</li> <li>• Weak understanding of governance processes (CBO).</li> <li>• Capacity limits of umbrella organisations (LCN), limiting effectiveness for CSOs to speak with one voice vis-à-vis government / private sector.</li> <li>• Overall weak financial capacity (all).</li> <li>• High levels of staff turnover (national CSOs)</li> </ul>
	<b>OPPORTUNITIES</b>	<b>THREATS</b>
<b>EXTERNAL FACTORS</b>	<ul style="list-style-type: none"> <li>• Synergies with Deepening Decentralisation and Non State Actors to strengthen the capacity of local governments</li> <li>• Synergies with the upcoming EDF 11 governance programme</li> <li>• Buy-in of the new Coalition Government, who could see it as an opportunity to work together with communities and in parallel with a national dialogue on reforms</li> </ul>	<ul style="list-style-type: none"> <li>• Government's lack of commitment to formally engage with CSOs and to provide information, e.g. for budget tracking.</li> <li>• Dependency on short term donor funding.</li> <li>• Competition for funds.</li> <li>• Complicated accountability procedures of donors.</li> <li>• Government political pressure for influence.</li> </ul>

### **1.1.3 Priority areas for support / problem analysis**

The 11<sup>th</sup> European Development Fund support is proposed to enable the creation of a nationwide civic education programme contributing to increase the citizens' awareness of governance structures and their capacity to engage in democratic and developmental processes. Civic education is important in Lesotho to raise awareness on the problems the country is facing. A better informed population, notably in rural areas where there is limited access to information and limited awareness on rights and duties as participating citizens, will have the strength to hold local politicians accountable and to request the services they have the right to (e.g. in the field of agricultural support services, social protection, health, education, or national identity documents, etc.).

The following are the expected results:

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

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.

To yield results, civic education support must have a long-term perspective in order to be profound. It must respect government's policies, complement and make good use of existing civil society initiatives; enjoy the support of government institutions and that of civil society organisations. The programme will provide CSOs and government institutions with opportunities to inform citizens about the Constitution, national policies and programmes, and, in addition, take into account the specific challenges found in the individual outreach areas. It will further encourage them to increase their participation in public life.

**A robust nationwide civic education initiative will assist in complementing and strengthening the work already done by CSOs and in supporting stability**, in line with the NSDP and will provide for the shortfall of the decentralisation process in forging more robust development partnerships between government and local CSOs, while promoting dialogue for improved local governance. Representatives of the now concluded SADC Observer Mission also emphasised the need for a broad based civic education initiative to contribute to addressing the recurring threats to Lesotho's stability. The approach of emulating a successful EU supported initiative for civic education in Malawi also offers elements of regional peer learning towards the creation of stability based on governance.

### **Complementary support**

The EU and the German Development Cooperation jointly support decentralisation and strengthening of Local Government, partly through the United Nations Development Programme (UNDP)/ United Nations Capital Development Fund (UNCDF), implementing the 10<sup>th</sup> EDF Deepening Decentralisation and Non State Actors Programme (DDNSA). Through a Transfer Agreement with the EU, German Development Cooperation contributes to the civil society component of the DDNSA. Under DDNSA, one of the main aims of the civil society component is to enhance the organisational and institutional capacity of local CSOs in shaping the local development agenda and making community and district councils more accountable. This relates directly to strengthening the demand side in the decentralisation process. Institutional development focuses on developing transparent and effective dialogue mechanisms between the CSOs and the community and district councils. Capacity building has initially worked on awareness raising activities, recognising the current reality that local organisations are not aware of their rights and responsibilities in local governance. The upcoming civic education programme will build on the lessons learnt from the ongoing DDNSA activities, which have a strong component of community dialogue.

11th EDF water, energy and governance programmes will benefit from enhanced citizens' participation in public life and in holding their local governments accountable.

The Independent Electoral Commission (IEC), United States Agency for International Development (USAID) and UNDP were active in supporting voter education through a number of local CSOs.

Before the start of this programme, GIZ is envisaging to finance a baseline study that will complement the mapping of community needs already undertaken in 43 community councils by the Lesotho Council of NGOs under DDNSA.

Once the programme is established, other EU or development partners' programmes can use the structures of the programme for complementary civic education initiatives.

## 2 RISKS AND ASSUMPTIONS

The following risks can be identified:

<b>Main risks as identified in RMF</b>	<b>Risk Level (H/M/L)</b>	<b>Mitigation Measures</b>
Political instability can lead to negative impact on the action's environment.	<b>Medium to High</b> Instability can lead to a breakdown of dialogue opportunities	<ul style="list-style-type: none"> <li>- Political dialogue and diplomacy underlining the potential negative repercussions of instability on development cooperation.</li> <li>- Supporting civil society and church leaders engaging with the political leadership.</li> <li>- Grass root work of "community parliaments" being implemented through 10<sup>th</sup> EDF LCN project (2013/329-178).</li> </ul>
CSO activities being restricted	<b>Low to Medium</b> Restrictions could delay dialogue and create antagonistic Government-CSO relations.	<ul style="list-style-type: none"> <li>- Political intervention by development partners ensuring that restrictions against CSOs are not enforced.</li> </ul>
<b>Sectorial Risks</b>	<b>Risk Level (H/M/L)</b>	<b>Mitigation Measures</b>
No long term commitment of all stakeholders	<b>Medium</b>	<ul style="list-style-type: none"> <li>- The need for a long term commitment by the Government, the EU and its member states is continuously emphasised in the political dialogue.</li> <li>- Indicators in water budget support help maintain pressure on Government.</li> </ul>
Existing CSOs consider the programme as a threat and as a competitor	<b>Low to Medium</b>	<ul style="list-style-type: none"> <li>- Dialogue has been intensified with CSOs who are now reassured and in line with the initiative. A Memorandum of Understanding (MoU) will be drafted to define the structures and the implementing approaches.</li> <li>- Core CSOs will be part of the steering committee at national and district level.</li> <li>- Support of local CSOs by the district civic education officers</li> <li>- Close coordination and involvement of CSO activities and programmes on local level.</li> <li>- Showing the value added of joint initiatives between local communities, local and national structures.</li> <li>- Coordination with other funding mechanisms for CSOs (EUR 1 000 000 under the European Instrument for Democracy and Human Rights EIDHR 2015 and EUR 7 000 000 under NIP).</li> </ul>

### Assumptions for Sector

- The need for informed citizens' participation is recognised by all stakeholders.
- The Government does not impede the establishment of consultative structures at local level
- A long term perspective and commitment of all stakeholders is guaranteed.
- The crisis in Lesotho leads to a willing and constructive dialogue around civic education.
- SADC further pursues its supportive role in Lesotho.
- CSOs' commitment to cooperate.
- The programme can attract 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.

Lessons learned from the EU supported National Initiative for Civic Education in Malawi (NICE) developed in 1998 and initially implemented by GIZ up until 2005 when it became a foundation view the programme as having made a crucial contribution to the stabilisation of Malawi's young democracy, as it took into account the challenges faced by citizens in their daily lives. Due to its decentralised character it was able to cover even the most remote areas, reaching out to the entire citizenry of Malawi. NICE Malawi has however over the past years shadowed other existing civil society initiatives and become the single provider of civic education in Malawi. In addition, its focus has evolved from a project improving the overall livelihoods of the citizens, including their participation in democratic processes to an initiative looking uniquely at democracy matters, which was not the original objective of the civic education initiative. This project has been prepared in close and extensive consultation with all stakeholders in Lesotho. Thus, while the NICE programme has been the basis of inspiration and lessons learned, a through account of and adaptation to the local specificities has been made.

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

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. A strong coordination mechanism will be put in place, both at national and at district level.

### **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.**

German Development Cooperation through GIZ is, in close cooperation with the EU, actively involved in supporting Lesotho's governance sector. It has acquired considerable experience in the sector and established good working relations with the relevant actors both in Government as well as with CSOs and communities. In its support to the SADC Secretariat, it also supports enhanced governance in SADC's member states. German Technical Cooperation is therefore seen as an appropriate partner to contribute to the success of the action. At a national level, there is a number of established CSOs and networks whose participation in the action is crucial, e.g. in voter education but also in linking civic education to people's real needs. The nature of the action encourages the contribution of any like-minded institution.

### **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, such as:

**HIV/AIDS:** the prevalence of the disease remains a major challenge in Lesotho. The programme will constantly embed HIV/AIDS awareness campaigns and social counselling efforts in its measures on the ground.

**Environmental awareness, food security and climate change:** The programme will raise awareness of the citizens, and at the same time promote local environmentally friendly practices to mitigate the effects of climate change.

**Gender,** in particular women's political participation and representation and gender based violence: A majority of capital crimes are related to domestic violence, with women being the most affected group. This indicates the need for a profound approach to support gender equality.

Locally based CSOs and CBOs will find an adequate platform in the district civic education offices to render their own contributions to the above mentioned issues more effectively.

## **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** to contribute to increase citizens' awareness of governance matters and their capacity to engage in democratic and developmental processes.

The following are the **expected results**:

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

All three expected results will be achieved through one action.

## **4.2 Main activities**

Activities will include the setting up of a network of offices, the design and carrying out of training and other capacity building support activities in close consultation with communities, the conduct of community-level civic and voter education programmes in urban and rural areas in association with local CSOs, the production and circulation of civic and voter education materials in association with local CSOs, the establishment of community radio in selected pilot areas, the organisation of conferences for traditional leaders, the production and circulation of reports and publications to national and international partners, as well as the setting up and organisation of regular national and district level project steering committees. All the flexibility will be given to respond to the particular needs of the local communities.

There will be extensive and continuous Monitoring & Evaluation throughout the programme, and reporting system flexible enough to capture the changing context in the various districts. The M&E system should include a sound knowledge management component for future learning and innovation. Gender disaggregated data will be compiled by the baseline study and will form a basis for future policy dialogue. The learning experience generated by the M&E shall be shared with SADC to enhance the regional body's support for good governance in the region beyond elections.

A public relations approach shall be developed that holds the programme accountable and transparent to the public, the government, and other relevant stakeholders. In order to implement the rather complex action accurately and efficiently and in compliance with the development partners' needs and requirements, a strong Programme Management Unit needs to be established. Capacities of both Government as well as non-governmental structures in Lesotho in the field of civic education are not adequately developed for a national coverage. However, their presence has been reinforced through the Deepening Decentralisation and Non State Actor programme and should be built upon. Civil society will have an important role to signal concerns as they arise during the course of the implementation of the programme.

These offices will be equipped with the necessary facilities, transport, well trained and competent human resources, educational and communication materials; they will provide a platform for institutions in Lesotho to reach out to the population in the most efficient manner. The offices will be put in place by the project implementation unit under the responsibility of GIZ. This has been the model of implementation carried out in Malawi; the project was financed by the EU and then after some years transformed into a national programme under a local legal entity (a foundation). Relevant stakeholders shall be represented in the steering, advisory and implementation structure at national and district level. The training of staff should be continuous and adapted to the changing environment, and in particular to the identified needs of the population. The infrastructure should, whenever possible, be based on available resources and be procured locally.

## **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

## **5 IMPLEMENTATION**

### **5.1 Financing agreement**

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

### **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 36 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 modalities**

#### **Grant: direct award (direct management)**

(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.

**Expected results** will be: 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 utilized 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.

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

(f) Indicative trimester to conclude the grant agreement

Trimester 4 of 2015

#### 5.4 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.

#### 5.5 Indicative budget

Description of Activity	EU contribution (EUR)	Indicative third party contribution (EUR)
1. Grant to GIZ	2 950 000	465 000
2. Audit, evaluations	50 000	
<b>TOTAL</b>	<b>3 000 000</b>	<b>465 000</b>

#### 5.6 Organisational set-up and responsibilities

A support structure will be established including a national office in Maseru, and district offices in all districts of Lesotho. The possibility of adding offices in the bigger districts will be assessed during the first year of the implementation. These offices will provide a platform to institutions in Lesotho to reach out to the population in the most efficient manner.

Relevant stakeholders shall be represented in the steering, advisory and implementation structure at national and district level.

A national Project Steering Committee (PSC), formed by key stakeholders, will be steering the programme at policy level and district steering committees will be steering the activities at district levels. The national PSC will be composed of five representatives from the

Government, such as the Independent Electoral Commission, the National Authorising Officer and the Parliament and 4 civil society representatives, with a rotating chair, alternating the chair between government representatives and civil society. The composition might be adjusted depending on the experience during the life of the pilot project. The EU Delegation and the SADC Secretariat will have an observer status. GIZ will ensure the secretariat. Work plans and annual budgets will be approved annually by the Project Steering Committee.

The national steering committee will identify topics of national concern, whereas the district steering committees will identify issues of local importance. At least 40% of the available annual budget for activities will be allocated to districts and managed by the district office. District offices will have a similar steering structure to help and guide the district officers. District officers will extensively be trained at the start of the programme and at least on annual basis re-training will take place not only to ensure that the national guidance of the PSC is being followed but also to allow for peer to peer learning by the officers.

A Memorandum of Understanding will define the structures and the mechanisms of selection of activities and implementation arrangements.

A National Conference including traditional Chiefs, the chairs and co-chairs of the District Steering Committees, the National Steering Committee, the national and district facilitators and the project staff, as well as the EU and the GIZ, will meet annually to reflect on lessons learned and learn from each other.

## **5.7 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 to be carried out by GIZ before the start of the project will feed the logframe baseline indicators and targets, where possible disaggregated by gender. The logframe will be revised during the inception phase using the results of the baseline study.

## **5.8 Evaluation**

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

This mid-term evaluation will be carried out for learning purposes, in particular with respect to confirming if the civic education programme is considered an added value in Lesotho's environment or if it should be stopped. It will also assess sustainability of the intervention, including if a second phase project would be recommended with the same implementing partner or with another implementing entity; or if the civic education intervention could be set up as either a foundation or a national parastatal body.

If considered necessary, a final evaluation will be carried out for accountability and learning purposes at various levels (including for policy revision), taking into account in particular the fact that this pilot initiative was being tested, etc.

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, 1 contract for mid-term evaluation services shall be concluded under a framework contract at the latest in the first quarter of 2018. In case a final evaluation is carried out, 1 contract for final evaluation services shall be concluded under a framework contract at the end of the project.

## **5.9 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, 1 contract for audit services shall be concluded under a framework contract in first quarter of 2019.

## **5.10 Communication and visibility**

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

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget indicated in section 5.5 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 <sup>1</sup>

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 without an amendment to the financing decision. The indicative logframe matrix will evolve during the lifetime of the action: new lines will be added for listing the activities as well as new columns for intermediary targets (milestones) when it is relevant and for reporting purpose on the achievement of results as measured by indicators.

	<b>Intervention logic</b>	<b>Indicators</b>	<b>Baselines (reference year 2015)</b>	<b>Targets (reference year 2018)</b>	<b>Sources and means of verification</b>	<b>Assumptions</b>
<b>Overall objective: Impact</b>	To contribute to a more efficient and cost effective provision of public goods and services.	OO I1 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)	OO-I1B No devolved services	OO I1T 20 services devolved	Official Gazette devolving functions under the 5 Ministries  Internal monitoring system	The Government shows its willingness for change  The Government maintains its commitment towards devolution of functions for the pilot Ministries  'The Government does not impede the establishment of consultative structures at local level

<sup>1</sup> The indicators will be contributing to specific objectives 2 and 4 for the Governance Sector, as specified in attachment 3, Sector intervention Framework, of the 11<sup>th</sup> EDF NIP..

	<b>Intervention logic</b>	<b>Indicators</b>	<b>Baselines (reference year 2015)</b>	<b>Targets (reference year 2018)</b>	<b>Sources and means of verification</b>	<b>Assumptions</b>
<b>Specific objective</b>	To contribute to increase citizens' awareness of governance matters and their capacity in engaging in democratic and developmental processes.	SO I1 Number of men and women from CBO actively participating in meetings with local authorities	SO I1B Baseline will be provided by the baseline study that will be carried out by GIZ	SO I1T 20% increase of women active in participatory processes at the council level.	Internal monitoring systems set up by the implementing partner	<p>Political willingness demonstrated by Government</p> <p>Lesotho continues to maintain the democratic process enshrined in the constitution</p> <p>Commitment of Government towards an open and democratic society is maintained</p> <p>Pluralistic press and broadcasting system is maintained</p>
		SO I2 Number of functional grievance mechanisms established by Local governments with the aim of improving service delivery	SO I2 B: zero	SO I2T one functional grievance mechanism per district is established	Internal monitoring systems set up by the implementing partner  (Minutes of meetings of district steering committees)	Local government structures are maintained and strengthened

	<b>Intervention logic</b>	<b>Indicators</b>	<b>Baselines</b> (reference year 2015)	<b>Targets</b> (reference year 2018)	<b>Sources and means of verification</b>	<b>Assumptions</b>
<b>Results</b>	R1. Enhanced citizen's engagement in democratic matters in Lesotho ;	R1I1 Number of men and women actively participating in community meetings for local and national issues	R1.1 Baseline: This will be informed by the baseline study to be launched by GIZ	R1T A minimum of 1,000 representatives, of whom at least 50% women, from national and local authorities as well as communities have actively participated at workshops and have judged them as useful.	Internal monitoring systems set up by the implementing partner (Feedback questionnaires)	Government receptive toward civic education
		R1I2 Number of people actively participating in civic education campaigns organised by the Action (sex disaggregated)	R1.2 Baseline: no harmonised national civic education initiative; sporadic civic education initiatives undertaken by CSOs in some community councils  This will be informed by the Baseline study	A minimum of 50 000 people, of whom at least 50% women, have actively participated in civic education campaigns	Internal monitoring systems set up by the implementing partner	
		R1I3 Number of Community Councils (a) adopting and (b) budgeting innovative communication strategies to inform citizens about policies, programs, services, and initiatives of the local government;	R1.3 Baseline: zero	At least 10 Community Councils adopt and budget innovative communication strategies	Internal monitoring systems set up by the implementing partner	
	2. Creation of dialogue platforms with effective engagement for local and national structures	R2I1 National policy on Civic education drafted in consultation with CSOs incorporating gender specific issues and are discussed	R2I Baseline: No existing policy	At least 10 consultations on the draft policy have been organised, attended adequately	Internal monitoring systems set up by the implementing partner	Local CSOs cooperate with programme

	<b>Intervention logic</b>	<b>Indicators</b>	<b>Baselines (reference year 2015)</b>	<b>Targets (reference year 2018)</b>	<b>Sources and means of verification</b>	<b>Assumptions</b>
				by both men and women		
		R2I2 Number of decentralised network centres for State and non-State institutions are established by the Action	R2.2 Baseline: zero	R2.2 T: 10 Centres have been established, having organised a minimum of 300 events, attended adequately by both men and women and are deemed beneficial by both State and Non State institutions	Internal monitoring systems set up by the implementing partner	
	3. Enhanced community participation in public policy processes in Lesotho.	R3I1 Number of policy issues expressed at community level that are discussed by relevant stakeholders including Ministries at national level	R.3.1 Baseline: Participation of local councils in the planning, management and supervision is very limited	R3.1 Target: one policy issue per district is discussed at national level	Internal monitoring systems set up by the implementing partner	