

Project Document

**United Nations Development Programme
Country: Kingdom of Lesotho Project Document**

Project Title **Capacity Building For Public Sector Reform**

UNDAF Outcome(s) UNDAF/CPD 2013-17 OUTCOME # 3: By 2017, National and local governance structures deliver quality and accessible services to all citizens respecting the protection of human rights and access to justice and peaceful resolution of conflict.

Expected CP Outcome(s):
(Those linked to the project and extracted from the CP)

Expected Output(s):

- Output 1: Performance Management Infrastructure implemented
- Output 2: Long-term capacity to maintain a professional civil service through key support institutions (LIPAM, PSC)
- Output 3: Strengthened capacities of public service to be able to implement public service reform

Executing Entity: Ministry of Public Service, UNDP


Implementing Partner: Ministry of the Public Service


Brief Description

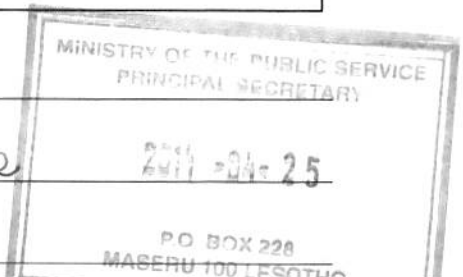
Building on previous collaborative work of the Government of Lesotho and UNDP in the area of capacity development for enhanced service delivery, this project is designed to support the Government of Lesotho to devise and implement Performance Management Infrastructure and strengthen capacities of public servants in order to implement public service reform in selected government institutions to maintain a professional civil service informed by values of Professionalism, Integrity and Impartiality through partnerships with institutions such as LIPAM and other public service providers to support delivery of public services.

Programme Period:	2014-2017__	Total resources required	\$880, 000
Key Result Area (Strategic Plan)	Countries have strengthened institutions to progressively deliver universal access to basic services	Total allocated resources:	_____
Atlas Award ID:	_TBD_____	• Regular	_400,000__
Start date:	1 March 2014_	• Other:	_____
End Date	31 December 2016	○ Donor	_____
PAC Meeting Date	30-01-2014	○ Donor	_____
		○ Donor	_____
		○ Government	\$100,000 (TBC)
		Unfunded budget:	_600,000__
		In-kind Contributions	_____

Agreed by (Government) _____

Agreed by (Executing Entity): Ministry of the Public Service 

Agreed by (UNDP): 



I. SITUATION ANALYSIS

The Government of Lesotho aspires to strengthen the capacities of the public service to fulfil its service delivery mandate with transparency, accountability and efficiency. In this regard, the government decided to institute a performance management, measurement plus monitoring and evaluation system which will help promote accountability and facilitate the effective development and delivery of services which are reflective of and respond to the needs of citizens. These efforts are envisioned within the wider context of public service reform and with special focus on related capacity development for the civil service at individual, institutional and enabling environment levels.

One of the underlying attributes of a successful public service reform is the actual de-politicization of the public service. The key element to this is a performance-based system applied across individual and organizational levels. There have been several attempts over the years to introduce performance management in the public service in Lesotho, which have not taken full root for various reasons. Since the mid-1970s Lesotho tried various initiatives to implement PMS. Unfortunately, nothing much has come out of these initiatives. . This is mainly because the initiatives have been implemented in piecemeal. There was generally no political will to drive the implementation process. There was no buy-in from the Principal Secretaries who viewed PMS as an issue of the Ministry of Public Service, the very people who were supposed to monitor the implementation of the PMS. The other problem was that the legal framework was not adequately developed to support the PMS. The Public Service Act refers to PM yet there is every little of the implementation. In a sensitization workshop for Principal Secretaries and Directors, the incumbent Minister of Public service, Dr Motloheoa Phooko, addressing why the PMS has not taken root thus far, opined that "Lesotho was famous for developing policies but also notorious for failing to implement the same policies".

Contemporary challenges in trying to resuscitate or reintroduce the PMS vary from Little understanding of the system due to lack of training; lack of a monitoring and evaluation system; lack of rewards and sanctions for performance while the focus of PMS is limited to individual appraisal and appraisal forms. The legal framework not fully operational, it also needs further development to suit the integrated approach. In general Lesotho has not implemented PMS, what has been done are only piecemeal initiatives.

The current project will build on the lessons learnt from these processes and also build on the previous UNDP programme, which strengthened the internal capacities of the Ministry of Public Service to lead change management processes across government. |Some of the lessons learnt from this initiative include: (I) Deeper understanding of the civil service needs, expectations and business culture. (ii) Availability of adequate resources to support all the interventions in the value chain (iii) Ownership, commitment by top management and political leadership, readiness for change and openness to new ideas are essential if the PMS should take root. (iv) Ministry of Public Service should be given the lead role in this exercise because of its comparative advantage. (V) The PMS should be an institutionalized intervention and not be at the mercy of political variables who by their transient nature of political leadership are a risk. Development projects cannot rely on political structures for successful implementation but must be able to provide the same high standard of policy advice, implementation and receive the required professional support, irrespective of which political party is in power.

The Ministry of Public Service is the ministry overseeing public service issues, and has been mandated by Cabinet to lead the implementation of the performance management system, while working closely with other parts of government in its implementation. During the past year, the

government has taken several actions to lay the ground for the introduction of a performance management system, including:

- A sensitization workshop was held for Principal Secretaries, senior planning directors and other key stakeholders in February 2013. This workshop produced four templates of potential management and institutional frameworks and a roadmap for the implementation of a performance management system for Lesotho.
- A high level Ministerial and Planning workshop for Ministers, Deputies and Principal Secretaries was held in June 2013 which presented the opportunity to sensitize Ministers to the benefits of an effective performance management system and its potential to contributing to effective service delivery and accountability in governance. This also provided the opportunity to inform them of the best in class approaches and architecture for an effective system able to deliver results and enhance improvements throughout the public service.

As a direct result of the two workshops and other related interventions, the Ministry of Public Service is embarking on the following:

- Lead an effort aimed at enabling Ministries' departments and agencies to iterate strategic plans, which form the basis for performance management and link ministry work to national strategic goals.
- Going forward, the legal framework for performance management in Lesotho and other issues of the enabling environment will need to be also reviewed.
- The Ministry is also keen to institute modalities for a framework that will help monitor and assess performance set out in the performance management architecture.
- Review and revamp the Lesotho Institute for Public Administration and Management (LIPAM), the Public Service Commission (PSC), the Assessment Centre and equip them to support the Governments efforts at professionalizing the civil service, embedding an effective performance management system and ensuring civil servants are equipped with the skills, competencies and capabilities to deliver to these emerging imperatives.

II. STRATEGY

The main goal of the project is ***to achieve strengthened capacity of government ministries, institutions, and other public service providers to support in the institutionalization of a Performance Management System across government that will ultimately provide an environment conducive to the delivery of public services.*** The strategy to achieve that goal is to focus on:

- (1). Devise and implement Performance Management Infrastructure
- (2) Build long-term capacity to maintain a professional civil service (e.g. develop approach, tools and resources) informed by values of Professionalism, Integrity and Impartiality through key institutions, such as the Lesotho Institute for Public Administration and Management or the Public Service Commission;
- (3) Strengthen capacities of civil servants to be able to implement the public service reform
- (4) Devise and implement a monitoring and evaluation framework for service delivery tied to performance management.

Following a sensitisation and planning workshop for Principal Secretaries, senior Directors responsible for planning as well as other senior stakeholders held in February 2013 four templates of potential management and institutional frameworks and a roadmap for the implementation of a performance management system for Lesotho were produced. These documents form the basis for a development of Lesotho's performance management system.

To ensure success of the implementation, high level engagement will be needed. The office of the Government Secretary will be capacitated to coordinate the implementation phase of this process. This will see the recommendations and roadmap of the principal secretaries' workshop and the high level dialogue and cabinet retreat actioned. The Commonwealth Secretariat offered to

meeting. It is hoped that this visit will produce a focus group of public service professionals (including members of the technical inter-ministerial Performance Management Team).

The project will deliver on its output through the following main activities:

- Design a Performance Management System for the Lesotho Public Service: Implement the Roadmap drawn from the Principal secretaries' workshop
- Review the current legislative framework for performance management in Lesotho
- Review lessons learnt from previous efforts and in the region and globally.
- Pilot and implement the Performance Management System.
- Build capacity and capability within the ministries for strategic planning, budgeting, monitoring, assessment and reporting of performance at the individual and institutional level
- Position and capacitate the Public Service Commission (PSC), The Assessment Centre, and the Lesotho Institute for Public Administration and Management (LIPAM) to provide learning and development support to Government departments and agencies and support the development of skills and competencies that meet the strategic objectives of Government. This in turn will facilitate and support efforts aimed at professionalizing the civil service.
- Build capacities of civil servants through review and revision of public service procedures, training and change management and strengthened ethics.
- Design and implement an M&E system for service delivery tied to performance management system.

I. RESULTS AND RESOURCES FRAMEWORK

Intended Outcome as stated in the Country Programme Results and Resource Framework:

Outcome 3: By 2017, National and local governance structures deliver quality and accessible services to all citizens respecting the protection of human rights and access to justice and peaceful resolution of conflict

Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:

Indicators/Baselines/Targets:
6 of targeted governmental entities (national and local) that meet revised standards of public service; Baseline: TBD; Target: 45-50% of national institutions; and 25-30% of local governments
increase in no. and quality of inquiries to democratic institutions(e.g. public spending); Baseline: TBD; Target: 25-30% increase *Evidence of non-state actors active in public oversight*
Baseline: limited & varies Target: In two critical areas CSO meet int. benchmarks
In operational national peace architecture; Baseline: some elements exist; Target: In place and meeting phased rollout targets

Applicable Key Result Area (from 2013-17 Strategic Plan): Countries have strengthened institutions to progressively deliver universal access to basic services

Partnership Strategy: TBD, Building on post-election support partnerships and engaging government entities with parallel funding.

Project title and ID (ATLAS Award ID): Capacity Building For Public Sector Reform

INTENDED OUTPUTS	OUTPUT TARGETS FOR (YEARS)	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
<p>Output 1 Performance Management Infrastructure implemented Baseline: No Architecture or infrastructure for performance management system. Indicators: Performance Management System approved for Public Service. Extent of Performance management implemented by ministries.</p>	<p>Targets (year 1) - Performance Management System Designed Targets (year 2) Performance management implemented to a medium extent: -Departments producing appropriate strategic plans and medium term expenditure frameworks - Performance management applied for individual, department and ministry level assessment piloted at least in 3 ministries.</p>	<p>Activity 1.1:</p> <ul style="list-style-type: none"> ▪ Review the current legislative framework for performance management ▪ Review lessons learnt from previous efforts and in the region and globally. ▪ Design the Performance Management system and a new policy ▪ Pilot the Performance Management in three main ministries (Ministry of Home Affairs Ministry of Public Works and Social Development Ministry). <p>Activity 1.2:</p> <ul style="list-style-type: none"> ▪ Build capacity and capability within the ministries and manage change. 	Ministry of Public Service /UNDP	\$200,000

<p>Output 2 Long-term capacity to maintain a professional civil service through key support institutions (LIPAM and the Public Service Commission) ; informed by values of Professionalism, Integrity</p> <p>Baseline: Politicised civil service, absence of core shared values. Weak institutional capacities of to provide direction, training and support through LIPAM or the Public Service Commission.</p> <p>Indicators: Existence of core values for the civil service. Level of capacity of the Public Service Commission. Level of capacity of the Lesotho Institute for Public Administration & Management (LIPAM)</p>	<p>Targets (year 3) Performance management implemented to a large extent: -Lessons learnt from pilots analysed and fed back to the system. - Performance management system adopted by all ministries.</p> <p>Targets (year 1) - Core values for the civil service in place. -PSC capacity low to medium: Capacity Assessment of Public Service Commission (PSC) and Assessment Centre carried out and its recommendations implemented; revamp and reposition the PSC, clear mandate, capacity. -LIPAM capacity level medium: Reposition, restructure & reorganise LIPAM-clarity of mission, vision and values.</p> <p>Targets (year 2) - Core values accepted. - PSC capacity high: PSC responding to new imperatives, providing guidance and direction as well as value in appointments, promotions et al.</p>	<p>Activity 2.1:</p> <ul style="list-style-type: none"> ▪ Capacity assessment and capacity development plan for LIPAM ▪ Capacity assessment of the PSC and capacity development plan <p>Activity 2.2:</p> <ul style="list-style-type: none"> ▪ Change management within civil service, core values development ▪ Reorganise CAD as the institution in line with the mandate 	<p>Ministry of the Public service / UNDP</p>	<p>\$ 230,000</p>
---	--	---	--	-------------------

<p>Output 3</p> <p>Strengthened capacities of public service to be able to implement public service reform</p> <p>Baseline:</p> <ul style="list-style-type: none"> - Current public service procedures not fully supporting effective performance management system - No. of procedures reviewed and revised. - Level of professionalism on delivery of services - Level of enabling government structures and organizational arrangements 	<ul style="list-style-type: none"> - LIPAM capacity level high: LIPAM delivering learning, training, consultancy and research to support governments objectives <p>Targets (year 3)</p> <ul style="list-style-type: none"> - Core valued demonstrated through performance. 			
<p>Targets (year 1, 2, 3)</p> <p>Internal procedures and policies revised to support the new performance management system at least in 4 areas: recruitment, remuneration, service delivery and training:</p> <ul style="list-style-type: none"> - Public service procedures mapped and identified for revisions. - An incentivising remuneration policy and strategy developed. - Policies and guidelines for recruitment, placement and mentoring of government employees developed. - Service Delivery Standards reviewed - Organisational information systems developed - Develop human capital (Skills, Knowledge and Ability-SKA) within the Public Service 		<p>Activity 3.1:</p> <p>Review and revise public service procedures in support of the performance management system, including:</p> <ul style="list-style-type: none"> - Overall public service procedures mapped and identified for revisions. - Remuneration policy and strategy - Recruitment, placement and mentoring policy and guidelines - Service Delivery Standards - Organisational information systems - Human capital development strategy (Skills, Knowledge and Ability-SKA) within the Public Service <p>Activity 3.2</p> <ul style="list-style-type: none"> - Review of Public Service Training and Development Policy <p>Activity 3.3</p> <ul style="list-style-type: none"> - Develop the policy framework for the Independent Ethics Committee 	<p>Ministry of the Public Service</p>	<p>\$350,000</p>

<p>Output 4 A monitoring and evaluation framework for service delivery tied to performance management</p> <p>Baseline: There is no measurement, monitoring and evaluation framework for performance management</p> <p>Indicators:</p> <ul style="list-style-type: none"> • Existence of a measurement, monitoring and evaluation framework in place 	<p>- An Independent Ethics Committee established</p> <p>Targets (year 1)</p> <p>A monitoring and evaluation framework is designed</p> <p>Targets (year 1)</p> <p>A monitoring and evaluation framework is adopted.</p>	<p>Activity 3.3</p> <ul style="list-style-type: none"> - Develop policy framework for monitoring and evaluation - Design and implement the M & E structure and terms of reference thereof - Develop decentralisation strategy for M&E 	<p>\$ 100,000</p>
---	--	---	-------------------

Total \$880,000

7. **ANNUAL WORK PLAN**

see annexure: Consolidated Annual Operational Plan

V. MANAGEMENT ARRANGEMENTS

Article III of the Standard Basic Agreement between the Government of the Kingdom of Lesotho and UNDP of 31 December 1974 states that execution of UNDP-assisted projects shall remain the responsibility of the Government. This was also reaffirmed in United Nations General Assembly resolution 44/211, which categorically states that the recipient Governments have the sole responsibility for the co-ordination of external assistance and the principal responsibility for its design and management and that the exercise of those responsibilities is crucial to the optimal use of external assistance and to the strengthening and utilisation of national capacity. UNDP works to help develop and enhance the national capacities in the initiation, implementation and conclusion of the developmental undertakings in which it is involved as a partner. For this to work, it is essential that the Government assume the overall responsibility and direction for the execution of the UNDP-supported initiatives. To this end, the National Implementation (NIM) modality, with UNDP support to NIM, will be used for programme execution in accordance with the approved United Nations Development Assistance Framework (UNDAF) – Action Plan.

The Ministry of Public Service will be the main implementing partner for the project.

In line with the UNDP Harmonized Approach to Cash Transfers (HACT) approach to disbursements of project funds, the preferred modality is for the implementing partner to run the government processes for activities set out in an approved Annual Work Plan, based on which UNDP will make direct payments to service providers. Alternatively, as requested, UNDP can run transactions as specified in the annex and make payments to service providers based on that.

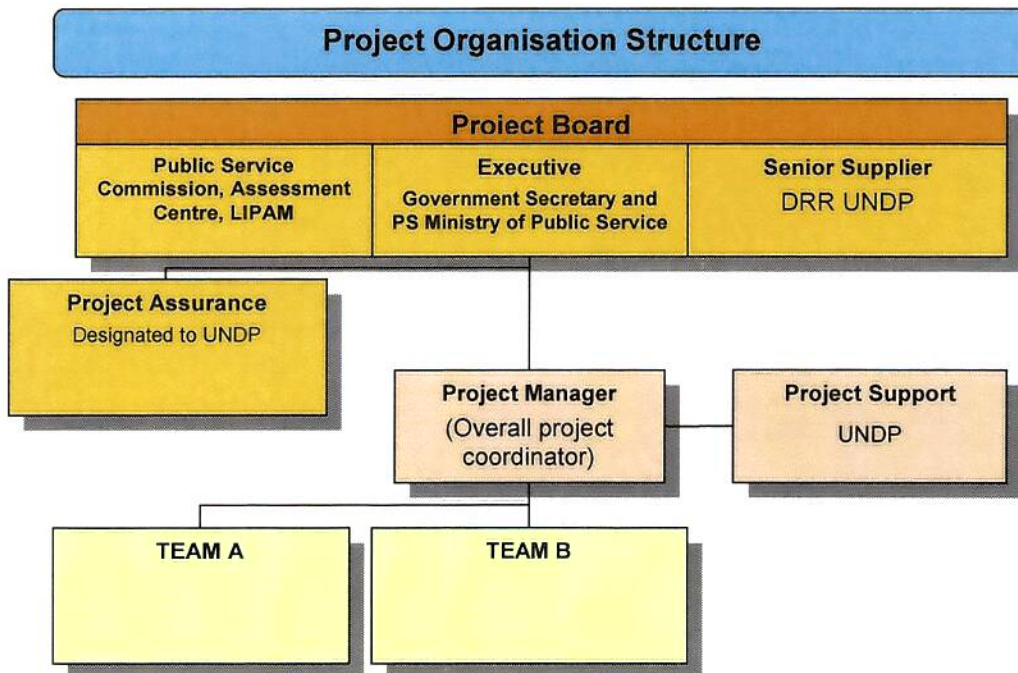
In all administrative and operational aspects of the project implementation, the UNDP Country Office will provide support to and facilitate the implementation of activities in the form of **Implementation Support Services** under the National Implementation Modality (as will be defined during the inception phase using the template agreement under annex 2).

In line with PRINCE 2 project management standards, a Steering Committee will be established for making, on a consensus basis, management decisions for a project when guidance is required by the Project Manager, including recommendation for UNDP/Implementing Partner approval of project revisions. Project reviews by this group are made at designated decision points during the running of a project (see below), or as necessary when raised by the Project Manager. This group is consulted by the Project Manager for decisions when PM tolerances have been exceeded.

The Steering Committee contains three roles:

- **Executive** representing the project ownership to chair the group.
- **Senior Supplier** role to provide guidance regarding the technical feasibility of the project, and
- **Senior Beneficiary** role to ensure the realization of project benefits from the perspective of project beneficiaries.

This list of members (see below) may be expanded if appropriate. The Steering Committee will meet every six months and review and approve annual budgets and work plans and provide strategic guidance to the project.



The **Project Manager will have** the authority to run the project on a day-to-day basis on behalf of the Steering Committee within the constraints laid down by the Steering Committee. The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

The **Project Support** role provides project administration, management and technical support to the Project Manager as required by the needs of the individual project or Project Manager.

Project Assurance is the responsibility of each Steering Committee member; however, daily monitoring function in this regard is delegate to the programme manager on behalf of the UNDP. This role ensures that appropriate project management milestones are managed and completed.

Audit arrangements

Financial transactions and financial statements shall be subject to the internal and external auditing procedures laid down in the Financial Regulations, Rules and directives of UNDP.

VI. MONITORING FRAMEWORK AND EVALUATION

Please refer to the *Deliverable Description* to complete this component of the template.

Suggested text to be adapted to project context

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following:

Within the annual cycle

- On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table below.
- An Issue Log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.
- Based on the initial risk analysis submitted (see annex 1), a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
- Based on the above information recorded in Atlas, a Project Progress Reports (PPR) shall be submitted by the Project Manager to the Project Board through Project Assurance, using the standard report format available in the Executive Snapshot.
- a project Lesson-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the project
- a Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events

Annually

- **Annual Review Report.** An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. As minimum requirement, the Annual Review Report shall consist of the Atlas standard format for the QPR covering the whole year with updated information for each above element of the QPR as well as a summary of results achieved against pre-defined annual targets at the output level.
- **Annual Project Review.** Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.

VII. LEGAL CONTEXT

This document together with the UNDAF Action Plan signed by the Government and UNDP which is incorporated by reference constitute together a Project Document as referred to in the SBAA [Standard Basic Assistance Agreement between the Government of the Kingdom of Lesotho and UNDP of 31 December 1974] and all UNDAF Action Plan provisions apply to this document.

Consistent with the Article III of the Standard Basic Assistance Agreement, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP's property in the implementing partner's custody, rests with the implementing partner.

The implementing partner shall:

- a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b) Assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The implementing partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document".

VIII. ANNEXES

Risk Analysis. Use the standard [Risk Log template](#). Please refer to the [Deliverable Description of the Risk Log](#) for instructions

No	Description	Date Identified	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Updated	Status
1	Changes in Political Management of Ministries	2013	Political	While currently there is political will to have the project start and achieve its objectives, the political leadership is subject to abrupt changes and could usher in new administration with different focus.	UNDP, development partners	UNDP	2014	There is no movement and development on this point but it however remains largely a threat

	change by civil servants		Organizational Political Regulatory	implementation	workshops, counselling, exit packages	Public services		clear once the project starts and people realize to what extend they are likely to be affected
3	Lack of resources	2014	Financial	Political leadership	Ministry of Finance	UNDP development partners	2014	

ANNEX 2 - DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES

1. Reference is made to consultations between Ministry of Finance, the institution designated by the Government of Lesotho and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed programme or project, **Capacity Building for Public Sector Reform**, "the Programme".

2. In accordance with the letter of agreement signed on March 28th 2011 with the Ministry of Foreign Affairs and the provisions of the Programme Document, the UNDP country office shall provide support services for the Programme as described below.

3. Support services to be provided:

Support services (insert description)	Schedule for the provision of the support services	Cost to UNDP of providing such support services (where appropriate)	Amount and method of reimbursement of UNDP (where appropriate)
1. Identification and recruitment of project and programme personnel and related disbursements	As per the approved Annual Work Plan for the project.	As per standard cost-recovery mechanism.	As per standard cost-recovery mechanism.
2. Identification and facilitation of training services and related disbursements	As per the approved Annual Work Plan for the project.	As per standard cost-recovery mechanism.	As per standard cost-recovery mechanism.
3. Procurement of goods and services and related disbursements	As per the approved Annual Work Plan for the project.	As per standard cost-recovery mechanism.	As per standard cost-recovery mechanism.

4. Description of functions and responsibilities of the parties involved:

UNDP to provide support services as per the above and report to the Implementing Partner as set forth in the project document.

The Implementing Partner to comment and accept the reports on project progress, including the status of support services.

