

Participatory, Responsive Governance in Niger

Project Appraisal Document

*September 25, 2014*

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# Executive Summary

The *Participatory and Responsive Governance* (PRG) project outlined in this project appraisal document (PAD) is the result of a multi-sectoral project design team effort led by USAID/Senegal Sahel Program Office and the USAID Niger Office. The current project is envisioned as a five year multi-sectoral $18.9 million project, covering the years 2015-2020, which relies on an approach that will strengthen large USAID investments in resilience and counter-violent extremism. It is designed in a manner that allows a scaling up of activities in the event of additional bilateral resources allowed for programming in Niger. The current PAD describes an initial political economy analysis (PEA) stand-alone activity to be procured through a simplified acquisition, which will inform the subsequent development and implementation of the primary set of activities (2 phases) detailed under Section 3: Project Description. The procurement actions for PRG will be managed and executed by the RAAO office at USAID/ Senegal, while the AOR/COR and activity managers for implementation of the entire project will be based in the USAID Niger Office. PRG falls under the *Governing Justly and Democratically* objective of the foreign assistance framework, and aligns with and contributes to a number of USG strategic priorities in the region.

**Problem Statement**

Niger has suffered from a lack of citizen confidence in the State and its institutions for decades due to multiple coup d’états and languishing unmet development expectations with regards to economic and livelihoods development, public service delivery, and civil society dialogue. Though presidential elections are expected to take place in 2015, there is little faith on behalf of Nigerien citizens that socio-economic and socio-political conditions will change for the benefit of the country following elections. Following months of analysis and consultations with Nigeriens from the national to the very local levels, the problem statement that the current project seeks to address is the following: *citizens’ concerns, including those related to stability, come down to 1) the* ***execution of national and local government responsabilities of public administration and equitable service delivery*** *(i.e. equitable delivery of public services, in particular education, health, water, and infrastructure; equitable and fair access to public sector jobs and contracts; effective state response to particular challenges of natural disasters and population inflows; and other government functions such as justice and community security/policing)[[1]](#footnote-1), and 2) the* ***participation of citizens*** *(particularly the most marginalized with regard to youth, gender, geographic location, poverty and lack of kinship and political ties to those in government)* ***in democratic and governance processes.*** Together, these unmet citizen expectations have led to what Nigeriens call a ‘*crise de confiance’* or ‘crisis of confidence’ between citizens and the state**.**

**Project Purpose**

The purpose of the PRG project is to improve collective responsiveness (government and citizen) to priority public needs in order to increase citizen confidence in the state amongst target populations. To achieve the project purpose, it is anticipated that the proposed project activities will lead to the achievement of three main project outcomes: 1) Political party campaigns are more responsive to priority public needs. 2) Improved multi-stakeholder (government, non-government, donor, etc.) contribution to specific elements of reform implementation for targeted citizen priorities, including citizen priorities that have a direct impact on implementation of USAID development programs, e.g. REGIS and PDEV. 3) Increased capacity of key actors to promote participatory governance that will impact the overall environment not only for USAID’s investments in Niger but also for other partners and Nigeriens themselves.

**Project Summary**

In order to achieve the above stated project purpose, PRG will consist of a Political Economy Analysis (PEA) “kick-start” activity, an ongoing local capacity strengthening intervention, and a 2-phase principal activity designed to be scaled up in the event of additional resources. The PEA will be procured early on in project implementation through a simplified acquisition mechanism, and will serve to inform the strategic direction and programmatic focus of the principal activities under PRG. The local capacity strengthening activity was previously approved under the development grants program (DGP) project, and will play a complimentary role to the PRG project in terms of ensuring long-term sustainability, local ownership, and inter-project cohesion and collaboration. Finally, the 2-phased principal activity will: 1) in Phase I program both currently existing and expected resources in the time period before and immediately following the Nigerien presidential elections in 2015, and 2) in Phase II program expected resources in a subsequent 2.5 year time period in order to fully achieve the project purpose and to contribute to facilitating ongoing efforts through other USAID investments in Niger. See Section 3: Project Description for a technical outline of all three components of the PRG project.

**Mission Opportunity**

Niger is receiving unprecedented attention from the U.S. Government at this moment due to the rise of instability throughout the West African region, while concurrently the Government of Niger is emerging as a willing partner committed to improving governance and development outcomes for its citizens. Through multiple contemporary U.S. Government strategy documents, it is clear that increased engagement in Niger is imperative for USAID. The proposed project represents an opportunity for USAID/Senegal through the USAID Niger Office to add to the empirical case-study research into collective action problems experienced by government actors, as well as the current literature on power concepts and dynamics more generally. By taking a sophisticated approach to governance programming USAID/Senegal will add to the important and growing cadre of donor partners who seek lasting, fundamental change in the way that partner governments and citizens build democracy together. This confluence of circumstances and opportunities for partnership present USAID/Senegal and the USAID Niger Office a key opportunity to facilitate the achievement of significant multi-sectoral development outcomes in the context of Niger’s emerging democratic space and also in the context of USAID’s major investment on resilience and counter-violent extremism programming in Niger.

# 1. Relationship to Mission Strategy, Results Frameworks, and other Mission Programs

The PRG project’s focus on participatory responsive governance is tied to USAID’s larger vision to achieve significant development outcomes in resilience and stability in Niger. The governance approach that targets research, dialogue, and action on targeted citizen priorities will have ripple effects and catalyzing benefits that are critical to ensuring resilience in the communities in which USAID is investing.

## Resilience in the Sahel- Enhanced & USAID West Africa Regional Strategies

The PRG project’s focus on increased political participation, governance responsiveness, and accountability is critical to achieving the Resilience in the Sahel-Enhanced (RISE) strategy’s goal of increased resilience of chronically vulnerable populations through increased and sustainable economic well-being, strengthened institutions and governance and improved health and nutrition status, especially in regards to development objective (DO) 2, *Strengthened Institutions and Governance*. The PRG project’s focus on targeted public sectors also ties directly to RISE given that Nigeriens have identified food security, social exclusion, water, health and education as their top priorities that the government must address (Afrobarometer 2014). More discussion of these linkages is presented in the project design.

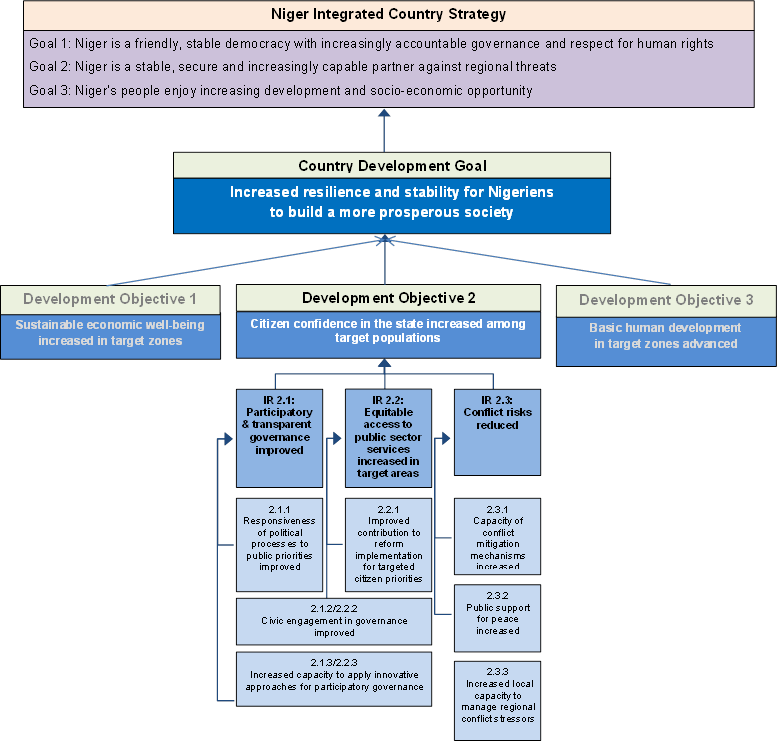
The PRG project will also complement the USAID West Africa’s Regional Strategy aiming at advancing West Africans’ social and economic well-being by strengthening non-violent conflict management systems, and resilience and increasing utilization of quality health services through West African partners. The activities in this project promoting participatory, responsive, governance are prerequisites to efficient, and equitable management of public institutions, which are essential for sustainable economic well-being and strengthened resilience. In addition, geographic targeting of the project will aim to address stability objectives by serving communities vulnerable to violent extremism. The PRG project will also coordinate with the upcoming USAID/West Africa Peace through Elections (P/Elect) project that includes activities in Niger. For instance, the elections-related political economy action research anticipated under the PRG project will contribute to P/Elect’s electoral violence early warning system data collection and analysis efforts. Some of the PRG project communications activities during the election period will also be serve to take on some elements of P/Elect’s recommended responses to prevent, reduce and mitigate electoral violence.

## USG Integrated Country Strategy

This project contributes to the United States Government Integrated Country Strategy (ICS) Goal that *Niger is a friendly, stable democracy with increasingly accountable governance and respect for human rights*, by aiming to render the electoral processes more responsive, participatory, and focused on citizen priorities, and by following up on elections with efforts to hold politicians accountable for their campaign promises but also by assisting these elected leaders through collective action together with civil society, private sector, thought leaders and other actors. In alignment with the mission of the ICS, the activities described in this project support the consolidation of democratic advances in Niger in ways that aim to lead to effective democratic institutions and increased national and regional stability providing greater well-being for more Nigeriens.

## USAID Niger Operational Framework and Relationship to USAID Projects

The current project is designed to be a principal contributor to the achievement of Development Objective 2 under the Niger Operational Framework: *Citizen Confidence in the state increased among target populations.* Activities under the electoral Phase 1 of the proposed project will help achieve this goal through major contributions to IR 2.1: *Participatory governance improved*, particularly by working to make the elections more responsive to citizen priorities. Post-electoral activities focused on targeted citizen priorities under Phase 1 will provide initial contributions to results under IR 2.2: *Equitable access to public sector services increased in target areas* while continuing to contribute to the participatory processes under IR 2.2, including civic engagement in governance.

Together with current USAID programming under the Resilience and Economic Growth in Sahel-Enhanced Resilience (REGIS-ER), Peace Through Development II, Consortium for Elections and Political Party Strengthening (CEPPS) National Assembly Strengthening, Youth, Advocacy, Women, Work and Alliances (YAWWA) Social Entrepreneurship, Niger Education and Community Strengthening program, Development Food Assistance Program; and USAID’s Office of Transition Initiative activities in Agadez and Diffa, the proposed project will seek to achieve the DO2 goal of increased citizen confidence in the state and as such contribute to the country development goal of *Increased resilience and stability for Nigeriens to build a more prosperous society***. Through this project, we will be able to measure how a small 20 percent investment in a democracy and governance approach can have important positive benefits to catalyze and unblock bottlenecks that impact our efforts in resilience and stability programming in Niger (especially when resources for programs such as REGIS and DFAP are upwards of $100 million**). See below for a presentation of the Niger DG Development Objective Results Framework as it relates to the USAID Niger Country Framework and USG Integrated Country Strategy (ICS).

# 2. Relationship to Partner Country and Donor Programs

## Government of Niger Strategic Interests

This project is strategically aligned with the GoN’s socio-economic development efforts as detailed in the Economic and Social Development Plan (PDES 2012-2015) and with PDES’s Axis Number 1, *Consolidation of the credibility and effectiveness of public institutions*. All of the work under the USAID Niger Results Framework for DO 2, *Citizen Confidence in the state increased among target populations,* aims to contribute to these objectives of state credibility and effectiveness. This new project aims to improve the credibility of national elections by helping them be more responsive to citizen priorities and by engaging citizens – youth and women in particular – in more meaningful ways to help express and respond to citizen expectations through the electoral process. At the same time, the anticipated PEA action research will inform efforts under PDES to help identify areas of collective action that can improve reform implementation and in this way increase the effectiveness of the state.

The proposed project also contributes to several aspects of the Republic of Niger’s National Governance Plan 2013-2015 developed with the World Bank, particularly with regard to engagement of civil society. It also contributes to Niger’s National Policy for the Modernization of the State (PNME), which aims to improve Niger's administrative governance by: 1) fostering territory planning and infrastructure modernization; 2) increasing the public administration's effectiveness; 3) promoting good governance, and 4) changing leaders and citizens' attitude and behavior. In particular, this project's purpose (improving collective responsiveness to priority public needs) contributes especially to the PNME's 4th strategic objective that seeks among other things to improve relationships between public service providers and citizens.

## Donor Efforts

The proposed project is designed to build a strong direct complement to the World Bank’s new 5-year, $40 million USD ‘Public Sector Capacity and Performance for Service Delivery’Project, which intends to support the Government of Niger’s intention to change the culture and enhance the credibility and efficacy of public institutions to improve service delivery, through results-oriented capacity building. The Bank’s project is focused on increasing the efficiency and transparency of public administration at the central level (key ministries such as Civil Service & Finance as well as targeted systems within the Education, Health, & Agriculture ministries and security sector) -thereby focusing on horizontal accountability. USAID’s PEA action research, particularly for the post-electoral work supporting collective action on targeted citizen priorities, will aim to add value and complement the Bank’s efforts at the central level on some of these same issues – i.e. within the civil service, education, health, agriculture and/or security sectors – complementing that work on the formal processes and procedures. This, in turn, will also strengthen other action on the informal systems and identify further measures within public administration that the Bank’s project could pick up and address through their interventions; thereby strengthening vertical accountability with an emphasis on engagement with civil society and linkages between the public and private sector.

In addition, we anticipate that the proposed project will have linkages to projects funded by the French and European Union in support of the PNME through the donor-support group *Haut Commission de la Modernization de l’Etat* (HCME). We will coordinate with these actors and expect them to pick-up limited action efforts and support for public reform initiatives which line-up with findings from the PEA action research. Finally, this project will complement work by the German Development Agencies (GIZ and KfW), Suisse Cooperation, and French bilateral development assistance (AFD) on governance particularly at the decentralized level, informing their capacity strengthening and systems efforts in the communes by identifying ways that locally elected bodies and leaders can work with civil society and others to implement collective actions on targeted citizen priorities.

# Project Description

## Problem Analysis

Niger is widely considered a fragile state. Arid and landlocked, it has featured among the world’s poorest countries for decades, and regularly holds the final position in the UNDP’s Human Development Index. Niger’s economic base is weak, while its mainly rural population is overwhelmingly reliant on rain-fed agriculture and consistently exposed to erratic weather consisting of periodic droughts coupled with devastating floods. The state’s revenues from uranium production, though somewhat mitigating the paltry tax base in the agriculture sector, have been very modest – ranging between $90 to $140 million per year in 2010 to 2012 – or approximately 5 percent of Niger’s national budget – which exposes the governmentto market price fluctuations.

The economy’s structural weaknesses have profoundly shaped the Nigerien state and its governance patterns. Given the state’s limited resources, many Nigerien citizens’ encounters with the state have been with its security apparatus, especially in the north, rather than with efficient and quality services in sectors such as education, health, or energy. Politics and state institutions largely outside the reach of the broad majority of the population have been captured by a small elite straddling business, the administration, and the military. Corruption has been at the very core of this governing system. Rivalry among elite networks over the award of licenses, contracts, and credit lines has fuelled competition among and within the main political parties, and has on several occasions led to political and institutional blockages. The coups d’état toppling successive governments in 1974, 1996, 1999, and 2010 underline both the weakness of state institutions, and the army’s continued self-perception as the guardian of the state. In the north, a state whose presence had been largely reduced to its security apparatus, faced a broad-based rebellion from the Tuareg and Tubu from 1990 to 1995. A second, narrowly-based Tuareg rebellion from 2007 to 2009 was more short-lived, though it did serve as a reminder of the state’s tenuous control across Niger’s vast northern areas.

Lack of resources and structural governance deficits combine to erode state legitimacy in the eyes of the population. For example, there is widespread frustration over the inadequacy of the education and health systems, whose facilities often insufficiently cover cities and territory, and are in desperate need of equipment. The sustained power cuts in Niamey in mid-2013 also underlined the inadequacy of public infrastructure and service provision. Where the state cannot deliver, space opens up for alternative providers – such as the Koranic schools in the domain of education – further diminishing the role of the state in people’s daily lives. The inability of the state to meet population needs is not only undermining support for the current administration, but also for democracy in general, which many people describe as “not working.” Similarly, an increase in threats emanating from outside Niger has led to a greater militarization of the northern region of Agadez, reinforcing some of the grievances that led to the 1990s’ rebellion. Both of these concerns challenge the overall state-building process and facilitate an environment in which future coups or rebellions are a concern.[[2]](#footnote-2)

## Project Purpose

The purpose of this project is to **improve collective responsiveness (government and citizen/public and private actors) to priority public needs in order to increase citizen confidence in the state amongst target populations**. To achieve the project purpose, it is anticipated that the proposed project activities will lead to the achievement of three main project outcomes:

1. Political party campaigns are more responsive to priority public needs
2. Improved multi-stakeholder (government, non-government, donor, etc.) contribution to specific elements of reform implementation for targeted citizen priorities
3. Increased capacity of key actors to promote participatory governance

To achieve each of these outcomes we anticipate the following outputs:

1. *Political party campaigns are more responsive to priority public needs*
   1. Multi-stakeholder dialogue on electoral accountability in response to citizen priorities
   2. Increased understanding of political parties regarding their constituents’ public priorities
   3. Increased non-governmental actor engagement to promote the responsiveness of political parties to citizen priorities
   4. Increased media coverage of citizen priorities as relates to the elections
2. *Improved multi-stakeholder (government, non-government, donor, etc.) contribution to specific elements of reform implementation for targeted citizen priorities* 
   1. Public dialogue on targeted citizen priorities increased
   2. Increased stated commitment of targeted actors to take collective action on targeted citizen priorities
   3. Availability of information on targeted citizen priorities increased
   4. CSO/citizen advocacy on targeted citizen priorities improved
   5. Increased contributions to public sector actor (legislature, central gov’t, judicial, local gov’t) measures enacted to improve the targeted citizen priorities
   6. Increased non-governmental (NGO/CSO, citizen, traditional leader or private-sector, etc.) measures enacted to improve the targeted citizen priorities
   7. Cultural actor engagement in public reflection and dialogue on governance/civic engagement issues increased
   8. Accountability mechanisms strengthened or established on targeted citizen priorities in targeted geographical areas

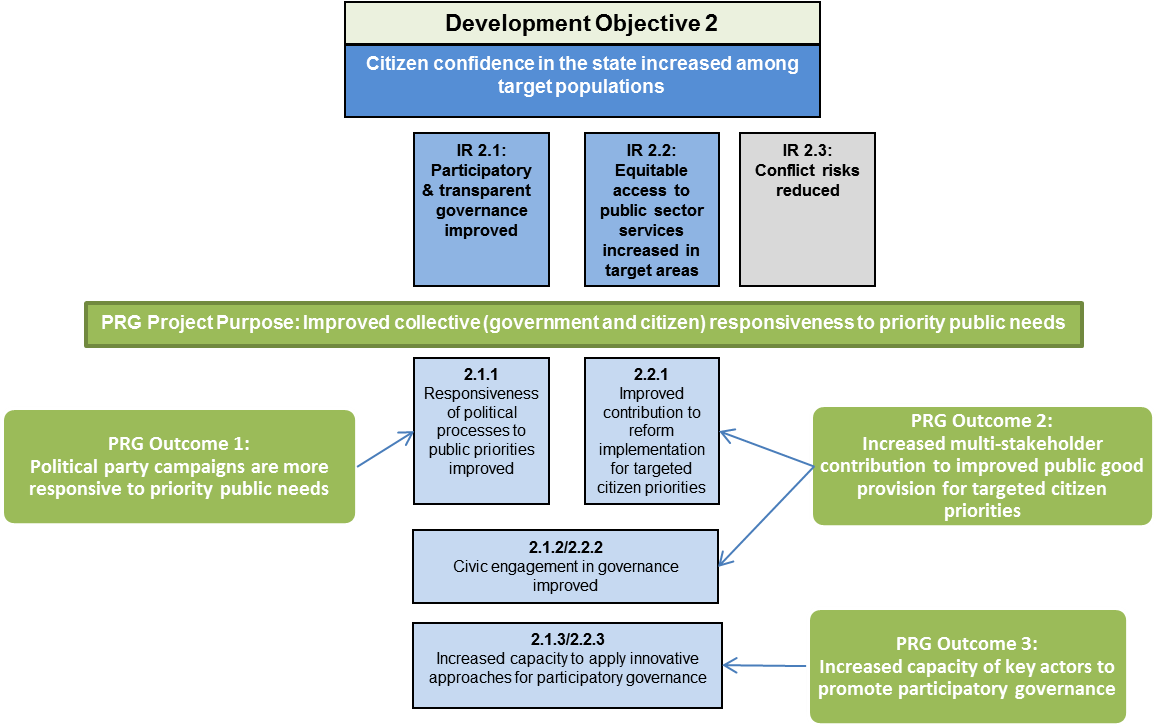
*Contributing to Outcomes 1 and 2:*

* 1. Locally grounded analysis providing recommendations for action regarding responsive elections and targeted citizen priorities

1. *Increased capacity of key actors to promote participatory governance* 
   1. Local resource entities (think tanks/research firms, university units, NGOs, government units, local consultants, etc.) are able to conduct PEA-based action-research to inform public sector reform
   2. Targeted actors have increased capacity in new measures to promote coverage and quality of public goods
   3. Media are more effective in facilitating public dialogue and providing reliable information on governance/civic engagement issues
   4. Increased organizational capacity of targeted non-governmental entities

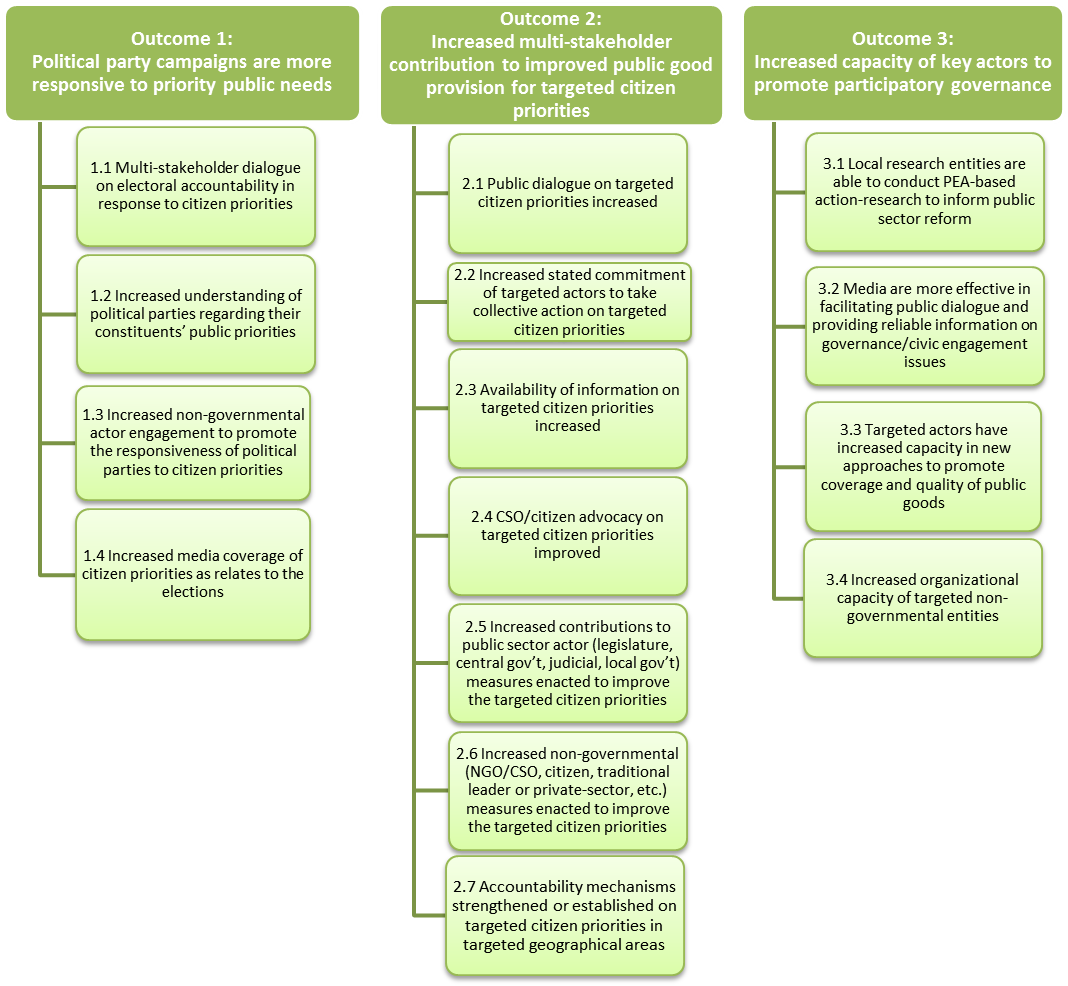
See below for a presentation of the topline PRG project results framework cross-walked with the Niger DG Development Objective framework. The full PRG project results framework is presented on the following page.

**Participatory, Responsive Governance Project/Niger Development Objective 2 Crosswalk**



**Participatory, Responsive Governance Project Results Framework**

**Project Purpose: Improved collective (government and citizen) responsiveness to priority public needs**

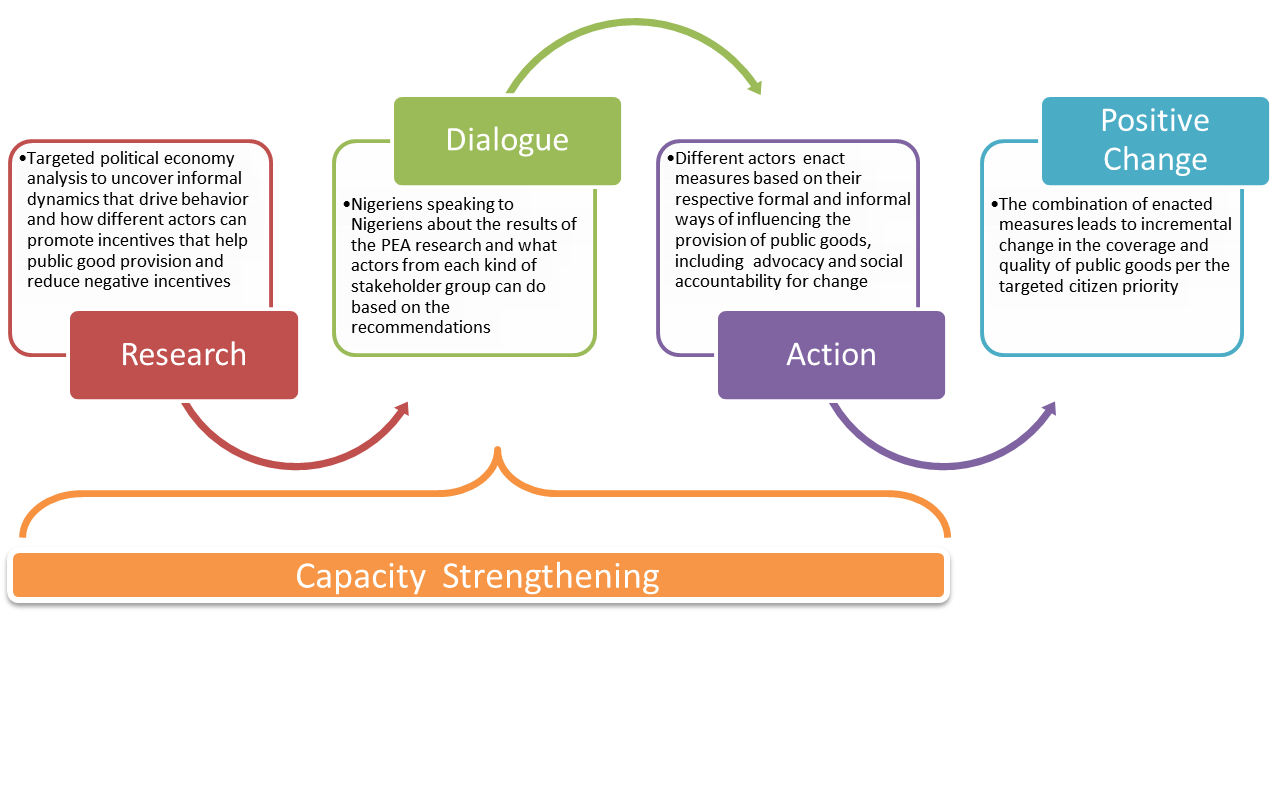


## Selected Technical Approach

The purpose of the project will be achieved through one principal activity centered on work before and after the upcoming Nigerien elections, supported by two smaller activities that will kick-start and bolster the main activity: initial Political Economy Action Research and Local Capacity Strengthening. Together, these three activities comprise the five-year **PRG** project spanning 2015 – 2020, constituting a major new USAID contribution to the Niger development objective of increasing citizen confidence in the state in target areas. Should additional funds become available to support this objective, this project is designed to scale-up both in terms of geographic and sectoral scope within the approaches described below.

The PRG project is also designed to align with, and potentially absorb resources from the Security Governance Initiative, related to expanded engagement in Niger and the Sahel region. One of the main findings of the 2013 Interagency Development Game focused on Niger revealed that addressing ungoverned spaces and resolving governance challenges generally are critical to development and stability in the region.

The project’s approach described here was selected based on the latest research and USAID guidance on governance reforms[[3]](#footnote-3) and why traditional approaches via formal procedures and processes alone have often failed. This led to identifying a major factor in governance and public sector reform efficacy that is not being addressed by other donors in Niger: the political economy of why actors behave as they do and the informal dynamics of how things really happen.

The **theory of change** for the proposed Participatory, Responsive Governance project is that *with increased understanding of the local dynamics blocking and promoting reform (****research****), we can help Nigeriens examine these dynamics themselves (****dialogue****) and enact measures (****action****) to bolster local solutions that promote the public good and shift incentives away from behaviors that undermine the public good*. *This will ultimately lead to improvements in the coverage and quality of the targeted public goods (****positive change****) that Nigerien citizens consider top priority- thereby also impacting USAID’s longer development investments in resilience and stability programming in Niger*. Undergirding this approach are **capacity strengthening** activities aimed to increase the ability of local actors to undertake these research-dialogue-action steps in an independent manner in the future.

Finally, we note that there has been a marked rise in dual direction approaches to assist citizens and governments in closing communication and confidence gaps. USAID, in concert with the U.K. Department for International Development, the Swedish International Development Cooperation Agency, Open Society Foundation, and the Institute of Development Studies has entered into the Grand Challenge of Making All Voices Count in order to respond to this gap in programming. “In the past fifteen years many development and social change programs have sought to make or strengthen the connections between citizens exerting voice and governments responding to their voices”[[4]](#footnote-4). Yet, as the Grand Challenge points out, a rise in voices does not mean a rise in influence and that is why it is also necessary to work with advocacy as well as government to increase the influence that citizen voice has over policy decisions made by elected officials- and not just policy, but implementation. Furthermore, it is recognized that work must occur on both sides (citizen voices/ government responsiveness) to get to the objective. The USAID Niger Office proposes taking just such an approach in order to ensure that citizens and the government officials in Niger meet in the middle to affect real change and lasting impact.

## Project Activities

**1. Political Economy Action Research Kick Start Activity**

While the principal activity for Participatory and Responsive Governance is in the formation process, we will kick-start the project by procuring services to conduct action research using PEA methodology. “Action research is typically defined as targeted research used to solve a particular problem and to produce guidelines for best practice” (Denscombe, 2010). Per USAID’s new Political Economy Assessment guidelines, political economy analyses are used to “understand not only how political power is used to manage resources, but the way in which structural features, formal institutions (rules) as well as more ‘informal’ norms and social-cultural and ideological factors (beliefs) shape people’s choices and behaviors” (Cammack, 2013). In the case of this project, the use of PEA for action research will serve to help USAID and its partners “determine how to contribute to the emergence of ‘successful reforms’ where ‘behaviors and incentives are permanently changed … and the collective welfare of society is advanced’ and sustained” (Fabella et al, 2011:5). In concrete terms, the initial PEA action research will result in findings and recommendations that will inform the design of the principal PRG activity, in line with an adaptive management[[5]](#footnote-5) approach to programming.

The initial PEA action research for this project will result in a better understanding of the informal dynamics driving the behavior of government, civil society, and political party actors related to elections and public service delivery, and recommendations for a) how best to center national and local dialogue during the elections around citizen priorities (see below on how citizens’ priority issues are targeted) , b) how to hold elected leaders accountable for their campaign promises, and c) ways of improving the coverage and quality of targeted citizen priorities through collective action and incentives. A component of this research will be analysis of accountability dynamics and mechanisms in Niger, particularly informal accountability mechanisms, in order to trace the current incentives that drive the behavior of state and non-state actors and identify opportunities to promote incentives that serve to better align private interests with public interests.[[6]](#footnote-6) Then, the recommendations emanating from the action research will be picked up by USAID’s implementing partner(s) as outlined under the principal activity description of this project. To facilitate this, the contractor for the action research kick-start activity will be required to disseminate their findings in short briefs designed for immediate applicability for policy and programming, as well as through public presentations with stakeholders and international donor and partner organizations.

The initial PEA action research activity will also include a component to strengthen the technical capacity of local research groups in Niger to conduct PEA-based action research themselves. This will allow these groups to use the methodology to address other priority issues in Niger, whether as part of future USAID programming or other efforts as requested by governmental, civil society, or donor actors. It is already anticipated that additional PEA action research would be needed in a Phase 2 of the principal PRG activity in order to update earlier findings; identify new priorities, opportunities and strategies for collective action; and investigate additional issues specific to any new geographic zones included in an expanded project scope.

**2. Local Capacity Strengthening Support Activity**

The initial one-year award under the Local Capacity Strengthening activity is being funded through the Development Grant Program and aims to strengthen the organizational and general project development capacity of Nigerien organizations including non-governmental organizations and local businesses. Local capacity development is intended to help local partners bolster their ability to fulfill their own developmental objectives by addressing critical organizational weaknesses and as such be better able to partner with USAID, or other organizations, in the future. Strengthening local capacity will increase local expertise in development and foster competition and allow for results to be achieved in the most cost-effective, sustainable manner. If additional funding becomes available, this activity could be expanded to provide targeted capacity strengthening services to additional actors in out years, including both non-governmental and also possibly governmental stakeholders as well as actors at the central and local (regional and municipal) levels as opportunities are identified. Any additional local capacity strengthening support work would be linked to on-going programming under this project and USAID and interagency initiatives.

**3. Principal Activity for Participatory, Responsive Governance**

The principal activity of this project will be implemented through a two-phased approach with the intention of scaling up activities in the event of additional resources in the out years.

**Phase 1** will begin in early 2015, utilizing existing and anticipated resources for democracy and governance. This first Phase will serve to a) address priority public needs through multi-stakeholder dialogue within the context of the upcoming elections and then b) pilot a collective action approach to responding to targeted citizen priorities immediately following the elections. An anticipated impact evaluation of limited scope will help assess the effectiveness of targeted aspects of the project approach and inform the continuation of PRG programming at a larger scale under Phase 2. Phase 1 will be approximately two and a half years, to be implemented through the end of 2017.

**Phase 2** would begin in 2018 and build off of the work under Phase 1 to continue the activity for another two and a half years, pending the availability of additional resources to support democracy and governance programming. Phase 2 would apply the learning from Phase 1, adjust the project approach as necessary, and expand the support of collective action to additional targeted citizen priorities and/or additional geographic zones.

These two phases are described in more detail below.

***Phase 1: Addressing Targeted Citizen Priorities in Elections & Post-Electoral Collective Action***

In the context of the current political environment in Niger, it is probable that the 2015/2016 elections will not be broadly competitive as major opposition party candidates may be prevented from running. Given this, it will be all the more important to build political consensus around critical citizen priorities regardless of who is in power. In addition, it is important to show how attention to citizen priorities should continue post elections as elected officials strive to make good on campaign promises, and multi-stakeholder collective action is critical to helping to do this. These efforts will also lay the groundwork for increased political competition in the future. Phase 1 will therefore focus on:

1. Electoral period activities to promote multi-stakeholder dialogue, advocacy, and media initiatives to bring decision-makers to better address citizen priorities and identify how non-state actors can better work with elected officials to improve public service coverage and quality; and
2. Post-electoral piloting of the collective action approach on a limited number of citizen priorities and in a limited number of strategically selected geographic zones.

**Selected Targeted Citizen Priorities**

Based on nationally representative 2013 Afrobarometer survey data for Niger, the top five “most important problems that must be addressed by the government” according to Nigerien citizens are, in order of importance: food security, poverty/social exclusion, health, water, and education ([www.afrobarometer.org/Niger](http://www.afrobarometer.org/Niger)). These are directly related to USAID’s current investments in resilience and stability programming in Niger.

In Phase 1, the World Bank’s Public Administration project for Niger identifies agriculture/food security (including access and management of water for productive use; and more specifically productivity and revenue generation in irrigated areas), health (staff deployment, and provision of medicines & key medical inputs), and education (Teacher recruitment, deployment and management*)* as the priority sectors for governance reform support via a public administration approach. Given this, we propose to target USAID support under Phase 1 of the principal PRG activity on issues related to food security, health, and education, with a particular focus on equitable coverage of government and non-government support to these issues. This focus will have an echo effect on USAID’s other sectoral investments as well through REGIS and other activities. In Phase 2 of this activity and with additional resources, we expect that the project approach can be applied to address additional citizen priorities that are directly relevant to USAID projects and any other new priorities that may emerge.

**Geographic Scope**

Phase 1 activities will be implemented at three levels. First, during the electoral period, multi-stakeholder dialogue activities will happen at the central level in Niamey and at the regional level in each of Niger’s eight regions. This is to ensure an equitable distribution of engagement with actors, including political parties, across the country. Second, after the elections, the piloting of the collective action approach will take place at the central level in Niamey to engage with key stakeholders working nationally, and then will also be implemented at the regional and local (municipal) levels **in three regions (Niamey, 1 REGIS, 1 non-REGIS zone)** that are strategically selected and align with USAID RISE and CVE programming. Particular attention will be paid to *communes* identified as particularly vulnerable per USAID vulnerability mapping, with particular attention to areas facing food insecurity and violent conflict risks. Third, in a Phase 2 scale-up additional geographical regions may be added depending on the availability of funds.

**Illustrative Activities**

As described above, the PEA action research under the kick-start activity for this project will inform the more precise strategies and activities under Phase 1. As such, it will be critical that the implementing partner for the principal PRG activity build this further design work into the startup of the award itself. In particular, the PEA action research will inform both the content and approach of the public dialogue, political party, civil society/traditional leader advocacy, and media activities under the pre-electoral period of this phase as well as the nature of the collective action support provided following the elections.

It is nonetheless possible to anticipate the general categories of activities that will be required to achieve the anticipated results of this project. These categories of inputs, illustrative activities and potential outputs are outlined below and presented in the annexed Logical Framework. Overall, in keeping with the overall project approach and theory of change, USAID’s implementing partner will seek to work within the local dynamics and logic in Niger to bolster existing informal and formal networks and accountability mechanisms to promote constructive collective action between elected leaders and non-government actors engaged on targeted citizen priority issues. In order to do this, the implementing partner will be encouraged to use not only a PEA approach but also an assets-based one, focused on what is currently working in favor of public institutional goals in Niger and how to further mobilize local resources and values to further align incentives and do more of what is working. Concretely, this will mean funding quality public dialogue on the issues as well as providing both technical and sub-grant support to help key mobilizer actors implement the recommendations of the research.

In addition, the implementing partner will provide capacity strengthening to key actors to be more effective in their collective action efforts in the future. It is anticipated that this happen both through “learning by doing” during the supported collective action activities on the specific targeted citizen priorities but also through any additional training, ongoing technical advice and coaching, provision of practical tools (such as new media applications) and/or other effective capacity strengthening approaches as identified in this context.

To achieve Project Outcome 1of ***Political party campaigns are more responsive to priority public needs***, the anticipated **inputs** to **promoting citizen priorities during the electoral period** will be:

* 1. Technical and financial support to sponsor **multi-stakeholder dialogue activities on the findings of the PEA action research** to address citizen priorities in the elections

Illustrative activities:

* National level multi-stakeholder mediatized conferences
* Regional level mediatized town hall discussions
* Community radio debates in each of the region
* Community level town-hall discussions in selected target zones

All such activities should be used to discuss the results of the PEA action research, further encouraging citizens to express their aspirations and encouraging political parties and candidates to take well-articulated public positions regarding a) the social-economic priorities revealed by the PEA, b) concrete and realistic strategies to increase the effectiveness and credibility of democratic institutions, and c) how candidates would perform as elected officials in order to ensure the success of their objectives. Facilitation of the dialogue activities should be grounded in the latest research on effective dialogue facilitation in settings similar to Niger, and, to the greatest extent possible, on communication culture in Niger itself.

* 1. Technical **support to political parties to be more inclusive and responsive to the priorities of their party members and targeted voters**, including marginalized populations

Illustrative activities:

* Series of workshops open to all major political parties to further analyzing the results of the PEA action research on how this affects political parties, accountability of elected leaders, and how to engage with non-state actors to spur collective action to respond to citizen priorities
* Workshops open to all major political parties to prepare for public dialogue events, bringing them to better articulate how they as elected officials can respond to citizen priorities as revealed through the PEA action research.
* Series of workshops at the national and regional levels open to all major political parties to review existing recommendations from political party youth associations on how to make parties more inclusive and responsive to youth
* Series of workshops at the national and regional levels open to all political parties led by local gender advocates (women and men) on incentives and strategies for being more responsive to the priorities and engagement of female political party members and female voters
* National and regional level workshops with youth and women on strategies emanating from the PEA on how to better participate meaningfully in the political process, e.g. via targeted capacity and leadership strengthening, mentorship, exchanges with youth from universities, citizen-led election period observation using mobile technologies, or other innovative ideas;
* Conflict-mitigation dialogue activities as relates to consensus building focused on citizen priorities (as relates to the USAID/West Africa Peace through Elections project)
  1. Technical and financial support to **activities led by civil society, traditional and religious leaders, artistic and cultural leaders, etc. to promote the responsiveness of political parties to citizen priorities and citizen engagement in these discussions i**n order to focus the elections on issues (also serving to diffuse tensions and reduce risk of violence)

Illustrative activities:

* Mediatized civil society group advocacy
* Traditional leader mediatized messages
* Mediatized participatory theater
* Expansion of “edu-tainement” work on youth and women participation in democracy
* Crowd-sourced citizen input on key electoral priorities using SMS/mobile technology, potentially including solicited input via push messages and/or local radio.
  1. Technical and financial **support to media to focus national debate on the elections on citizen priorities**

Illustrative activities:

* Training workshops with print and broadcast journalists on how to focus reporting and mediatization of the elections on substantive questions of citizen priorities and their expectations for elected officials,
* Training workshops and on-the-job mentoring for media actors on how to use new media strategies how to better use social and mobile media for substantive coverage of election issues around citizen priorities
* Mediatized roundtable discussions with key thought leaders (traditional, religious, civil society, etc.) and political parties on how to be more responsive to citizen priorities and how to spur collective action
* Targeted training and network strengthening for media practitioners to enhance issue reporting and programming ahead of elections
* Publicize the results of these meetings via traditional and new media to increase understanding of issues debated and constructive public pressure for programmatic political platforms responsive to citizen priorities.

To achieve Project Outcome 2 of ***Improved multi-stakeholder (government, non-government, donor, etc.) contribution to specific elements of reform implementation for targeted citizen priorities****, t*he anticipated **inputs** **to spur collective action to respond to targeted citizen priorities following the elections** will be:

* 1. Technical and financial support to sponsor continued **multi-stakeholder dialogue activities to promote evidence-based collective action to** address citizen priorities

Illustrative activities:

* Provide neutral space through respected local leaders or organizations for actors involved in collective action to meet privately to discuss strategy and progress
* Facilitate take-up of dialogue on the targeted citizen priorities in existing public fora such as the annual municipal investment report meetings at the commune level
* Support to cultural leaders promoting public reflection and dialogue on governance/civic engagement issues related to the targeted citizen priorities
  1. Provide targeted **technical assistance and sub-grants to civil society, traditional leader, private sector, media, and other engaged actors to support multi-stakeholder collective action measures** on the recommendations resulting from the PEA action research and ongoing dialogue activities

Illustrative activities:

* Support media to increase availability of information on targeted citizen priorities and on-going dialogue on these issues and progress as made or challenges to be overcome
* Support civil society input into a regularly updated dashboard for the government to follow up on agreed-upon government actions and results\*
* Help civil society actors develop communication plans to inform stakeholders and celebrate success of reform initiatives on the targeted citizen priorities, using various dissemination channels and social networks\*
* Link to parliament to encourage legislative oversight of governmental reform efforts\*
* Engage parliament and other stakeholders in a public debate on the rules governing the financing of political parties and election campaigns and on the distribution of state capacities and resources b/w Niamey and the DE concentrated/decentralized levels\*
  1. Provide **technical capacity strengthening assistance, limited financial assistance and new tools** to key actors such as media, artists/cultural thought leaders, emerging civil society actors, and potentially entrepreneurial governmental actors in order **to help promote constructive collective action and participatory governance systems more generally**.

Illustrative activities:

* Training and on-the-job coaching to media on facilitating public dialogue and responsible investigative journalism related to governance and citizen engagement issues
* Hold award competitions or provide small grants to artists and other cultural leaders to promote public reflection and dialogue on governance and citizen engagement issues
* Provide technical and limited financial assistance to support ICT-based citizen monitoring and government accountability mechanisms\*
* Support open government efforts to publish public data online and promote its analysis by legislative, civil society, private sector, and other non-state actors for greater accountability\*

(\*Related to a suggested activity included in the World Bank’s “Republic of Niger Governance Action Plan, 2013-2015,” June 2013.)

Finally, in order to achieve Project Outcome 3 of ***Increased capacity of key actors to promote participatory governance***, the additional inputs will be:

* + - 1. Provide technical assistance and sub-contracts to local entities (think tanks/research firms, university units, NGOs, government units, local consultants, etc.) to conduct action research based on political economy analysis on each of the targeted citizen priorities [PEA Action Research Activity]
      2. Technical support to media to investigate and cover issues of governance and citizen priorities more generally [complements Inputs 1.4 & 2.2]
      3. Provide additional technical capacity strengthening assistance and new tools if necessary (per initial diagnostics) to other key actors (non-media) such as artists/cultural thought leaders, civil society actors, and entrepreneurial governmental actors in order to help promote constructive collective action and participatory governance systems more generally [complements Input 2.1]
      4. Provide organizational development training and coaching to local entities [Local Capacity Strengthening Activity]

***Phase 2: Scale-Up of Collective Action on Targeted Citizen Priorities and Promotion of Participatory Governance***

If additional funds become available, Phase 2 will scale up Phase 1, taking into account the results of the anticipated impact evaluation and modifying the approach as necessary. Scale-up would include addressing additional targeted citizen priorities and/or expansion of activities to additional geographic zones. Additional PEA action research may also be conducted under Phase 2 in order to update the collective action focus and strategies as needed. The targeting of additional citizen priorities will be linked directly to USAID’s interest in Niger and specifically to ongoing programming on resilience and stability, e.g. REGIS and PDEV. The implementer selected will be required to ensure that the latter is addressed. This will also enable us to demonstrate how a 20 percent investment in democracy and governance can make an impact and facilitate linkages on a $100 million program(s).

## Major Assumptions and Feasibility

Continued programming under Phase 1 of the principal activity is predicated on the assumption that the elections are deemed sufficiently free and fair and are accepted by independent observers, state electoral and judicial authorities, and the majority of parties and citizens. If this is not the case for the presidential elections, work under Phase 1 (and potentially Phase 2) could focus exclusively at the decentralized (locally-elected council) level provided that the local elections are themselves deemed legitimate. In another scenario where the Presidential/Legislative and Local elections are not accepted and the results are widely rejected or if the elections are boycotted; then this project will focus mostly on efforts with citizens/citizens coalitions and civil society level (including traditional leaders etc…) who will be the key players in advocating for change.

Below are the critical assumptions for this project:

* No major security incidents and/or extra-electoral change of government (coup d’état, etc…) occurs during the intervention period
* Implementation of USAID, government and other donor interventions contributing to the goal are met
* Existing and projected USAID interventions executed as planned;
* Existence of political will for adoption and implementation of social reforms in the Government of Niger
* Communication on elections and key reforms to increase citizens awareness of elected official responsiveness and public engagement around priority public needs
* Political parties remain willing to engage on dialogue around citizen priorities despite electoral conflicts
* Citizens will be sufficiently aware of the targeted changes in political party responsiveness
* Reform implementation improvements will be sufficient to have a positive effect on citizen perceptions of government and civil society responsiveness to public needs
* Public sector actors maintain engagement/commitments on targeted citizen priorities regardless of 2015/2016 elections
* This project complements effective implementation of the new $40 million World Bank program
* Receptivity of public authorities and citizens for public dialogue on the targeted citizen priorities
* Willingness of public authorities to engage with citizens/CSOs and other –governmental actors, and vice-versa, to address and tackle key public services needs
* Interest and willingness of media to report on the targeted citizen priority issues
* CSO/citizen advocacy capacity is sufficiently supported via the project-provided technical and financial assistance
* World Bank and other international partners execute sufficient support of government-side actions as currently planned
* Project period is long enough for typical timeline for concrete government actions
* Public sector actors maintain engagement/commitments on targeted citizen priorities regardless of 2015/2016 elections
* Non-governmental actor solutions are sufficiently coordinated with public sector solutions for the same targeted citizen priorities
* The support and experience provided via the project will be sufficient to solidify the targeted artistic/cultural actors’ ability to promote public reflection and dialogue on governance/civic engagement issues in the future
* The training in and experience of conducting this PEA-based action research as part of the kick start activity will be sufficient to solidify their capacity to conduct such action research in the future
* The training and experience provided via the project will be sufficient to solidify the targeted media’s capacity to better facilitate public dialogue and provide reliable information on governance/civic engagement issues in the future
* Stakeholder representatives are willing to serve as advisors on the project, and/or appropriate other committees exist
* Successful implementation of technical assistance and sub-contracts planned by the implementer and adoption of the PEA approach by beneficiaries
* Technical and financial assistance provided by the project is sufficient for implementation of the action research recommendations
* This project-provided assistance will be sufficient to improve media capacity and practice in these areas
* This project-provided assistance will be sufficient to increase artistic/cultural actor influence on public reflection and dialogue on governance and civic engagement

# Implementation Arrangements, Participating Institutions, Management and Procurement Plan

## Implementation Plan

The first kick start activity, of this participatory responsive governance project consists of action research using **Political Economy Analysis (PEA)** that will inform the principal PRG activity. It will begin as early as November 2014 and continue for 6-8 months and will overlap with the principal PRG activity.

The second activity, **Local Capacity Strengthening Activity** will begin in late 2014 and will last for a year. If additional funding were to become available, this support activity could be expanded to provide targeted capacity strengthening services to additional actors in out years.

The third activity, **‘Principal Participatory Responsive Governance’** which kicks off Phase 1 of this principal activity in this project will begin in early 2015, utilizing existing and anticipated resources for democracy and governance. Phase 1 will be approximately two and a half years, to be implemented through the end of 2017. Phase 2 would begin in 2018 and build off of the work under Phase 1 to continue the activity for another two and a half years, pending the availability of additional resources to support democracy and governance programming. Phase 2 would apply the learning from Phase 1 and build-off those lessons to expand the program.

## Participating Institutions and Local Actors

One of the objectives of the PEA action research activity will be to identify actors -within institutions and specific individuals - who play or could play key roles in the kind of electoral dialogue and public reform implementation targeted by this project. Per our consultations to date, however, we can already identify the key categories of actors that will likely participate in our activities.

Within the Government of Niger, it is anticipated that the project will have an institutional liaison or focal point to ensure governmental support for the project and in particular government participation in the action research, dialogue, and collective action elements of the project. One possibility could be the Permanent Secretariat of the PDES within the Ministry of Planning (PS/PDES). The World Bank’s new project is being implemented through this Secretariat. The Permanent Secretariat is responsible for the coordination and evaluation of the PDES. It is a well-resourced unit, with high level political backing and a sound reputation for close coordination and monitoring of sectoral development activities; working with the Permanent Secretariat should ensure better coordination at the governmental level during the life of the project, including with the various line ministries and training institutions. At the same time, the PDES expires in 2015 and also may not be continued by a new administration should new leadership be elected in the 2016 elections. For this reason, other options will also be explored.

USAID Niger will also participate in a governance steering committee that the World Bank project will organize with representatives of the President’s Office, the Prime Minister’s Office and line ministries, chaired by the Minister of Planning. USAID has and will maintain close relationships with the President’s Office and the Office of the Prime Minister. Engaging at this level will encourage commitment and ownership from the government for the success of this project. Additional linkages with other parts of the GON such as the High Commissioner for the Haut Commissariat de la Modernisation de l’Etat (HCME) – a Commission responsible for the modernization of the state, and following up on all coordination, monitoring and evaluation, of all actions on this subject with the various Ministries may be necessary. And finally, to ensure the GON’s concurrence/buy-in with this project, USAID will be continue to reach out to the President’s Senior Advisor on Democracy Governance Professor Mahamane Tijani Alou, Dean of the Law and Economic Sciences Faculty, who was essential in providing feedback during the PAD and concept paper consultations on GON governance priorities.

At the level of the National Assembly, consultations suggest potential linkages to members of parliament as actors who are interested and willing to be involved in collective action efforts on targeted citizen priorities, particularly as affects their constituents. Given the National Assembly’s improved performance in recent years; engaging the Parliament is critical to pushing for action and reform on citizen priorities.

Outside of the government, organized civil society, including both non-governmental organizations and associations (per the distinctions in Nigerien civil society law), will be key to this project. Below is a brief explanation of the role these institutions could play in project implementation:

* Research institutions/think-tank units: will conduct the PEA action research for the kick start activity. They will also receive capacity strengthening services required to increase their performance on action research methodology. Further, they may be called upon during the dialogue and multi-stakeholder action efforts as facilitators.
* Political parties: will be important during Phase 1 of this project in efforts to increase decision-makers attention to citizen priorities during the electoral process. USAID met with the main political parties who have expressed an interest and support to be involved in this project.
* Traditional leaders/sultans AND Cultural actors & thought leaders: will be important in ensuring collective action efforts as well as dialogue and will play an important role as well in informing PEA action research on various citizen priority issues.
* Private Sector: The PEA action research may also identify private sector actors involved in informal networks of how things get done in Niger and their involvement specifically on trying to change the enabling environment on citizen priority issues.
* Media: will be essential in both phases of the project especially to inform actors on the PEA action research, to generate dialogue, and then even action and/or advocacy on citizen priority issues. The media in Niger has a critical role to play in informing people in excluded regions and in areas where government actors are less visible.
* Donors: will play their part in facilitating and listening to the outcomes of dialogue activities and supporting some of the measures to be enacted as part of the collective action strengthening.

## Selected Mechanism(s)

1. **Political Economy Action Research Kickstart Activity:**

Before the project starts, PEA action research services will be procured through a purchase order in order to kick start the PRG project. This activity will overlap for a few months with the start of the PRG principal activity and will inform and feed directly into the more detailed work planning of the principal activity.

1. **Local Capacity Strengthening Support Activity:**

Under this one-year award, the local and/or regional contractor(s) shall provide services to carry-out capacity-development activities to public and private actors (local non-governmental organizations, private firms, research/academic organizations et c…) with the goal of increasing the organizational development and institutional strengthening needs of targeted local organizations in Niger.

1. **Principal Participatory Responsive Governance Activity:**

The project design team’s preference is to procure this new five year activity (2015-2020) through a pre-competed mechanism for both Phase 1 and 2, which would cover the proposed objectives and activities explained above. Prior to arriving at this final option, the Regional Sahel Office and Niger Office staff held brainstorming sessions and the Niger Office conducted targeted stakeholder consultations with public and private actors that could potentially be engaged in this project to ask their opinion on the types of organizations in country that could take on such an activity. The feedback received from those inquiries was based on three criteria and questions:

1. Are there any organizations in country, particularly local organizations that have the **credibility** to undertake such a project?

2. Which organizations in Niger currently have the **capacity** to implement such a project?

3. Which organizations operating in Niger have the **convening power** to work on these issues included in this new design?

Unanimously, all organizations stated that they felt a local organization alone would not have the credibility, capacity, or convening power to undertake such an innovative project and that it would be better for an international organization to facilitate or be the main implementer for this new program. These conclusions impacted the final choice of mechanism for the principal participatory responsive governance activity, in favor of a pre-competed mechanism. Further, choosing the option of a pre-competed mechanism enables USAID to start a new program with qualified implementing organizations in the DCHA Bureau that have already competed and implemented these types of governance programs. It also enables us to start a new comprehensive program that addresses the pre-electoral, electoral and post-electoral periods in an integrated, holistic manner.

**Selected Pre-competed Mechanism:**

If an Agreement Officer (AO) determines that the appropriate instrument is one of assistance, the Federal Grant and Cooperative Agreement Act requires that the AO determine whether it is anticipated that there would be substantial involvement between USAID and the recipient during the performance of the proposed activity. This determines the appropriate assistance instrument as follows:

* If the Operating Unit and the AO determine that USAID substantial involvement during the administration of an award is necessary for the achievement of the program’s objectives, then a cooperative agreement is the appropriate assistance instrument.
* If substantial involvement is not anticipated between USAID and the recipient during performance of the proposed program, then a grant is the appropriate assistance instrument.

Given the nature of this particular type of assistance project, a cooperative agreement would be the most appropriate mechanism for procurement. However, the substantial involvement elements inherent to this project will need to be clearly detailed in the scope(s) of work.

The project design team met with the Regional Acquisition and Assistance Office and held phone conversations with USAID/Washington colleagues in DCHA and AFR to arrive at two options of which the project design team eventually narrowed it down to one. Our preferred option for this project is the one listed below, through the Assistance instrument known as the Global Civil Society Strengthening Agreement (GCSS). USAID has already made contact with the AOR who indicated to the project design team that this new project fits within the scope of the GCSS.

The purpose of the GCSS Cooperative Agreement is to offer a Leader with Associates consortium that can provide technical assistance, design, implementation, and evaluation services in support of civil society programming, in presence and non-presence countries. Possible work areas include: enhancing civic participation, strengthening independent media, USAID Program Design and Learning as well as cross-cutting areas such as community mobilization, youth, conflict mitigation, and media outreach.

This description fits well with the overall purpose of this new project and is broad and flexible enough to enable us to work in several areas.

## Management Plan

**USAID/Senegal Mission & the USAID Niger Office**

For regional programming, all project level Assistance and Contract Officer Representatives reside in the Sahel Regional Office at the USAID/Senegal Mission in Dakar. Given that this a bilateral project, however, and due to the high level of local context and coordination needed for an approach to governance programming such as this project will take, the AOR or COR will be field based in Niamey. This follows the current structure of bilateral programming in Niger (e.g. the CEPPS National Assembly Strengthening project, NECS education project, and upcoming YAWWA social entrepreneurship project) for which the AOR/COR is based in Niamey. This person will be responsible for the daily coordination between operating units as well as coordination between other donors, and the Nigerien public and private sectors. The Alternate AOR or COR will be based in Niamey, Niger.

Support services such as Program, Financial, Acquisition and Assistance, and Executive Offices will be provided by USAID/Senegal in Dakar. The USAID/Senegal Mission’s Office of Assistance and Acquisition will be ultimately responsible for the contract or grant given the implementing partner and will delegate duties as necessary and reasonable to the AOR or COR in Niamey and the Alternate AOR or COR.

**USAID/West Africa**

It is envisioned that this project will have linkages with at least two regional projects from the USAID/West Africa Mission in Accra. Therefore, it will be the responsibility of the AOR/COR in Niamey to coordinate with the relevant parties in Accra with copies to relevant staff in Dakar. The USAID/Senegal staff will assist in coordination whenever necessary to maintain collaboration.

1. **Summary Financial Plan, Budget, Resource Requirements and Funds Availability**

The current PAD articulates a 5-year project with a total estimated life of project cost of $17,517,544 which includes currently available funds from FY 12 (bilateral DA) and FY13 (bilateral DA and reprogrammed ESF from South Sudan), and already approved DGP funds for strengthening local capacity (approved under the DGP Action Memo in April of 2014). The remaining funds are expected from the Bilateral (DA), the Washington-based Elections and Political Processes (EPP) and Africa Regional Democracy Fund (ARDF) ESF resources, and possible additional resources from increased regional spending. The resource planning aligns with the implementation of phases 1 and 2 and the initial PEA research start up activity. All resources for the current project have been, or will be in the case of out-year funding, requested under the Governing Justly and Democratically objective of the F framework, with an emphasis on Good Governance and Civil Society program areas. The procurement action will be designed so as to allow an option year/phase under the same implementing partner with the addition of out-year expected resources.

The details of the current and expected resources are as follows:

**PHASE 1 (2.5 years): $4.585 million**

The first three years of implementation will focus on planned PEA research and the implementation of Phase 1 of the project. The funding for $150,000 in PEA will be drawn from FY12 bilateral DA, which is currently obligated in a USAID/WA managed Assistance Agreement. Phase 1 implementation will be funded through $250,000 in FY12 DA, $1.935 million in FY13 DA, an expected additional $2 million in FY14 EPP funds pending approval, and $400,000 in FY14 ARDF/ESF resources. Additional out-year resources (FY16/17) could also be applied to Phase 1 implementation depending on timing and annual work plans. The PD/SOW will be drafted so as to ensure full Phase 1 implementation and realistic achievement of results with the resources that are currently available. Local Capacity Strengthening activities initiated under the DGP award to SNV will also be initiated under Phase I and were approved under a separate Action Memorandum, but are programmatically complementary to other Phase I activities.

The project design plans to undergo an impact evaluation for which funding is expected from DRG center for up to $250,000 with the remainder of the funding coming from PD&L funding in the out years.

**PHASE 2 (2.5 years): $13.15 million**

An estimated $14 million will support Phase 2 programming, based on the assumption that additional resources will become available from bilateral DA increases. Approximately $10,000,000 is expected from FY16/17/18 Bilateral/DA as funding to support Phase 2 implementation, while the remainder of Phase 2 implementation depends on expected increases in FY16 regional spending. Annual work planning and the magnitude of expected results will be adjusted to account for funding received. The project design team envisions the continued implementation of Local Capacity Strengthening activities initiated under the DGP project pending additional SDI resources in the out years.

The cost for objective 6 is expected to be $1,217,456 in which $200,000will be dedicated tothe Program Design and Learning and $1,017,456 to the Administration and Oversight.

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Fiscal Year/Source** | **FY12** | **FY 13** | **Total currently available funds** | **FY 14** | **FY 15** | **FY 16** | **FY 17** | **FY 18** | **Total** |
| **Source** | -Bilateral/DA **$ 400,000** | - Bilateral/DA **$ 935,000**  - Reprogrammed ESF **$1,000,000**  Dev. Grants Program support funds  **$250,000** | FY12+FY13 Bilateral DA/ESF/DGP | - EPP **$2,000,000**  - ARDF/ESF **$ 400,000**  **- DCHA/DRG/Learning $250,000** | $0 | - Bilateral/DA $**2,000,000**  - Bilateral/DA  **$4,000,000** | - Bilateral/DA **$4,000,000** | - Bilateral/DA **$4,000,000** |  |
| **Phase 1** | $250,000 | $ 1,935,000 | $2,185,000 | $ 2,400,000 | $0 | $ 0 | $0 | $0 | **$4,585,000** |
| **Phase 2** | $0 | $0 | $0 | $ 0 | $0 | $ 6,000,000 | $ 4,000,000 | $ 4,000,000 | **$14,000,000** |
| **PEA** | $150,000 | $0 | $150,000 | $ 0 |  |  |  |  | **$150,000** |
| **Local capacity** | $0 | $250,000 |  | $ 0 |  |  |  |  | **$250,000** |
| **Total Funds** | **$400,000** | **$1,935,000** | **$2,335,000** | **$2,650,000** | **$0** | **$6,000,000** | **$4,000,000** | **$4,000,000** | **$18,985,000** |
| **Program Design and Learning** |  |  |  | -$250,000 |  |  | -$100,000 | -$100,000 | **-$450,000** |
| **Administration and Oversight** |  |  |  |  |  | $267,384 | $274,166 | $279,706 | **-$1,017,456** |
| **Total program funds** | **$400,000** | **$1,935,000** | **$2,335,000** | $ 2,400,000 |  | $5,732,616 | $3,725,834 | $3,720,294 | **$17,517,544** |

Green= Funds already available Black= Expected Funding

# Performance Monitoring and Evaluation Plan

The performance monitoring and evaluation plan of the current PAD adheres to USAID/ Senegal Mission Orders on Performance Monitoring (MO203-4-1) and Evaluation (MO203-4-2), and seeks to outline the approach that will be taken to ensure adequate project monitoring, results reporting, and evaluation planning. The principal activity of the PRG project will be managed by an AOR/COR based in the USAID Niger Office. This individual will have primary responsibility for the day-to-day management of the project, and thus the ongoing routine performance monitoring required. USAID/Senegal SRO will provide technical and management support to the Niger Office team, and will conduct periodic TDY site visits to help ensure progress and track results. The implementing partner will likely be required to name an M&E Specialist as key personnel to act as the POC on matters related to performance monitoring and evaluation. This performance monitoring and evaluation plan will serve as a guiding reference for all future activity-level Performance Monitoring Plans (PMPs) to be implemented under this PAD, and will be modified as plans change, budget realities shift, and implementation progresses.

**Monitoring:**

To track output and outcome level project results, the awardee will be tasked at project start-up with taking particular care in developing a PMP that provides the basis for learning and performance management to continuously inform project implementation. The plan will also contribute to the proposed impact evaluation, which is expected to assess the contribution to change at the project outcome level (see more under Evaluation, below). While developing the PMP in collaboration with the project AOR/COR, the implementer will need to pay particular attention to the innovative, adaptive nature of the project given that many of the precise inputs to the principal PRG activity will not be known until the PEA action research is conducted and recommendations made.

The PMP will clearly identify custom outcome and output level performance indicators, coupled with Standard Foreign Assistance indicators as well as targets. Illustrative targets for output and some outcome measures will be included in the Program Description of the award document. Targets will then be finalized during the PMP development process and, in some cases, set once baseline levels have been determined. Measuring progress per these indicators will be will be achieved by a combination of means of verification to be specified by the PMP, such as those suggested in the indicative project Logical Framework in Annex B. This will likely include rigorous baseline, midterm and end line surveys, complemented by secondary data analysis. The project PMP will facilitate ongoing analysis of the project’s theory of change, and guide management decisions related to activity modifications throughout implementation, particularly as PEA action research and related public dialogue events may result in adjusted activity approaches and inputs.

The expected results presented in the Logical Framework are an illustration of acceptable, quantitative and qualitative, measures of program outputs and outcomes. The awardee will further develop the PMP beyond what is presented in this logical framework with the support of USAID/Senegal and USAID Niger Office staff. During the three first months of the project, the successful applicant will be expected to design and conduct baseline data collection, in order to establish pre-intervention beginning values upon which progress will be measured for the program’s outcome and output-level results. Data collection will be repeated per the collection frequency determined for each indicator in order to track progress towards targets . Ongoing performance monitoring costs, including baseline and subsequent data collection activities, will be approximately 5% of the program budget. Results will be formally reported on an annual basis in USAID/Niger’s Performance Plan and Report (PPR), and to the AOR/COR on a biannual basis. A full list of preliminary illustrative indicators for this project is proposed in the annexed indicative Logical Framework, along with a list of illustrative targets per Fiscal Year for the Standard Foreign Assistance Indicators.

**Evaluation:**

***Performance evaluation***

Execution of the PMP for the PRG principal activity will allow the implementing partner to conduct a performance assessment at the end of Phase 1 to determine whether the activity achieved the targets for each of its output, outcome, and project purpose indicators. In keeping with USAID Evaluation Policy, the activity AOR/COR (assisted by the USAID/Senegal Regional Program Office as needed) would be responsible for ensuring data quality and reviewing the results of this assessment per the PMP.

The implementing partner will also be asked to include in the PMP aspects of performance evaluation to assess the nature of actual project implementation, including whether each of the proposed project activities were implemented as designed (i.e., to what extent have project activities been implemented, including timely completion of activities, anticipated use of resources, and actual targeting of planned beneficiaries?). This will aid in understanding why indicator targets were achieved or not, and would also help inform interpretation of the results of the impact evaluation as proposed below.

***Impact evaluation***

Given the innovative nature of this proposed project, the project design team recognizes the value of also developing an external impact evaluation to test the fundamental hypotheses and theory of change embedded in the project design, and to determine whether changes in outcome measures are directly attributable to the project. This aligns with the USAID Evaluation Policy, which requires new and innovative or pilot projects to be subject to impact evaluation and thus the counterfactual analysis needed to determine causality. We also recognize the particular importance of being able to show attributable results in USAID governance programming, and see evaluation of this project as an opportunity to try to prove intervention efficacy. Lastly, an impact evaluation of aspects of the PRG principal activity in its Phase 1 would allow for findings to be applied to improved project design and implementation in the anticipated Phase 2 scale-up. In this way, the impact evaluation will also play an important formative assessment role for the project.

USAID/Niger had been in discussions with the Learning team of the Democracy, Rights, and Governance Center of Excellence in USAID/DCHA about conducting this sort of impact evaluation for the PRG principal activity. Should the DRG Center approve this proposal, the impact evaluation will be managed directly by the DRG Learning team in Washington and they may have co-funding available up to $250,000. Following their standard practice, this means that the Learning team would manage the contract for this work, hiring an independent principal investigator from the academic community to lead the design and implementation of the evaluation. The evaluation questions and precise methodology would be developed in collaboration with the project AOR/COR and the USAID/Senegal Regional Program Office/M&E Specialist in order to adhere as well as possible to the project theory of change and implementation design.

The evaluation design would be finalized in consultation with the principal PRG activity implementing partner, and would need to align with the project work plan so as to ensure that the project implementation timing and geographic targeting for the components under evaluation is conducive to rigorous impact evaluation methodology, particularly as needed to ensure validity. This relates in particular to the ability to isolate project inputs for the outcomes being measured, as well as to establishing equivalent control groups. Furthermore, the Request for Applications or Proposals for the PRG principal activity will note that there may be an impact evaluation of components of the activity and that the implementing partner would need to cooperate to make this possible.

It is anticipated that the impact evaluation would target two or three key, discrete sub-components and target zones of the PRG principal activity. This approach has a number of advantages. First, evaluating different discrete sub-components separately (i.e. in different geographic zones), makes it possible to measure the impact of particular project inputs rather than a package of activities whose respective individual contributions would otherwise be hard to isolate. Second, this also allows us to compare the effectiveness of different inputs. Third, sub-components could also be implemented and evaluated together to measure the effect of the combined packaged if that approach was deemed important to test as part of the theory of change. Fourth, the limited scope of the impact evaluation would allow for the majority of the project that is not under impact evaluation to be flexible and change implementation course midstream as needed without being concerned about affecting the validity of the evaluation. Lastly, the targeted nature of the proposed impact evaluation matches the modest amount of funds likely to be available for this purpose.

In keeping with standard impact evaluation methodology, the central research questions for this evaluation would likely be:

1. Did the activities under evaluation lead to the anticipated results (e.g. did increased public dialogue on citizen priorities during the elections lead to increased responsiveness in political party campaigns)?
2. Can the changes in outcome be explained by the project activities, or did they result from other factors?
3. Do project impacts vary across different categories of intended beneficiaries, geographic zones, or (possibly) specific targeted citizen priority?
4. Are there any unintended effects of the program, either positive or negative?
5. How effective is one targeted activity compared to the others under evaluation? How effective is the combined implementation of multiple key activities in comparison to when they are implemented separately?

Ultimately, the impact evaluation will be used to determine whether the kinds of activities resulting from applied political economy analysis and the support of locally-determined measures for improved governance can contribute to improving the coverage and quality of key citizen public priorities. This kind of learning could make an important contribution to shaping future USAID DG programming not only in Niger but across the agency.

# Analytical and Sustainability Considerations

In 2013 and 2014, USAID conducted over six assessments/evaluations on subject matter areas related to governance/stability informing this new project design. These assessments, in particular the Organized Crime/Conflict, Elections and Political Processes (EPP), and Counter-Violent Extremism Assessments, have contributed to informing this adaptable/flexible, long-term and integrated governance design as well as the selection of ‘citizen priorities*.* These reports and analysis have influenced the approach of this project – which emphasizes the importance of understanding political-socio-economic dynamics on action issues from a political economy analysis (PEA) perspective. Several of the findings and recommendations from the Transnational Organized Crime (TOC)/Conflict assessment were incorporated in this new project design such as the recommendation to “Foster good governance through improving local service delivery and supporting citizen engagement with the government”. We have directly incorporated support “to incorporate local service delivery to improve the perceived efficiency and legitimacy of the Government and address structural factors that create an environment hospitable” to governance challenges i.e. organized crime. In addition, the TOC/Conflict analysis has recommended that “USAID should also help strengthen local community engagement with the government”, and we have taken this recommendation very seriously by ensuring that this new project creates coalitions that include representation from various levels, including the government and civil society on key issues that are locally identified. The TOC/Conflict assessment itself incorporated PEA in its methodology, field questionnaire, and scope of work which included specific questions on governance in Niger.

In October 2013, USAID/Niger began a phased stakeholder consultation process with representatives in the Government of Niger, international and local civil society organizations, donors, academic and think tank institutions, as well as USAID implementing partners. Our methodology used for these consultations has included ‘written’ questions informed by PEA analysis and PEA information shared with USAID Niger from USAID/DCHA/DRG/Integration Team - which asks open-ended questions on governance issues. These in-depth consultations led to the formation and revision of ideas exposed in this concept paper; collaboration with the World Bank on their new public administration project; and buy-in from the Government of Niger.

Since this project is an integrated and cross-sectoral governance/stability program, USAID Niger conducted additional outreach and analyses during the PAD design process through focus group discussions and outreach in rural areas of Niger. Additional consultations occurred with: grassroots organizations; current ‘champions of reform’, civil society organizations, and GON actors, political parties, National Assembly political party caucus leadership; Ministry of Interior, academics etc…

**Additional Meetings held in the PAD Design Process:**

Summaries of these meetings can be found in two trip reports, cable reporting from post (elections cable, civil society cable, and staffdel reporting cable), and summary notes drafted in the field (political reporting). Overall, these meetings provided new critical information that have further informed this PAD in several ways: providing additional specific updates on electoral preparations; contextual background and socio-economic and historical information critical to understanding Niger’s democratic trajectory; and important specific elements and information which have informed our thinking of the use of mechanisms as well as specific interventions sought through this new responsive governance project.

Below is a summary of the three mandatory analysis (sustainability, gender, environmental) conducted for the PRG project:

**Sustainability Analysis**

This project is considered *partially sustainable* for several reasons. The project will begin with a political economy analysis (PEA) that will determine the willingness of the government, civil society, and political party actors to affect change and also uncover dynamics that govern relations between the various actors. A critical assumption is that by taking the dual directional approach, citizen confidence in government and government’s responsiveness to citizen priorities will both increase. However, the results of this approach depends on identification of the key issues that will allow all parties to work together without causing greater fissures in interests, are economically and socially sustainable, and can result in real policy changes that amount to improvement of public services and support from the central government.**[See Annex G for the full *Sustainability Analysis.*]**

**Gender Analysis**

Niger ranks very low on almost all development indexes, especially in regards to gender equity. Though women have nearly equal rights on a number of fronts legally, they fail the ability to fully reach this potential due to high illiteracy rates, and in some regions and ethnicities, due to cultural norms. The women of Niger also perform the majority of household and child-rearing duties, thus leaving less time to become fully politically engaged on priority issues. Therefore, it will be important to use the radio as a key information sharing tool and to specifically focus on participation of women in PEA and identifying key action issues.

It will be critical for the implementing partner to really focus on gender equity and female empowerment when programming for this award, especially because the outcomes are expected to have lasting impact on policies and public administration for the Government of Niger. **[See Annex G for the full *Gender Analysis.*]**

**Initial Environmental Analysis**

All projects funded by USAID must conform to US environmental regulations under 22 CFR 216 requiring evaluation and action to ensure that significant environmental impacts are prevented or mitigated. The purpose of this IEE, in accordance with 22CFR216, is to provide the first review of the reasonably foreseeable effects on the environment, as well as recommended Threshold Decisions, for the *Participatory, Responsive Governance in Niger* (PRG) Project. Although the action plans for the sub-grant activities under Phase 2 have not been identified, there is potential that the implementation of these action plans, depending on the sector and nature of the activity, could directly impact the environment. Appropriate mitigation conditions will be required for any action plan involving the implementation of activities in the areas of natural resource management, agriculture, service delivery (including water, sanitation, transportation, land development and electricity), or other activities having a direct impact on the bio-physical environment. **[See Annex G for the full *Initial Environmental Analysis.*]**

Participatory, Responsive Governance in Niger

Project Appraisal Document Mandatory Annexes

ANNEX A: Niger Democracy, Governance & Peace Development Objective Results Framework

ANNEX B: Logical Framework

ANNEX C: Expanded Project Description

ANNEX D: Financial Plan and Detailed Cost Estimate

ANNEX E: Implementation Schedule

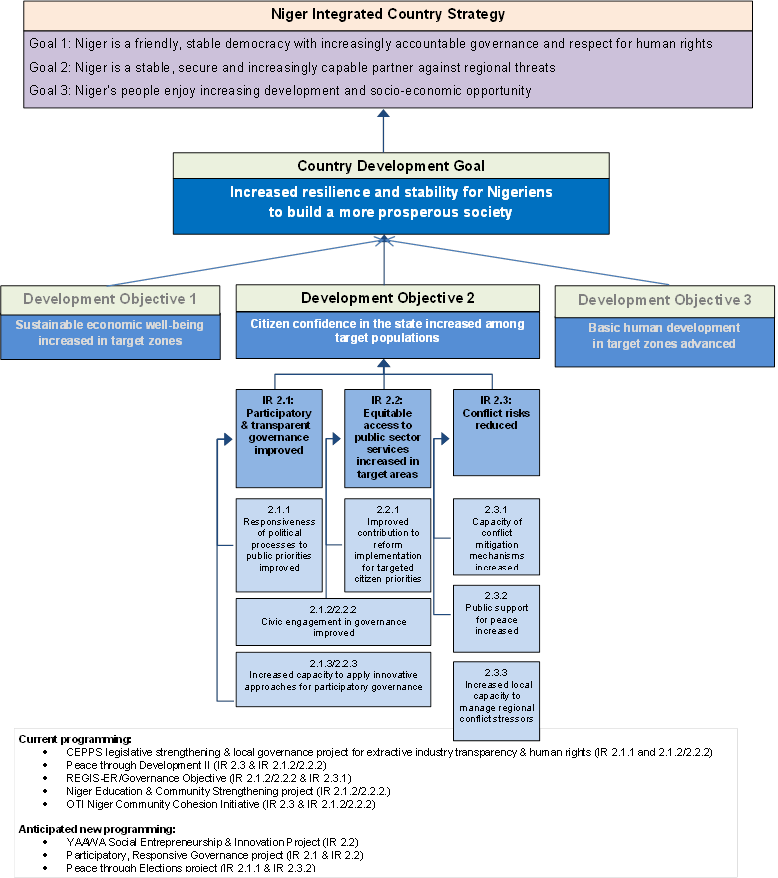
ANNEX F: Monitoring and Evaluation Indicators

ANNEX G: Required Analyses – Gender, Sustainability, IEE

ANNEX H: Pre-obligation Requirements

ANNEX I: Resolution of Concept Paper Issues

## ANNEX A: Niger Democracy, Governance & Peace Development Objective Results Framework



## ANNEX B: Logical Framework

**Niger Democratic Governance Development Objective Topline Results Logframe**

|  |  | **Narrative Summary** | **Objectively Verifiable Indicators** | **Means of Verification** | **Important Assumptions** |
| --- | --- | --- | --- | --- | --- |
| **Country results framework (development hypothesis)** |  | **Niger Development Objective 2** | | | |
| **Citizen confidence in the state increased among target populations** | % citizens who feel that government is addressing their priority concerns  % citizens reporting confidence in democratic processes | Project-administrated baseline & end-line survey of citizens  World Bank’s Worldwide governance indicators (WGI) report/aggregated index score | No major security incidents and/or extra-electoral change of government (coup d’état, etc.) occurs during the intervention period  Implementation of USAID, government and other donor interventions contributing to the goal are met |
|  | **Niger DO2 Intermediary Results** | | | |
| IR 2.1: Participatory governance improved | Diversity of participants in governance process (per type of services) at the national, regional, local level  Level of participation in the political process | Records at national, regional, local level reporting on meetings with diverse participants  Survey questionnaire on political parties and civic engagement | Existing and projected USAID interventions executed as planned; existing and projected interventions of other donors executed as planned |
| IR 2.2: Equitable access to key public sector services (e.g. security, agriculture, education, health, TBD) increased in target areas | % citizens in targeted communities successfully accessing key public services per type targeted | Project-administrated baseline & end-line survey of citizens  3rd-party metrics (GON, World Bank, etc.) on service availability | Existence of political will for adoption and implementation of social reforms in the government |

**Niger Participatory, Responsive Governance Project Logframe**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Project results framework**  **(project’s manageable interest)** | **If Outputs, then Purpose**  **If Inputs, then Outputs** | **PROJECT PURPOSE (central result to be produced by and attributable to the project)** | | | |
| Improved collective (government and citizen) responsiveness to priority public needs | % citizens reporting satisfaction of public services related to citizen priorities targeted by the project.  % citizens reporting perceived conscientiousness of citizens & government (central & local) | Project-administrated baseline & end-line survey with additional questions as needed  Records indicating meetings and citizens’ satisfaction of public services | Communication on elections and key reforms to increase citizens awareness of elected official responsiveness and public engagement around priority public needs |
| **OUTCOMES (resulting impact of project outputs)** | | | |
| Political party campaigns are more responsive to priority public needs | # of issue-based public interest proposals in the campaign platforms of targeted political parties  % of women and youth holding decision-making roles within political party organizations  % citizens reporting confidence that political parties are more responsive to their priorities as compared to past elections | Project-administrated tracker  Political party office rosters  Post-election project-administrated survey of citizens  When possible, post-elections surveys from 3rd parties (AfroBarometer, INR, etc.) in comparison with past survey data on citizen confidence in elected officials | Political parties remain willing to engage on dialogue around citizen priorities despite current electoral conflicts  Citizens will be sufficiently aware of the targeted changes in political party responsiveness |
| Increased multi-stakeholder (government, non-government, donor, etc.) contribution to improved public good provision for targeted citizen priorities | # of targeted public decisions introduced, adopted, repealed, changed or **implemented** consistent with citizen input [SFA indicator]  Specific metrics of implementation improvement as established by the project with core advisory input (from GON, World Bank, CSO etc.) for each targeted citizen priority  Functional accountability mechanisms introduced that enable citizen feedback and government response in targeted geographical areas | Project-sponsored data collection conducted by collective action group actors & reviewed by project implementers  Review of Government and National Assembly documents  Implementer reports on effective activity and number of accountability mechanisms | Reform implementation improvements will be sufficient to have a positive effect on citizen perceptions of government and civil society responsiveness to public needs  Public sector actors maintain engagement/commitments on targeted citizen priorities regardless of 2015/2016 elections  This project complements effective implementation of the new $40 million World Bank program |
| Increased capacity of key actors to promote participatory governance | % of CSOs perceiving that PEA action papers are influencing governance practices  % of CSOs perceiving that journalists investigative reporting and cultural artists messaging are influencing governance practices | Surveys | Proven capacity of this set of key actors will contribute to increased participatory governance in the future |
| **OUTPUTS (the project’s tangible achievements)** | | | |
| ***Contributing to Outcome 1: Increased citizen confidence in elected leaders regarding responsiveness to priority public needs*** | | | |
| * 1. Multi-stakeholder dialogue on electoral accountability in response to citizen priorities | # of multi-stakeholder dialogue events held on electoral accountability | Implementer reports on multi-stakeholder dialogue events | Stakeholders find issues discussed relevant and keep high level of interest and commitment to multi-stakeholder dialogue events on citizen priorities. |
| * 1. Increased understanding of political parties regarding their constituents’ public priorities | % of political parties that have platforms reflecting citizens’ priorities deriving from debates  % political party leaders scoring “understanding” in surveys | Implementer analysis of platforms on multi-stakeholder dialogue events  Political party leadership surveys |
| * 1. Increased non-governmental actor engagement to promote the responsiveness of political parties to citizen priorities | % of targeted NGOs formally engaging political parties on citizens priorities | Surveys with NGOs |
| * 1. Increased media coverage of citizen priorities as relates to the elections | % change in the number of articles and sessions produced by the media that address citizens priorities during the electoral campaign | Project-administered tracker using representative sampling methodology |
| ***Contributing to Outcome 2: Improved multi-stakeholder (government, non-government, donor, etc.) contribution to specific elements of reform implementation for targeted citizen priorities*** | | | |
| * 1. Public dialogue on targeted citizen priorities increased | # of consensus building forums (multi-party, civil/security sector, and/or civil/political) held with USG Assistance [SFA Indicator]  # of USG-assisted consensus-building processes resulting in an agreement [SFA indicator]  Level of participation in public dialogue events on targeted citizen priorities  Diversity of participants in public dialogue events | Project-administered tracker of public dialogue events nationally and locally related to the targeted citizen priorities  Lists (with basic background info) of key interlocutors for media-only events; log of call-in participants for live media events; audience tracking polls for broadcast media events  Monitors in attendance at in-person events surveying representativeness of dialogue participants | Receptivity of public authorities and citizens for public dialogue on the targeted citizen priorities |
| * 1. Increased stated commitment of targeted actors to take collective action on targeted citizen priorities | % of targeted actors making public statements of commitment to take action on issues following public dialogue events | Project-administered tracker of commitments made | Willingness of public authorities to engage with citizens/CSOs and other actors, and vice-versa, to address and tackle key public services needs |
| * 1. Availability of information on targeted citizen priorities increased | % change in media stories, articles, columns and/or broadcasts addressing the targeted citizen priorities | Project-administered tracker of media coverage using representative sampling methodology | Interest and willingness of media to report on the targeted citizen priority issues |
| * 1. CSO/citizen advocacy on targeted citizen priorities improved | # of advocacy initiatives carried out by CSOs or influential individual citizens on the targeted citizen priorities  % citizens reporting the perception that CSO/citizen advocacy on targeted citizen priorities is effective  % of public sector actors and political party representatives reporting that their response to targeted citizen priorities was due in part to CSO/citizen advocacy | Project-administered tracker of advocacy initiatives  Project-administrated baseline & end-line survey of citizens | CSO/citizen advocacy capacity is sufficiently supported via the project-provided technical and financial assistance |
| * 1. Increased contributions to public sector actor (legislature, central gov’t, judicial, local gov’t) measures enacted to improve the targeted citizen priorities | Solutions enacted, e.g. positive incentives or sanctions created in legislation, government policy, or government/administrative practice; ICT-based mechanisms implemented, etc.  % of action taken by public sector actors account for citizens’ input | Project review of government records (on legislation, policy, regulation, procedural guidelines, decrees, initiatives, etc.) related to the targeted citizen priorities  World Bank tracking of related government action related to the targeted citizen priorities | World Bank and other international partners execute sufficient support of government-side actions as currently planned  Project period is long enough for typical timeline for concrete government actions  Public sector actors maintain engagement/commitments on targeted citizen priorities regardless of 2015/2016 elections |
| * 1. Increased non-governmental (NGO/CSO, citizen, traditional leader or private-sector, etc.) measures enacted to improve the targeted citizen priorities | # measures enacted, e.g. positive incentives provided by citizens or other local actors, ICT-based mechanisms implemented, cultural works developed, traditional leader interventions, etc.; | Project tracking of non-governmental action related to the targeted citizen priorities  3rd party reports of actual implementation of the non-governmental solutions | Non-governmental actor solutions are sufficiently coordinated with public sector solutions for the same targeted citizen priorities |
| * 1. Accountability mechanisms strengthened or established on targeted citizen priorities in targeted geographical areas | # of targeted mechanisms (informal and formal) strengthened per citizen perceptions of accountability | Pre & post focus groups to access citizens perceptions of accountability mechanisms | The PEA Action Research uncovers informal or formal accountability mechanisms in the target areas that could be strengthened or created |
| ***Contributing to Outcomes 1 and 2: Increased citizen confidence in elected leaders regarding responsiveness to priority public needs*** | | | |
| * 1. Locally grounded analysis providing recommendations for action regarding responsive elections and targeted citizen priorities | # of recommendations for rendering elections more responsive to citizen priorities  # of recommendations for how different actors can enact measures to address targeted citizen priorities | PEA action research briefers and reports | Interest and political will is sufficient for research findings to be taken up by collective action groups to inform actions such as those listed below |
| ***Contributing to Outcome 3: Increased capacity of key actors to promote participatory governance*** | | | |
| * 1. Local research entities (think tanks/research firms, university units, NGOs, government units, local consultants, etc.) are able to conduct PEA-based action-research to inform public sector reform | # of entities trained in PEA-based action research who have successfully conduct PEA-based action research | Project-administered tracker of resource entities who have conducted PEA-based research with findings presented to the GON/and/or publicly | The training in and experience of conducting this PEA-based action research as part of Component 1 will be sufficient to solidify their capacity to conduct such action research in the future |
| * 1. Targeted actors have increased capacity in new measures to promote coverage and quality of public goods | % increase in technical capacity assessment scores of targeted actors | Pre- and post- administration of technical assessment tools |  |
| * 1. Media are more effective in facilitating public dialogue and providing reliable information on governance/civic engagement issues | # of media-sponsored public dialogue on governance issues  # of articles, broadcasts, SMS-based information sharing initiatives on governance issues  # of investigative reports on governance issues citing objectively verifiable facts and/or reliable sources  Citizen and public official perception of fairness of investigative journalism in Niger | Afro Barometer survey results on citizen perception of media in Niger  Project-administered tracker of media coverage and public dialogue events/broadcasts using a representative random sampling strategy  Monitors in attendance at in-person events surveying representativeness of dialogue participants | The training and experience provided via the project will be sufficient to solidify the targeted media’s capacity better facilitate public dialogue and provide reliable information on governance/civic engagement issues in the future |
| * 1. Increased organizational capacity of targeted non-governmental entities | Average % increase on Local Organizational Capacity Assessment pre & post scores [SFA customized] | Pre- and post- organizational capacity assessments |  |
| **INPUTS (activities and types of resources)** | | | |
| ***Contributing to Outcome 1: Increased citizen confidence in elected leaders regarding responsiveness to priority public needs*** | | | |
| * 1. Technical and financial support to sponsor multi-stakeholder dialogue activities on the findings of the PEA action research to address citizen priorities in the elections | PRG Principal Activity Implementing Partner (IP) expertise and administrative time to provide technical assistance | Project technical and financial tracker/reports  Activity reports and participant lists |  |
| * 1. Technical support to political parties to be more inclusive and responsive to the priorities of their party members and targeted voters, including marginalized populations | PRG Principal Activity Implementing Partner (IP) expertise and administrative time to provide technical assistance  # of political parties & groupings (coalitions) receiving USG assistance to help them develop more programmatic platforms and policy agendas [SFA indicator]  Total USD amount of direct project-financed activities (fora, etc.)  Total USD amount of sub-grants awarded for related activities | Project technical and financial tracker/reports  Project training reports  Activity reports and participant lists | This direct engagement with political parties will be sufficient motivation for them to change their party organization and campaigning practices, despite influential financial and other incentives to continue with current practices of non-issue-based campaign financing and vote buying |
| * 1. Technical and financial support to activities led by civil society, traditional and religious leaders, artistic and cultural leaders, etc. to promote the responsiveness of political parties to citizen priorities and citizen engagement in these discussions | PRG Principal Activity IP expertise and administrative time to provide technical assistance  Total USD amount of direct project-financed activities (fora, etc.)  Total USD amount of sub-grants awarded for related activities  # of civil society entities receiving USG assistance working on elections | Project technical and financial tracker/reports  Project training reports  Activity reports and participant lists |  |
| * 1. Technical and financial support to media to focus national debate on the elections on citizen priorities | PRG Principal Activity IP expertise and administrative time to provide technical assistance  # of journalists trained with USG Assistance, [SFA indicator] | Project technical and financial tracker/reports  Project training reports  Activity reports and participant lists |  |
| ***Contributing to Outcome 2: Improved multi-stakeholder (government, non-government, donor, etc.) contribution to specific elements of reform implementation for targeted citizen priorities*** | | | |
| * 1. Technical and financial support to sponsor continued multi-stakeholder dialogue activities to promote evidence-based collective action t**o** address citizen priorities | PRG Principal Activity IP expertise and time  Total USD amount of direct project-financed activities (fora, etc.) | Meeting minutes  Fora reports, participant lists |  |
| * 1. Provide targeted technical assistance and sub-grants to civil society, traditional leader, private sector, media and other engaged actors to support multi-stakeholder collective action measures | PRG Principal Activity IP expertise and administrative time to provide technical assistance (e.g. coaching)  Total USD amount of sub-grants awarded  # of awards made directly to local organizations [SFA]  # of people trained: governmental actors, non-governmental actors | Project technical and financial tracker/reports  Project training reports | Technical and financial assistance provided by the project is sufficient for implementation of the action research recommendations |
| ***Contributing to Outcome 3: Increased capacity of key actors to promote participatory governance*** | | | |
| * 1. Provide technical assistance and sub-contracts to local entities (think tanks/research firms, university units, NGOs, government units, local consultants, etc.) to conduct action research based on political economy analysis on each of the targeted citizen priorities [PEA Action Research Activity] | PEA Action Research Contractor expertise and administrative time to provide technical assistance on PEA-based action research  Total USD amount of sub-contracts awarded  # of awards made directly to local organizations [SFA] to conduct PEA-based action research on the targeted citizen priorities | Political Economy Analysis Action Research Activity contract & reports | Successful implementation of technical assistance and sub-contracts planned by the implementer and adoption of the PEA approach by beneficiaries |
| * 1. Technical support to media to investigate and cover issues of governance and citizen priorities more generally [complements Inputs 1.4 and 2.2] | PRG Principal Activity IP expertise and administrative time to provide technical assistance  # of journalists trained with USG Assistance, [SFA indicator] | Project technical and financial tracker/reports  Project training reports  Activity reports and participant lists |  |
| * 1. Provide additional technical capacity strengthening assistance and new tools if necessary (per initial diagnostics) to other key actors (non-media) such as artists/cultural thought leaders, civil society actors, and entrepreneurial governmental actors in order to help promote constructive collective action and participatory governance systems more generally [complements Input 2.1] | PRG Principal Activity IP expertise and administrative time to provide training and any other technical assistance  # of other non-state actors trained on receiving small grants to promote public reflection and dialogue on citizen issues | Project technical and financial tracker/reports  Project training/coaching reports  Activity reports and participant lists | This project-provided assistance will be sufficient to improve targeted actor capacity and practice in these areas |
|  |  | * 1. Provide organizational development training and coaching to local entities [Local Capacity Strengthening Activity] | LCS Contractor expertise and administrative time  # of organizations receiving capacity strengthening | Local Capacity Strengthening Activity contract & reports | This project-provided assistance will be sufficient to improve targeted organization organizational capacity |

## ANNEX C: Expanded Project Description

**Contextual Background**

Niger is the archetypal fragile state. Arid and landlocked, it has featured among the world’s poorest countries for decades, and regularly holds the final position in the UNDP’s Human Development Index. Niger’s economic base is weak, it’s mainly rural population being overwhelmingly reliant on rain-fed agriculture and exposed to erratic weather consisting of periodic droughts coupled with devastating floods. The state’s revenues from uranium production, though somewhat mitigating the paltry tax base in the agriculture sector, have been very modest – ranging between $90 to $140 million per year in 2010 to 2012 – or approximately 5 percent of Niger’s national budget – and expose the government to market price fluctuations. Uranium mining has also cemented Niger’s dependence on the former colonial power, France, whose state-owned energy company Areva has been the dominant investor in the sector. Closely linked to French interests in uranium mining, French assistance has historically propped up successive Nigerien governments. Oil production began in 2012, though oil revenues will for the foreseeable future largely go into paying back Chinese loans.

The economy’s structural weaknesses have profoundly shaped the Nigerien state and its governance patterns. Given the state’s limited resources, many Nigerien citizens’ encounters with the state have been with its security apparatus, especially in the north, rather than with efficient and quality services in sectors such as education, health, or energy. Politics and state institutions largely outside the reach of the broad majority of the population have been captured by a small elite straddling business, the administration, and the military. Corruption has been at the very core of this governing system. Rivalry among elite networks over the award of licenses, contracts, and credit lines has fuelled competition among and within the main political parties, and has on several occasions led to political and institutional blockages. The coups d’état toppling successive governments in 1974, 1996, 1999, and 2010 underline both the weakness of state institutions, and the army’s continued self-perception as the guardian of the state. In the north, a state whose presence had been largely reduced to its security apparatus faced a broad-based rebellion from the Tuareg and Tubu from 1990 to 1995. A second, narrowly-based Tuareg rebellion from 2007 to 2009 was more short-lived, though it did serve as a reminder of the state’s tenuous control across Niger’s vast northern areas.

Lack of resources and structural governance deficits combine to erode state legitimacy in the eyes of the population. For example, there is widespread frustration over the inadequacy of the education and health systems, whose facilities often insufficiently cover cities and territory, and are in desperate lack of equipment. The sustained power cuts in Niamey in mid-2013 also underlined the inadequacy of public infrastructure and service provision. Where the state cannot deliver, space opens up for alternative providers – such as the Koranic schools in the domain of education – further diminishing the role of the state in people’s daily lives. The inability of the state to meet population needs is not only undermining support for the current administration, but also for democracy in general, which many people describe as “not working.” Similarly, an increase in threats emanating from outside Niger has led to a greater militarization of the northern region of Agadez, reinforcing some of the grievances that led to the 1990s’ rebellion. Both of these concerns challenge the overall state-building process and facilitate an environment in which future coups or rebellions are a concern.”[[7]](#footnote-7)

**Specific Governance Challenges**

Lack of meaningful citizen representation through current electoral democracy processes and decentralization: USAID focus groups discussions during the Transnational Organized Crime and Conflict as well as Counter Violent Extremism Assessments suggest that a significant number of Nigeriens, including men and women of all ages, believe that ‘democracy is not working in Niger’ and that ‘democracy has made things worse’. Many say that democracy only benefit those in power and excludes others. One Nigerien stated: *“If you have connections, you can get by but if you do not - forget it democracy will do nothing for you.”* These feelings of exclusion leave the space open for actors, including the military and extremist elements, to contest the system through non-democratic means. In a country with a long history of military coups d’état, this is a real concern.

Troubled electoral periods without meaningful participation or responsiveness to citizen priorities: While Niger’s next elections start in late 2015, the elections season has already begun. This is evident in many ways: high-level wrangling over National Assembly leadership, recent acts of violence against both ruling and opposition party offices and residences, opposition party member arrests and protest marches, the recent appearance of campaign posters in major towns. In the past, political parties and actors have used the election period to mobilize youth and women to serve as their foot soldiers either in support of their candidacy or to discredit competitors. There are already signs that this is happening again now. Politicians often provide youth with money, or promise of future benefits in return for acts of violence, intimidation, or disruption of competing protests and rallies. The exploitation of youth and women for political intimidation is especially important because the engagement of one political party tends to trigger counter actions by youth and women of the opposing party. The tit-for-tat nature of this violence coupled with the failure of election campaigns to give real credence and decision-making power to youth and women within the parties or to constructively address citizen priorities in party platforms could trigger more widespread violence, including by citizens challenging results gained through intimidation and violence. The latter could also trigger a military coup.

Democratic “dividends” in terms of better public services and government efficiency not yet apparent: President Issoufou has garnered international support and demonstrated political will to address reforms and was elected on a campaign platform of anti-corruption and improvement of basic service delivery. However, he has yet to make good on these promises. His own administration has been plagued with reports of corruption and incompetence that have contributed to the reshuffling of government as well as political tensions adding to the political deadlock. These unmet expectations are creating grievances. In order for Nigeriens to believe that the democratic system can work, efforts are required by this administration and others to turn promises into reality.

Insufficient state presence and demographic pressures: The Nigerien population has expressed discontent with the government’s service delivery with particular references to inadequate education and social justice, lack of employment opportunities, and corruption. The recent USAID Transnational Organized Crime/Conflict Assessment and the Counter Violent Extremism Assessments in Niger underscore that community members’ sense that the local government officials were not representative or responsive to their needs. Significant and rapidly increasing demographic pressures adds to the state’s struggle to keep up with these needs. Niger’s population growth rate is among the highest in the world. Between 1980 and 2010, Niger’s population increased almost threefold from 5.8 to 15.9 million. Investment in basic services and job creation will most certainly continue to lag behind the population growth.

Culture of corruption and impunity fueled by identity politics and opportunism: National-level political party wrangling and political affiliations of civil servants from the highest to the lowest levels of public administration and decentralized government drive much of the informal systems and incentives guiding the choices and behavior of public servants, elected officials, many civil society actors and citizens alike. Under the current system, this maneuvering for personal economic interest takes attention away from effective execution of reforms and development strategies and initiatives in Niger. In addition, Niger has been plagued by corruption scandals during this administration including actions by high-level government officials implicated in organized crime that are tolerated by the state apparatus.

Organized crime, erosion of state authority and state complicity: The GON lacks engagement on organized crime (trafficking and youth gangs). Although organized crime is more pronounced in some regional areas (Agadez, Zinder); the government response to both manifestations of organized crime is ineffective. In both instances, there are serious allegations of senior public administration actors (politicians, police and military officers) being complicit for their own gain from these activities. In the north, some government officials allegedly gain financially from the trafficking – ranging from bribes paid to security officials to turn a blind eye or facilitate trafficking to political campaign contributions at the highest level from prominent businesspeople/traffickers. In the south there are allegations of politicians using youth gangs to intimidate supporters of their opposition.

**Overview of the Development Problem**

Following months of consultations with Nigeriens of all kinds from the national to the very local levels, as well as analysis of 2013 Afrobarometer data on governance and civic engagement in Niger, we conclude that citizens' concerns come down to 1) coverage and quality of public goods and services (in particular health, education, water, and support to food security and socio-economic inclusion; equitable and fair access to jobs; effective state response to particular challenges of natural disasters and population inflows; and other government functions such as justice and community security/policing), and 2) the responsiveness of political processes, particularly elections, to citizen priorities (particularly the most marginalized with regard to youth, gender, geographic location, poverty and lack of kinship and political ties to those in government). Together, these unmet citizen expectations have led to what Nigeriens call a *crise de confiance* or 'crisis of confidence' between citizens and the state.  
  
With local and national elections scheduled for 2015/2016 and only two years remaining for the implementation of the national Economic and Social Development Plan (PDES, Plan Developpement Economique et Social), the Government of Niger is facing growing pressure to accelerate reform  
implementation and deliver measurable results to the population.  At the same time, opposition parties currently in parliament and preparing for the next election cycle are striving to make the case that they can do better. There is a window of opportunity to address concerns of citizens through the electoral process that can then provide a path to supporting the effective implementation of public sector reforms to successfully address those concerns.  
  
In fact, the Afrobarometer just released data from its 2013 survey which focused on the theme of Democracy and Governance and has information on citizens' attitudes towards the governments and priorities regarding public service provision.  The data is nationally representative for  
Niger and reveals that the vast majority of average Nigerien citizens express that regardless of who is in power, the President should obey by laws, opposition parties should work collaboratively with the  
administration, and leaders should not favor their own group of origin to the detriment of the country. Moreover, the most important thing Nigerien democracy should provide according to citizens are public  
services and economic development.  Surveys reveal a widespread belief that a democratic government ought to ensure universal employment, shrink the income gap, and provide necessities such as food, clothing, and housing.  Further, respondents identified food insecurity, social exclusion, health as the main problems in Niger and they feel that the government can and should provide solutions.  This is significant because it reveals the most urgent problems citizens themselves have identified - which they believe are important to democracy and stability in Niger.  Further, it demonstrates that investments in development and more particularly in social service sectors such as food security, agriculture, health, and education go a long way to changing and more importantly shaping citizens' perceptions and attitudes towards their society.  
***Elections & political processes and civic engagement***

Increasing citizen participation in formal political processes and civic engagement in a more entrepreneurial and relational way with regard to government and civil society actors will be critical in the run up to the scheduled 2015/2016 elections and beyond in order to create more meaningful, broad-based participation and constructive citizen action. Participation in political processes means that citizens engage actively and make decisions in electing their leaders and representatives at the national, regional and local level – including the President, members of Parliament, mayors and municipal councils, and regional council members. Participation also means that there are mechanisms to facilitate interaction between citizens and elected officials (such as through the citizen *cadres de concertation* groups liaising with the town councils as allowed for under the new decentralization law). Civic engagement means citizen actions in governance through the voluntary, open processes supported by international donors for local development planning, budgeting, and monitoring of program execution and service delivery; as well as individual citizen-driven initiatives to address community needs and aspirations (i.e. social innovation and entrepreneurship) AND advocacy efforts through formal and informal channels to inform, influence and promote public reforms, government programs, and action from other citizens. While Niger has nearly 15 years of experience with electoral democracy and a relatively well-developed, civil society, participatory governance in the country is still quite new and these systems are rife with the same clientelistic tendencies as public administration. The clientelistic nature of political processes, including both elections and the functioning of the elected bodies at the national and decentralized levels (National Assembly and city/regional councils), is in many ways at the heart of Niger’s governance challenges. The power of political parties and the complex systems of party financing, party alliances, and pay-back obligations drive everything from ministerial appointments, to falsified primary school exam results, to complicity in organized criminal activities, particularly smuggling. At the same time, civic engagement in governance and issues of public interest could be stronger and itself better focused on finding ways of directly achieving citizen priorities, whether through organized public processes (e.g. participatory planning and budgeting); advocacy; or direct, citizen-led actions.

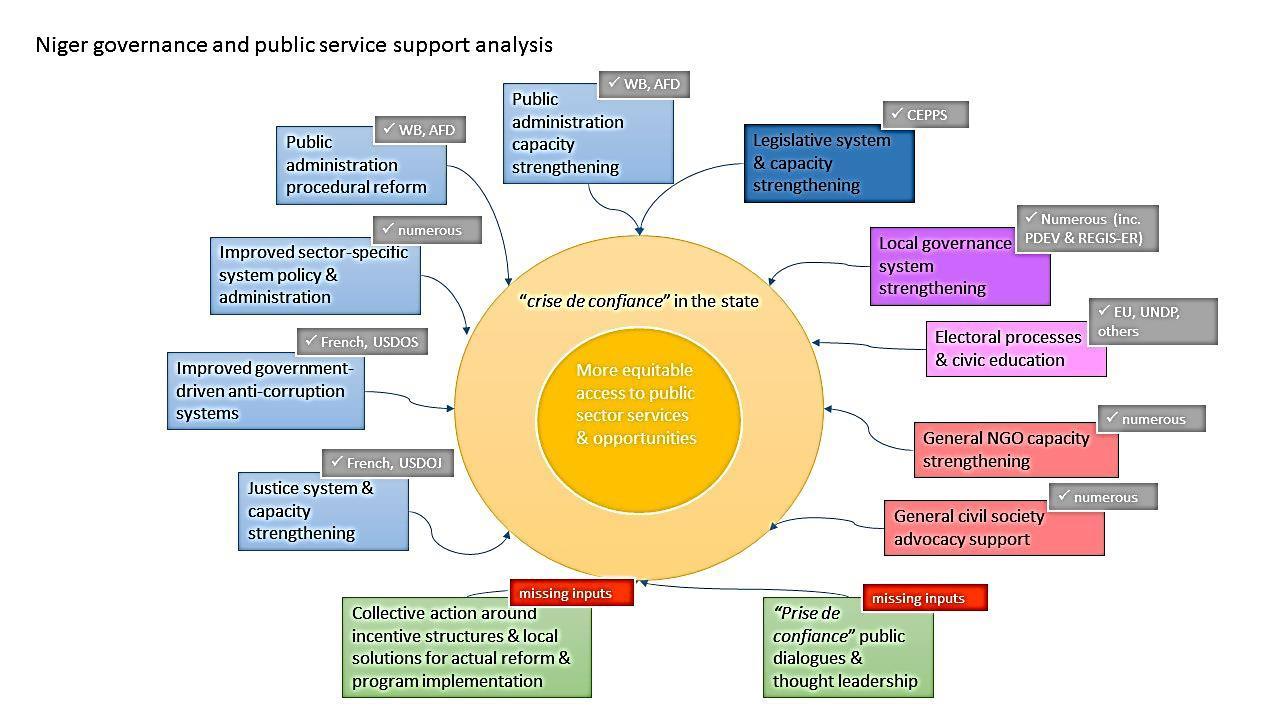
***Public administration and equitable service delivery: A “collective action problem”***

With regard to public administration and service delivery, a country as poor as Niger – particularly in light of explosive population growth – clearly suffers from insufficient financial resources, one of the most critical factors limiting the state’s ability to execute its responsibilities. Also fundamental is the underlying problem of inefficient public administration processes, and in many cases low human resource capacity within government, leading to fundamental obstacles such as low budget execution rates, considerably limiting the use of the funds Niger does have.

However, it must also be acknowledged that problems related to the equitable provision of quality public goods are hardly an issue of limited resources alone. The truth is that Niger possesses far more resources than are being used for the benefit of the majority of average Nigeriens – whether these resources come from the country’s important extractive industries, other national treasury funds, or international donor investments. Instead, public resources at all levels in Niger are commonly used by government officials, politicians and private citizens as well for private/clientelistic and political gain. This includes both what is often classified as “petty corruption” – exacting and paying bribes for public services or through abuse of public servant authority – and “grand corruption” – embezzlement of public funds. At the same time, it also includes other dynamics revolving around political alliances and related enrichment schemes. Even when public administration policy and processes exist on the books with the intent of protecting public resources, informal dynamics of clientelism and nepotism serve the interests of those who hold elected, assigned, commercial and/or traditional power and those who have connections with these sources of power. In this way, these dynamics serve to redistribute resources in a limited way through political and kinship networks, but ultimately they end up leaving the vast majority of citizens outside of the game.

**Development Hypothesis and Approach Rationale**

There are many different ways of approaching governance reform to improve coverage and quality of public services and to ensure that these improvements respond to the priorities of average citizens. Currently, the vast majority of existing and planned government and donor-supported initiatives in Niger are addressing the governance development problem through improved procedural/regulatory/ technocratic measures and systems in public administration and finance; capacity strengthening of government and civil society actors at the central and local levels; support to improving judicial responses to enforce the laws and regulations; and some participatory approaches for results-based planning and management, particularly at the local government level. The diagram below represents the different pathways to improving access to public services and opportunities from the perspective of better governance, and the international agencies that are already supporting related initiatives.

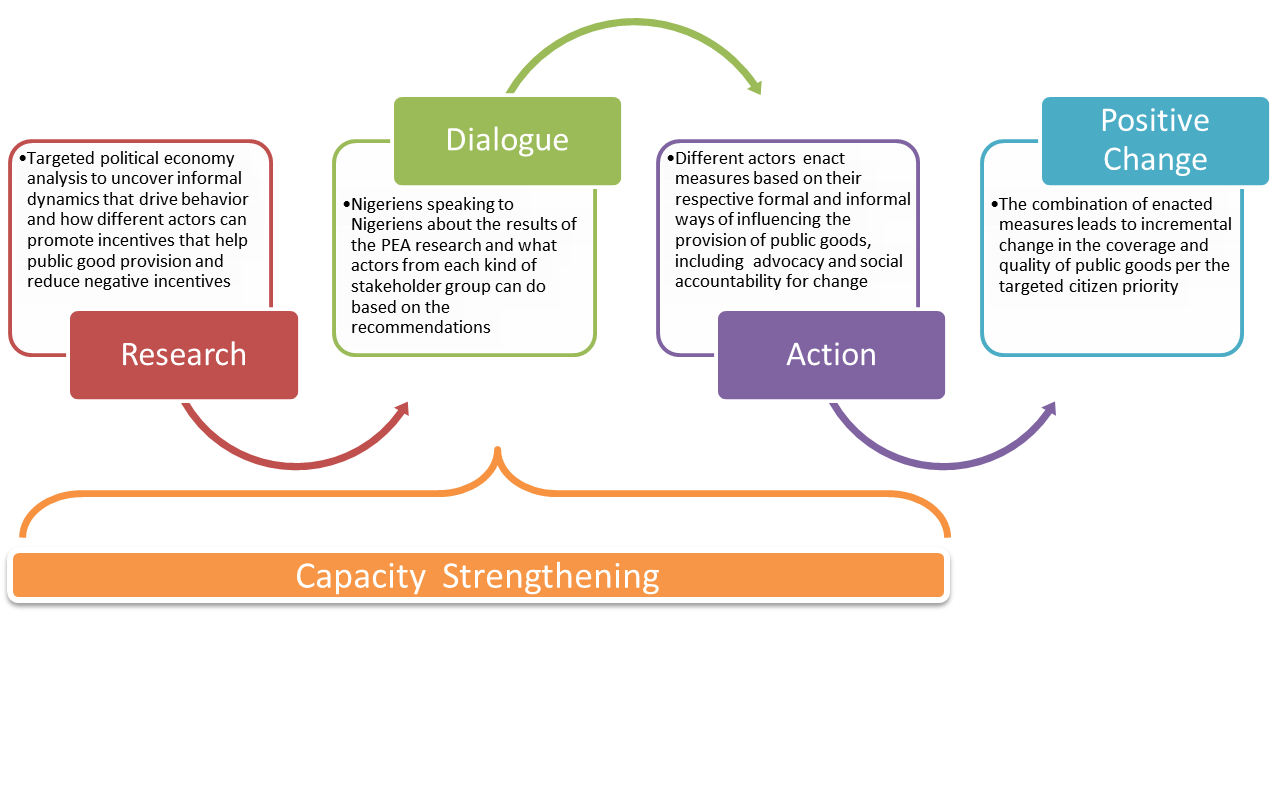


While these interventions are necessary, our analysis suggests that such technocratic measures focused on formal systems (even if “participatory”) are not sufficient for the actual *implementation* and positive impact of reform measures and public programs. This is particularly true given a local context generally ruled by *informal* systems and dynamics, or what Nigerien stakeholders often simply call “the reality.”

Given this, our hypothesis is that existing interventions will only work if they are coupled with locally-grown measures stemming from a) a keen understanding of political economic and societal drivers of behavior leading people to circumvent or co-opt formal systems, and b) deep dialogue and collective action led by coalitions of like-minded reformers on any given issue, promoting practical ways of changing incentives and taking other actions in ways that “go with the grain” (Booth, 2012) of how things are done locally. Connected to this is the need to promote what Nigeriens call a *prise de concience*, or conscience-awakening, in order to bring individual leaders and citizens to act more for the common good, particularly with regard to using public resources for more equitable coverage of public goods.

The approach of the proposed project builds on these hypotheses and in particular recommendations emanating from recent research on governance reform, principally as conducted by the Africa Power and Politics Program and the Center for the Future State[[8]](#footnote-8). The major findings from these are that “many reforms to improve governance by strengthening formal, rules-based institutions have had limited impact” (IDS, 2010: 69). These traditional approaches to governance often fall short because they have not taken into account the informal dynamics and embedded incentives that rule the behavior of people, whether government, traditional leader, organized civil society, private sector, or average citizen actors. Because of this, previous governance reform efforts have missed chances to bolster informal dynamics that support institutional goals of improved and more equitable public service delivery. They have also generally failed to counter or shift informal dynamics that are detrimental to these intuitional goals.

The key recommendations to donors emerging from these studies include the need to “value country knowledge and invest in acquiring it; empower local actors at all levels through good-quality research and support for data collection and policy analysis; play a role in facilitating local dialogue and debate; … and reassess … strategies for supporting civil society,” with increased focus “on the capacity of different groups to take collective action.” They also emphasize that this “would involve extending engagement to a broader range of actors, who may not share a conventional view of governance and development but who have overlapping interests” (IDS, 2010:77) also first identifying the existing informal networks and institutions through which collective action may already be happening in a given context. USAID’s new guidelines on Political Economy Assessment is grounded in this new body of knowledge of governance reforms and argues that “success is more likely if projects build on what is working well locally rather than importing foreign technical solutions,” and that “local actors must drive change and foreigners can only support their effort, not lead it” (USAID PEA Field Guidance, 2014:1).

The new Participatory, Responsive Governance project aims to apply these tenets directly. The **theory of change** for the proposed PRG project is therefore that with increased understanding of the local dynamics blocking and promoting reform (**research**), we can help Nigeriens examine these dynamics themselves (**dialogue**) and each enact measures (**collective** **action**) to bolster the local ways of doing things that promote the public good and shift incentives away from behaviors that undermine the public good, ultimately leading to improvements in the coverage and quality of the targeted public goods (**positive change**) that Nigerien citizens consider top priority. Undergirding this approach are **capacity strengthening** activities aiming to increase the ability of local actors to undertake these research-dialogue-action steps on their own.

**Technical Approach Anticipated Results**

The purpose of this project is to **improve collective responsiveness (government and citizen) to priority public needs in order to increase citizen confidence in the state amongst target populations**. This purpose will be achieved through one principal activity centered on work before and after the upcoming Nigerien elections, supported by two smaller activities that will kick-start and bolster the main activity: initial Political Economy Action Research and Local Capacity Strengthening. Together, these three activities comprise a five-year **Participatory, Responsive Governance (PRG)** project spanning 2015 – 2020, constituting a major new USAID contribution to the Niger development objective of increasing citizen confidence in the state in target areas. Should additional funds become available to support this objective, this project is designed to scale up both in terms of geographic and sectoral scope within the approaches described below.

The PRG project is also designed to align with potential efforts for a Sahel Development Initiative and Security Governance Initiative, both related to expanded engagement in Niger and the Sahel region. One of the main findings of the 2013 Interagency Development Game focused on Niger revealed that addressing ungoverned spaces and resolving governance challenges generally are critical to development and stability in the region.

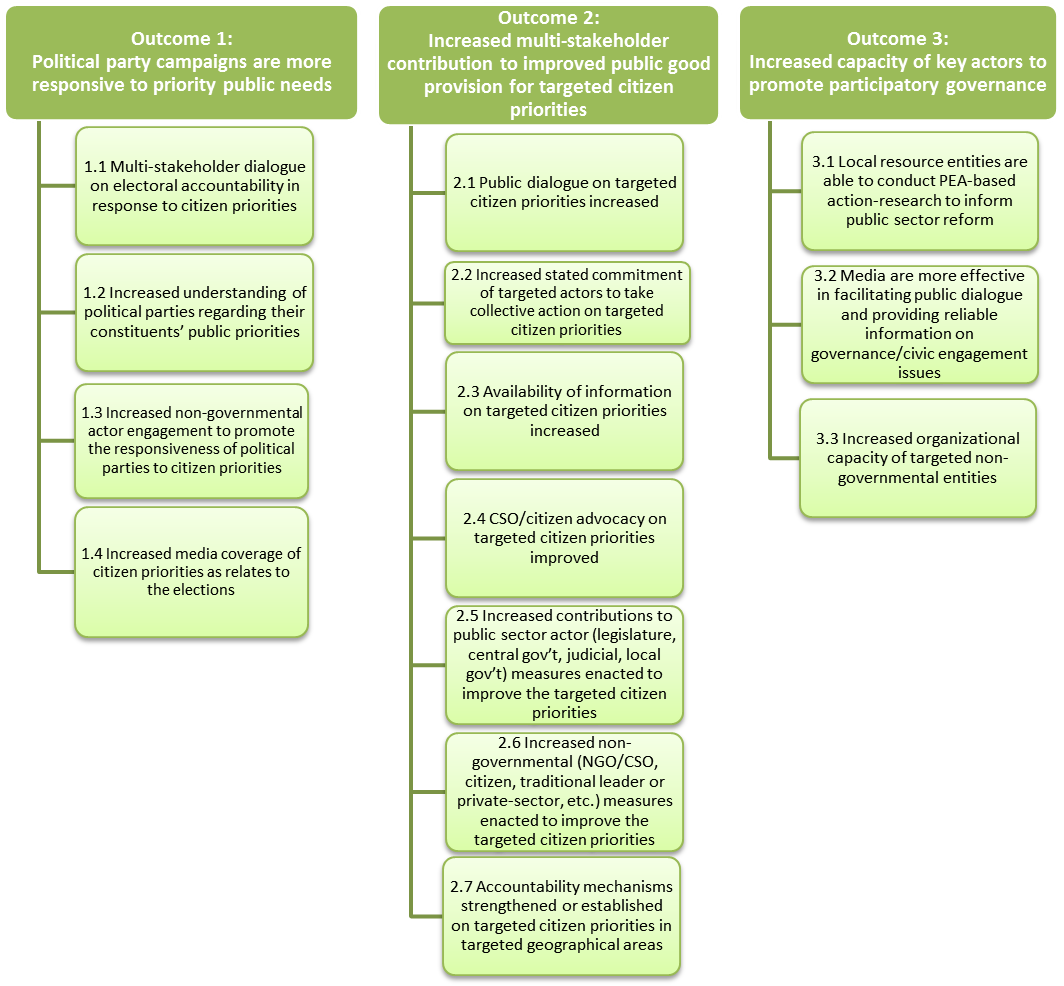
In order to achieve the project purpose, it is anticipated that these activities will lead to the achievement of three principal project outcomes:

1. Increased citizen confidence in elected leaders regarding responsiveness to priority public needs
2. Increased multi-stakeholder (government, non-government, donor, etc.) contribution to specific elements of reform implementation for targeted citizen priorities
3. Increased capacity of key actors to use new approaches to promote participatory governance (e.g. PEA action research, media investigative reporting, new media)

These outcomes will be achieved by a number of outputs as presented in the project results framework presented on the following page.

**Participatory, Responsive Governance Project Results Framework**

**Project Purpose: Improved collective (government and citizen) responsiveness to priority public needs**



**Project Activities**

**1. Political Economy Action Research Kick start Activity**

While the principal activity for Participatory and Responsive Governance is in the formation process, we will kick-start the project by procuring services to conduct action research using political economy analysis (PEA) methodology. Action research is typically defined as targeted research used to solve a particular problem and to produce guidelines for best practice (Denscombe, 2010). In the case of this project, the initial PEA action research will serve to guide the work under the principal activity of this PAD, following an adaptive management[[9]](#footnote-9) approach to programming.

In particular, the initial PEA action research will result in a better understanding of the informal dynamics driving the behavior of government, civil society, and political party actors related to elections and public service delivery, and practical recommendations for a) how best to center national and local dialogue during the elections around citizen priorities, b) how to hold elected leaders accountable for their campaign promises, and c) ways of improving the coverage and quality of targeted citizen priorities through collective action and incentives. A key component of this research will be analysis of accountability dynamics and mechanisms in Niger, particularly informal accountability mechanisms, in order to trace the current incentives that drive behavior of state and non-state actors and identify opportunities to promote incentives that service to better align private interests with public interests.[[10]](#footnote-10) The recommendations emanating from the action research will then be picked up in a practical manner by USAID’s partners as outlined under the principal activity description of this project. To facilitate this, the contractor for the action research kick-start activity will be required to disseminate their findings in easily digestible briefs designed for immediate applicability for policy and programming, as well as via public presentations with key stakeholders and international donor and partner organizations.

The initial PEA action research activity will also include a component to strengthen the technical capacity of local research groups in Niger to conduct PEA-based action research themselves. This will allow these groups to use the methodology to address other priority issues in Niger, whether as part of future USAID programming or other efforts as requested by governmental, civil society, or donor actors. It is already anticipated that additional PEA action research would be needed in a Phase 2 of the principal PRG activity in order to update earlier findings; identify new priorities, opportunities and strategies for collective action; and investigate additional issues specific to any new geographic zones included in an expanded project scope.

**2. Local Capacity Strengthening Support Activity**

The initial one-year award under the Local Capacity Strengthening activity is being funded through the Development Grant Program and aims to strengthen the organizational and general project development capacity of Nigerien organizations including non-governmental organizations and local businesses. Local capacity development is intended to help local partners bolster their ability to fulfill their own developmental objectives by addressing critical organizational weaknesses and as such be better able to partner with USAID in the future or other organizations. Strengthening local capacity will increase local expertise in development and foster competition and allow for results to be achieved in the most cost-effective, sustainable manner. If additional funding becomes available, this activity could be expanded to provide targeted capacity strengthening services to additional actors in out years, including both non-governmental and also possibly governmental stakeholders as well as actors at the central and local (regional and municipal) levels as opportunities are identified. Any additional local capacity strengthening support work would be linked to on-going programming under this project and USAID and interagency initiatives.

**3. Principal Activity for Participatory, Responsive Governance**

The principal activity of this project will be implemented through a two-phased approach with the intention of scaling up activities in the event of additional resources in the out years.

**Phase 1** will begin in early 2015, utilizing existing and anticipated resources for democracy and governance. This first Phase will serve to a) address priority public needs through multi-stakeholder dialogue within the context of the upcoming elections and then b) pilot a collective action approach to responding to targeted citizen priorities immediately following the elections. An anticipated impact evaluation of limited scope will help assess the effectiveness of targeted aspects of the project approach and inform the continuation of PRG programming at a larger scale under Phase 2. Phase 1 will be approximately two and a half years, to be implemented through the end of 2017.

**Phase 2** would begin in 2018 and build off of the work under Phase 1 to continue the activity for another two and a half years, pending the availability of additional resources to support democracy and governance programming. Phase 2 would apply the learning from Phase 1, adjust the project approach as necessary, and expand the support of collective action to additional targeted citizen priorities and/or additional geographic zones.

These two phases are described in more detail below.

***Phase 1: Addressing Targeted Citizen Priorities in Elections & Post-Electoral Collective Action***

In the context of the current political environment in Niger, it is probable that the 2015/2016 elections will not be broadly competitive as major opposition party candidates may be prevented from running. Given this, it will be all the more important to build political consensus around critical citizen priorities regardless of who is in power. In addition, it is important to show how attention to citizen priorities should continue post elections as elected officials strive to make good on campaign promises, and multi-stakeholder collective action is critical to helping to do this. These efforts will also lay the groundwork for increased political competition in the future. Phase 1 will therefore focus on:

1. Electoral period activities to promote multi-stakeholder dialogue, advocacy, and media initiatives to bring decision-makers to better address citizen priorities and identify how non-state actors can better work with elected officials to improve public service coverage and quality; and
2. Post-electoral piloting of the collective action approach on a limited number of citizen priorities and in a limited number of strategically selected geographic zones.

**Selected Targeted Citizen Priorities**

Based on nationally representative 2013 Afrobarometer survey data for Niger, the top five “most important problems that must be addressed by the government” according to Nigerien citizens are, in order of importance: food security, poverty/social exclusion, health, water, and education ([www.afrobarometer.org/Niger](http://www.afrobarometer.org/Niger)). These are directly related to USAID’s current investments in resilience and stability programming in Niger.

In Phase 1, the World Bank’s Public Administration project for Niger identifies agriculture/food security (including access and management of water for productive use; and more specifically productivity and revenue generation in irrigated areas), health (staff deployment, and provision of medicines & key medical inputs), and education (Teacher recruitment, deployment and management*)* as the priority sectors for governance reform support via a public administration approach. Given this, we propose to target USAID support under Phase 1 of the principal PRG activity on issues related to food security, health, and education, with a particular focus on equitable coverage of government and non-government support to these issues. This focus will have an echo effect on USAID’s other sectoral investments as well through REGIS and other activities. In Phase 2 of this activity and with additional resources, we expect that the project approach can be applied to address additional citizen priorities that are directly relevant to USAID projects and any other new priorities that may emerge.

**Geographic Scope**

Phase 1 activities will be implemented at three levels. First, during the electoral period, multi-stakeholder dialogue activities will happen at the central level in Niamey and at the regional level in each of Niger’s eight regions. This is to ensure an equitable distribution of engagement with actors, including political parties, across the country. Second, after the elections, the piloting of the collective action approach will take place at the central level in Niamey to engage with key stakeholders working nationally, and then will also be implemented at the regional and local (municipal) levels **in three regions (Niamey, 1 REGIS, 1 non-REGIS zone)** that are strategically selected and align with USAID RISE and CVE programming. Particular attention will be paid to *communes* identified as particularly vulnerable per USAID vulnerability mapping, with particular attention to areas facing food insecurity and violent conflict risks. Third, in a Phase 2 scale-up additional geographical regions may be added depending on the availability of funds.

**Illustrative Activities**

As described above, the PEA action research under the kick-start activity for this project will inform the more precise strategies and activities under Phase 1. As such, it will be critical that the implementing partner for the principal PRG activity build this further design work into the startup of the award itself. In particular, the PEA action research will inform both the content and approach of the public dialogue, political party, civil society/traditional leader advocacy, and media activities under the pre-electoral period of this phase as well as the nature of the collective action support provided following the elections.

It is nonetheless possible to anticipate the general categories of activities that will be required to achieve the anticipated results of this project. These categories of inputs, illustrative activities and potential outputs are outlined below and presented in the annexed Logical Framework. Overall, in keeping with the overall project approach and theory of change, USAID’s implementing partner will seek to work within the local dynamics and logic in Niger to bolster existing informal and formal networks and accountability mechanisms to promote constructive collective action between elected leaders and non-government actors engaged on targeted citizen priority issues. In order to do this, the implementing partner will be encouraged to use not only a PEA approach but also an assets-based one, focused on what is currently working in favor of public institutional goals in Niger and how to further mobilize local resources and values to further align incentives and do more of what is working. Concretely, this will mean funding quality public dialogue on the issues as well as providing both technical and sub-grant support to help key mobilizer actors implement the recommendations of the research.

In addition, the implementing partner will provide capacity strengthening to key actors to be more effective in their collective action efforts in the future. It is anticipated that this happen both through “learning by doing” during the supported collective action activities on the specific targeted citizen priorities but also through any additional training, ongoing technical advice and coaching, provision of practical tools (such as new media applications) and/or other effective capacity strengthening approaches as identified in this context.

To achieve Project Outcome 1of ***Political party campaigns are more responsive to priority public needs***, the anticipated **inputs** to **promoting citizen priorities during the electoral period** will be:

* 1. Technical and financial support to sponsor **multi-stakeholder dialogue activities on the findings of the PEA action research** to address citizen priorities in the elections

Illustrative activities:

* National level multi-stakeholder mediatized conferences
* Regional level mediatized town hall discussions
* Community radio debates in each of the region
* Community level town-hall discussions in selected target zones

All such activities should be used to discuss the results of the PEA action research, further encouraging citizens to express their aspirations and encouraging political parties and candidates to take well-articulated public positions regarding a) the social-economic priorities revealed by the PEA, b) concrete and realistic strategies to increase the effectiveness and credibility of democratic institutions, and c) how candidates would perform as elected officials in order to ensure the success of their objectives. Facilitation of the dialogue activities should be grounded in the latest research on effective dialogue facilitation in settings similar to Niger, and, to the greatest extent possible, on communication culture in Niger itself.

* 1. Technical **support to political parties to be more inclusive and responsive to the priorities of their party members and targeted voters**, including marginalized populations

Illustrative activities:

* Series of workshops open to all major political parties to further analyzing the results of the PEA action research on how this affects political parties, accountability of elected leaders, and how to engage with non-state actors to spur collective action to respond to citizen priorities
* Workshops open to all major political parties to prepare for public dialogue events, bringing them to better articulate how they as elected officials can respond to citizen priorities as revealed through the PEA action research.
* Series of workshops at the national and regional levels open to all major political parties to review existing recommendations from political party youth associations on how to make parties more inclusive and responsive to youth
* Series of workshops at the national and regional levels open to all political parties led by local gender advocates (women and men) on incentives and strategies for being more responsive to the priorities and engagement of female political party members and female voters
* National and regional level workshops with youth and women on strategies emanating from the PEA on how to better participate meaningfully in the political process, e.g. via targeted capacity and leadership strengthening, mentorship, exchanges with youth from universities, citizen-led election period observation using mobile technologies, or other innovative ideas;
* Conflict-mitigation dialogue activities as relates to consensus building focused on citizen priorities (as relates to the USAID/West Africa Peace through Elections project)
  1. Technical and financial support to **activities led by civil society, traditional and religious leaders, artistic and cultural leaders, etc. to promote the responsiveness of political parties to citizen priorities and citizen engagement in these discussions i**n order to focus the elections on issues (also serving to diffuse tensions and reduce risk of violence)

Illustrative activities:

* Mediatized civil society group advocacy
* Traditional leader mediatized messages
* Mediatized participatory theater
* Expansion of “edu-tainement” work on youth and women participation in democracy
* Crowd-sourced citizen input on key electoral priorities using SMS/mobile technology, potentially including solicited input via push messages and/or local radio.
  1. Technical and financial **support to media to focus national debate on the elections on citizen priorities**

Illustrative activities:

* Training workshops with print and broadcast journalists on how to focus reporting and mediatization of the elections on substantive questions of citizen priorities and their expectations for elected officials,
* Training workshops and on-the-job mentoring for media actors on how to use new media strategies how to better use social and mobile media for substantive coverage of election issues around citizen priorities
* Mediatized roundtable discussions with key thought leaders (traditional, religious, civil society, etc.) and political parties on how to be more responsive to citizen priorities and how to spur collective action
* Targeted training and network strengthening for media practitioners to enhance issue reporting and programming ahead of elections
* Publicize the results of these meetings via traditional and new media to increase understanding of issues debated and constructive public pressure for programmatic political platforms responsive to citizen priorities.

To achieve Project Outcome 2 of ***Improved multi-stakeholder (government, non-government, donor, etc.) contribution to specific elements of reform implementation for targeted citizen priorities****, t*he anticipated **inputs** **to spur collective action to respond to targeted citizen priorities following the elections** will be:

* 1. Technical and financial support to sponsor continued **multi-stakeholder dialogue activities to promote evidence-based collective action to** address citizen priorities

Illustrative activities:

* Provide neutral space through respected local leaders or organizations for actors involved in collective action to meet privately to discuss strategy and progress
* Facilitate take-up of dialogue on the targeted citizen priorities in existing public fora such as the annual municipal investment report meetings at the commune level
* Support to cultural leaders promoting public reflection and dialogue on governance/civic engagement issues related to the targeted citizen priorities
  1. Provide targeted **technical assistance and sub-grants to civil society, traditional leader, private sector, media, and other engaged actors to support multi-stakeholder collective action measures** on the recommendations resulting from the PEA action research and ongoing dialogue activities

Illustrative activities:

* Support media to increase availability of information on targeted citizen priorities and on-going dialogue on these issues and progress as made or challenges to be overcome
* Support civil society input into a regularly updated dashboard for the government to follow up on agreed-upon government actions and results\*
* Help civil society actors develop communication plans to inform stakeholders and celebrate success of reform initiatives on the targeted citizen priorities, using various dissemination channels and social networks\*
* Link to parliament to encourage legislative oversight of governmental reform efforts\*
* Engage parliament and other stakeholders in a public debate on the rules governing the financing of political parties and election campaigns and on the distribution of state capacities and resources b/w Niamey and the DE concentrated/decentralized levels\*
  1. Provide **technical capacity strengthening assistance, limited financial assistance and new tools** to key actors such as media, artists/cultural thought leaders, emerging civil society actors, and potentially entrepreneurial governmental actors in order **to help promote constructive collective action and participatory governance systems more generally**.

Illustrative activities:

* Training and on-the-job coaching to media on facilitating public dialogue and responsible investigative journalism related to governance and citizen engagement issues
* Hold award competitions or provide small grants to artists and other cultural leaders to promote public reflection and dialogue on governance and citizen engagement issues
* Provide technical and limited financial assistance to support ICT-based citizen monitoring and government accountability mechanisms\*
* Support open government efforts to publish public data online and promote its analysis by legislative, civil society, private sector, and other non-state actors for greater accountability\*

(\*Related to a suggested activity included in the World Bank’s “Republic of Niger Governance Action Plan, 2013-2015,” June 2013.)

Finally, in order to achieve Project Outcome 3 of ***Increased capacity of key actors to promote participatory governance***, the additional inputs will be:

* + - 1. Provide technical assistance and sub-contracts to local entities (think tanks/research firms, university units, NGOs, government units, local consultants, etc.) to conduct action research based on political economy analysis on each of the targeted citizen priorities [PEA Action Research Activity]
      2. Technical support to media to investigate and cover issues of governance and citizen priorities more generally [complements Inputs 1.4 & 2.2]
      3. Provide additional technical capacity strengthening assistance and new tools if necessary (per initial diagnostics) to other key actors (non-media) such as artists/cultural thought leaders, civil society actors, and entrepreneurial governmental actors in order to help promote constructive collective action and participatory governance systems more generally [complements Input 2.1]
      4. Provide organizational development training and coaching to local entities [Local Capacity Strengthening Activity]

***Phase 2: Scale-Up of Collective Action on Targeted Citizen Priorities and Promotion of Participatory Governance***

If additional funds become available, Phase 2 will scale up Phase 1, taking into account the results of the anticipated impact evaluation and modifying the approach as necessary. Scale-up would include addressing additional targeted citizen priorities and/or expansion of activities to additional geographic zones. Additional PEA action research may also be conducted under Phase 2 in order to update the collective action focus and strategies as needed. The targeting for additional citizen priorities will be linked directly to USAID’s interest in Niger and specifically to ongoing programming on resilience and stability, e.g. REGIS and PDEV. The implementer selected will be required to ensure that the latter is addressed. This will also enable us to demonstrate how a 20 percent investment in democracy and governance can make an impact and facilitate linkages on a $100 million program(s).

**Targeted Citizen Priority Walk-Thru Example: Research, Dialogue, Action & Positive Change**

One of the top priorities expressed by Nigerien citizens, NGO representatives and government officials alike per the latest Afrobarometer data and per the consultations for this new design was the governance of the public education system. In particular, people voiced serious concern about the level of corruption, nepotism and political maneuvering greatly reducing the availability and quality of teachers, especially in the rural and marginalized areas, and the gravely deleterious effect this has on children’s education and as a result on people’s trust of the public service and on level of Niger’s human capital.[[11]](#footnote-11) The World Bank identified “teacher recruitment, deployment and management” as one of the priority sub-programs for its planned $40m/5-year “Public Sector Capacity and Performance for Service Delivery Project,” using a capacity strengthening and administrative systems approach to promote “performance-based management.”

Per multiple conversations around potential collaboration, the designers of this World Bank project recognize and enthusiastically welcome the advantage of coupling their interventions (for any of their targeted sectors and sub programs) with a USAID one that investigates the political economy of their target issues and seeks to find additional governmental and non-governmental solutions/incentive changes that would address the informal dynamics helping or hindering the administrative reforms.

As an example, if USAID were to select education and specifically teacher recruitment, deployment and management as one of the DG project’s targeted citizen priorities for better governance, this is how the issue would be addressed by the proposed project approach:

1. Under the PEA Action Research Activity, an international firm contractor working with local researcher will conduct targeted, rapid study of how teachers are in reality recruited, deployed (or not) and managed currently in Niger. This action research would include participatory inquiry at the national level but also with a sampling of people in the regions/departments/communes targeted by the project. Researchers would be looking to better understand the political, economic, social and cultural dynamics affecting this issue – including not only interests that run counter to having qualified teachers present in all classrooms but also any incidences of how governmental officials and citizens/non-governmental actors may have used these informal systems to come up with their own ways of getting good teachers in school.

2. The study results in a set of findings and recommendations that the PEA Action Research Activity contractor will provide, and that the PRG Principal Activity implementing partner will use to facilitate public dialogue to discuss the results. In this education example, this may very well include dynamics showing that existing teacher performance/promotion management policy and practice create perverse incentives for teachers, directors and inspectors to falsify exam results showing better outcomes than in reality; it may also reveal standard informal practice of people using kinship, political, and other associative ties as well as bribes to obtain teacher contracts, as well as to obtain favorable urban postings (or for authorities to look the other way when teachers do not report to an undesired post) – leaving marginalized areas with insufficient teachers or those simply unqualified to teach.[[12]](#footnote-12) The study might also reveal examples of regional or prefectural education office heads who take it upon themselves to redress the issue, such as by offering other concessions (e.g. transfers to donor-supported schools where there are more resources and other institutional and personal advantages, such as training with per diem, etc.) to encourage teachers to stay out in rural areas, or of local officials, traditional chiefs or other village leaders who mobilize to provide teachers with their own incentives such as community-provided housing, meals, use of local land for farming, etc.

3. The study findings also include the identification of different groups and individuals both inside and outside the government identified as those with particular interest, motivation, ability and/or influence to help bring about positive change on the issue – to enact measures in accordance with their respective roles and influence networks. For the teacher issue, we know already from initial consultations that at the national level, this would likely include the Association for the Fight Against Corruption (ANLC/Transparency International) – in combination with their local-level anti-corruption citizen groups - together with a few specialized education rights associations, as well as possibly the High Commissioner for the Modernization of the State who would be interest in taking this on to find and promote enactment of governmental, administrative counter-incentives and sanctions as part of his “*Faire Bouger*” (“get things moving” campaign). The action research would in addition identify others among the media, political parties, and local authorities and citizen mobilizers in the project’s target zones who would likely be effective members of the collective action group on this issue. The World Bank and other donors working on this or related issues would also be associated, together with the best possible supporter within the Ministry of Education.

4. The IP then provides technical assistance and sub-grants as needed for the implementation of these actions; for this teacher issue, the specific kinds of actions would likely include:

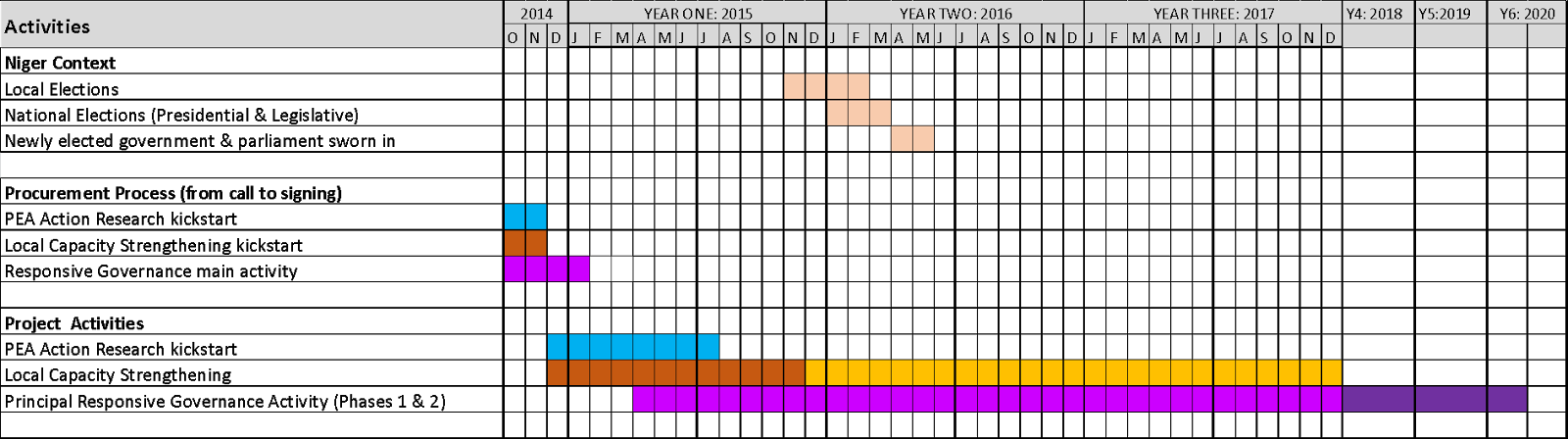
* Further public dialogue (fora, community meetings, local language radio & TV discussion programs, nigerien news website/blog discussions, etc.) around the current dynamics affecting teacher recruitment, deployment and management and ways to address it, as informed by the PEA study but also additional ideas it triggers (Output XX).
* Availability of information in print, broadcast, and social media about the details and costs of perverse incentives affecting who is (or is not) teaching Nigerien kids – as well as publicizing commitments of government officials, elected and traditional leaders, civil society groups and individual citizens to find ways (positive and negative incentives/sanctions) of encouraging more qualified candidates to apply, to get officials to actual hire these people, and to get them out to the marginalized areas and keep them there (Output XX).
* CSO/citizen advocacy to encourage governmental and non-governmental actors alike to keep their commitments on addressing the teacher issue, and encouraging new actors to take up and support the cause (Output XX).
* Public sector actor (legislature, central gov’t, judicial, local gov’t) \*solutions enacted to change incentives in a way that promotes the recruitment and deployment of qualified teachers to marginalized areas particularly, and to manage them effectively so that they remain where they are needed and are actually promoted on the basis of true performance (Output XX). This action would be in close collaboration with the World Bank and others working directly on the administrative side, with the ability (technically and financially) to support new practices. Could include the adoption of such measures as a rural assignment monetary benefit, food subsidies, and/or possibly eventually ICT/mobile solutions making it more difficult to falsify exam results, etc. – whatever is deemed feasible and appropriate for the Nigerien context.
* Non-governmental (NGO/CSO, citizen, traditional leader or private-sector, etc.) \*solutions enacted that help get and keep qualified teachers in marginalized areas (Output XX). These could include citizen monitoring systems where people could report incidences (e.g. via an SMS hotline) of abuses at the recruitment stage, or later provision of teacher lodging and food security support provided by individual villages and/or subsidized in part by local leaders, the commune, etc.; other support to teacher family members (e.g. inclusion in village agricultural development schemes) – again, whatever is deemed feasible and appropriate.

Together, the logic for the proposed project is that these set of activities and their corresponding outputs would lead to the improvement of the actual *implementation* of official GON/Ministry of Education policy on teacher recruitment, deployement and management in ways that benefit marginalized populations and targeted project zones in particular (Outcome 2). In the process, the project process will also contribute to increasing the proven capacity of key actors using new approaches in general for promoting participatory governance regardless of the key issue (Outcome 3.) And in doing so, particularly when combined with more generally-focused activities with media and cultural leaders, we will achieve the Poject Purpose of “improved collective (government and citizen) responsiveness to priority public needs” on this education issue.

## ANNEX D: Financial Plan and Independent Government Cost Estimate (IGCE)

| **Description** | **# of Units** | **Unit** | **Unit Cost** | **%** | **# of Units** | **Year 1** | **# of Units** | **Year 2** | **# of Units** | **Year 3** | **# of Units** | **Total** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **1. Direct Costs** |  |  |  |  |  |  |  |  |  |  |  |  |
| **a. Direct Labor** |  |  |  |  |  |  |  |  |  |  |  |  |
| ***US LABOR :*** |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***i. 1 Expatriate Long Term*** |  | month | 12,000 | 5% | 6 | 72,000 | 12 | 151,200 |  | 158,760 |  | 381,972 |
| **Subtotal expatriates long term** |  | p/m |  |  |  | **72,000** |  | **151,200** |  | **158,760** |  | **381,972** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***ii. 1 Senior Staff / Local Hire - Salary*** |  | month | 3,000 | 5% | 6 | 9,000 | 12 | 18,900 |  | 19,845 |  | 47,757 |
| **Subtotal Senior Staff / Local Hire** |  | p/m |  |  |  | **9,000** |  | **18,900** |  | **19,845** |  | **47,757** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***iii. 2 Mid-Level - Mgmt. Staff Local Hire*** |  | month | 2,000 | 5% | 6 | 12,000 | 12 | 25,200 |  | 26,460 |  | 63,672 |
| **Subtotal Local Localese Mid-Level** |  | p/m |  |  |  | **12,000** |  | **25,200** |  | **26,460** |  | **63,672** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***iv. 2 Local Support Positions Local Hire*** |  | month | 1,800 | 5% | 6 | 10,800 | 12 | 22,680 |  | 23,814 |  | 57,306 |
| **Subtotal of Support Staff** |  | p/m |  |  |  | **10,800** |  | **22,680** |  | **23,814** |  | **57,306** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***v. Short Term Consultant (local)*** |  | day | 100 | 5% | 50 | 5,000 | 100 | 10,500 | 100 | 10,500 | 100 | 26,000 |
| ***Short Term Consultant (Expat)*** |  | day | 620 | 5% | 60 | 37,200 | 60 | 39,060 | 60 | 39,060 | 60 | 115,320 |
| **Subtotal Short Term Consultants** |  |  |  |  |  | **42,200** |  | **49,560** |  | **49,560** |  | **141,320** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Total of Direct Labor (a)** |  |  |  |  |  | **146,000** |  | **267,540** |  | **278,439** |  | **692,027** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| **b. Fringe benefits (25%)** |  |  |  |  |  |  |  |  |  |  |  |  |
| ***i. US LABOR : LT Expatriate*** | 0.30 | salaries |  | 5% |  | 21,600 |  | 22,680 |  | 23,814 |  | 68,094 |
| ***iii. Local LABOR : LT Staff*** | 0.25 | salaries |  | 5% |  | 5,250 |  | 5,513 |  | 5,788 |  | 16,551 |
| **Total of Fringe Benefits (b)** |  |  |  |  |  | **26,850** |  | **28,193** |  | **29,602** |  | **84,645** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| **c. Overseas Allowances** |  |  |  |  |  |  |  |  |  |  |  |  |
| ***i. Cola Differential (1 family)*** | 1 | 12 | 1,100 | 5% |  | 6,600 |  | 6,930 |  | 7,277 |  | 20,807 |
| ***ii. Education Allow. (2Child/Family)*** | 1 | 2 | 20,000 | 5% |  | 40,000 |  | 42,000 |  | 44,100 |  | 126,100 |
| ***iii. Post Differ.(15% total expat LT)*** |  |  | 20% | 5% |  | 14,400 |  | 15,120 |  | 15,876 |  | 45,396 |
| ***iv. Housing Allowance*** | 12 | 1 | 2,500 | 5% |  | 30,000 |  | 31,500 |  | 33,075 |  | 94,575 |
| **Total Overseas Allowances (c)** |  |  |  |  |  | **91,000** |  | **95,550** |  | **100,328** |  | **286,878** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| **d. Travel & Transportation** |  |  |  |  |  |  |  |  |  |  |  |  |
| ***i. Airfare*** |  |  |  |  |  |  |  |  |  |  |  |  |
| 1) US/Dakar (expat consultants) |  | trips | 2,500 | 5% | 4 | 10,000 | 4 | 10,500 | 5 | 13,125 | 4 | 33,625 |
| 2) LT expat Relocation |  | person | 1,300 |  | 1 | 1,300 |  | 0 |  | 0 |  | 1,300 |
| 2) LT expat Home leave |  | person | 2,500 |  | 0 | 0 | 4 | 10,000 |  | 0 | 4 | 10,000 |
| 3) LT expat R & R travel |  | person | 2,500 |  | 4 | 10,000 |  | 0 | 4 | 10,000 |  | 20,000 |
| 4) LT expat Dakar/US travel |  | trips | 2,500 | 5% | 1 | 2,500 | 2 | 5,000 | 2 | 0 | 1 | 7,500 |
| **Subtotal travel & transportation** |  |  |  |  |  | **23,800** |  | **25,500** |  | **23,125** |  | **72,425** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***ii. Per diem*** |  |  |  |  |  |  |  |  |  |  |  |  |
| 1) Local (expat. consultants only) |  | days | 250 | 5% | 30 | 7,500 | 120 | 31,500 | 150 | 39,375 | 120 | 78,375 |
| 2) Local (LT expat) |  | days | 170 | 5% | 30 | 5,100 | 35 | 6,248 | 35 | 6,248 | 30 | 17,595 |
| 3) Local (Local Staff) |  | days | 170 | 5% | 50 | 8,500 | 100 | 17,850 | 100 | 17,850 | 100 | 44,200 |
| 4) US (LT expat) |  | days | 220 | 5% | 10 | 2,200 | 14 | 3,234 | 14 | 3,234 | 7 | 8,668 |
| **Subtotal per diem** |  |  |  |  |  | **23,300** |  | **58,832** |  | **66,707** |  | **148,838** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***iii. Ground Travel , Ground transportation*** |  |  |  |  |  |  |  |  |  |  |  |  |
| 1) Ground travel within Local (per diem of driver) |  | days | 170 | 5% | 50 | 8,500 |  | 8,925 |  | 9,371 |  | 26,796 |
| 2) Ground Transportation Within Local (fuel) |  | month | 700 | 5% |  | 8,400 |  | 8,820 |  | 9,261 |  | 26,481 |
| **Subtotal local travel & Ground transportation** |  |  |  |  |  | **16,900** |  | **17,745** |  | **18,632** |  | **53,277** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***iv. Other travel related*** | 163 | p/trips | 300 | 5% |  | 6,986 |  | 7,335 |  | 7,702 |  | 22,022 |
| **Subtotal other travel related item** |  |  |  |  |  | **6,986** |  | **7,335** |  | **7,702** |  | **22,022** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***v. Household , Vehicle Shipment and storage*** |  |  |  |  |  |  |  |  |  |  |  |  |
| 1) Shipment Household (UAB & HHE) | 1 | lot | 40,000 | 5% |  | 40,000 |  | 0 |  | 0 |  | 40,000 |
| 2) Shipment personal vehicle | 1 | shipment | 7,000 | 5% |  | 7,000 |  | 0 |  | 0 |  | 7,000 |
| 3) Storage household goods | 62 | month | 300 | 5% |  | 18,600 |  | 19,530 |  | 20,507 |  | 58,637 |
| **Subtotal Household, vehicle Shipment & storage** |  |  |  |  |  | **65,600** |  | **19,530** |  | **20,507** |  | **105,637** |
| **Total Travel & transportation (d)** |  |  |  |  |  | **136,586** |  | **128,942** |  | **136,672** |  | **402,199** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| **e. Commodities** |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***i. Computer Supplies*** |  |  |  |  |  |  |  |  |  |  |  |  |
| 1) Common Software /upgrades | 1 | software | 1,000 | 5% |  | 1,000 |  | 0 |  | 0 |  | 1,000 |
| 2) Tailored software | 2 | software | 1,000 | 5% |  | 2,000 |  | 0 |  | 0 |  | 2,000 |
| 3) Expendable Supplies |  | month | 250 | 5% |  | 3,000 |  | 3,150 |  | 3,308 |  | 9,458 |
| 4) Server | 1 |  | 30,000 | 5% |  | 30,000 |  |  |  |  |  | 30,000 |
| **Subtotal of computer supplies** |  |  |  |  |  | **36,000** |  | **3,150** |  | **3,308** |  | **42,458** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***ii. Other office equipment*** |  |  |  |  |  |  |  |  |  |  |  |  |
| 1)Photocopier | 1 | machine | 5,000 | 5% |  | 5,000 |  | 0 |  | 0 |  | 5,000 |
| 2) Fax | 1 | machine | 1,000 | 5% |  | 1,000 |  | 0 |  | 0 |  | 1,000 |
| 3) Overhead Projector | 1 | machine | 1,000 | 5% |  | 1,000 |  | 0 |  | 0 |  | 1,000 |
| **Subtotal other office equipment** |  |  |  |  |  | **7,000** |  | **0** |  | **0** |  | **7,000** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***iii. Household Furnishings , Appliances*** |  |  |  | 5% |  | 50,000 |  | 0 |  | 0 |  | 50,000 |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Total of commodities (e)** |  |  |  |  |  | **93,000** |  | **3,150** |  | **3,308** |  | **99,458** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| **f. Other Direct Costs:** |  |  |  |  |  |  |  |  |  |  |  |  |
| ***i .Office equipment maintenance (1 HQ and 2 field offices)*** | 3 | year | 2,000 | 5% |  | 6,000 |  | 6,300 |  | 6,615 |  | 18,915 |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***ii. Office Utilities*** | 12 | month | 2,000 | 5% |  | 24,000 |  | 25,200 |  | 26,460 |  | 75,660 |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***iii. Communications (3 offices)*** |  |  |  |  |  |  |  |  |  |  |  |  |
| 1) Telephone - Local | 12 | month | 150 | 5% |  | 1,800 |  | 1,890 |  | 1,985 |  | 5,675 |
| 2) Telephone - international | 12 | month | 150 | 5% |  | 1,800 |  | 1,890 |  | 1,985 |  | 5,675 |
| 3) Internet service | 12 | month | 150 | 5% |  | 1,800 |  | 1,890 |  | 1,985 |  | 5,675 |
| 4) Postage courier | 12 | month | 150 | 5% |  | 1,800 |  | 1,890 |  | 1,985 |  | 5,675 |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Subtotal of Communications** |  |  |  |  |  | **7,200** |  | **7,560** |  | **7,938** |  | **22,698** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***iv. Vehicles*** | 1 |  | 80,000 |  |  | 80,000 |  | 0 |  | 0 |  | **80,000** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***v. Medical Evacuation Insurance*** |  |  |  |  |  |  |  |  |  |  |  |  |
| 1) Long- term family | 5 | years | 212 | 5% |  | 212 |  | 223 |  | 234 |  | 668 |
| 2) Short- term person | 60 | month | 97 | 5% | 4 | 1,164 | 4 | 1,222 | 5 | 1,283 | 4 | 3,683 |
| **Sub Total Medical Evacuation Insurance** |  |  |  |  |  | **1,376** |  | **1,445** |  | **1,517** |  | **4,351** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***vi. Printing , Duplication*** | 36 | month | 200 | 5% |  | 7,200 |  | 7,560 |  | 7,938 |  | 22,698 |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| ***vii. Office supplies*** | 36 | month | 150 | 5% |  | 5,400 |  | 5,670 |  | 5,954 |  | 17,024 |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Total of other direct costs (f)** |  |  |  |  |  | **131,176** |  | **53,735** |  | **56,422** |  | **241,332** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| **g. Project Activities** |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| Component 1 |  |  |  |  |  | 500,000 |  | 1,000,000 |  | 1,250,000 |  | 2,750,000 |
| PEA |  |  |  |  | 150,000 |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Sub Total Project Activities** |  |  |  |  |  | **500,000** |  | **1,000,000** |  | **1,250,000** |  | **2,900,000** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| **1. Total Direct Costs** |  |  |  |  |  | **1,124,612** |  | **1,577,109** |  | **1,854,770** |  | **4,706,538** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| **2. Overhead (a+b+c+d+f+g+h)** |  |  |  | 25% |  | **281,153** |  | **394,277** |  | **463,692** |  | **1,139,123** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Grand Total : (1)+(2)** |  |  |  |  |  | **1,555,765** |  | **1,971,386** |  | **2,318,462** |  | **5,845,613** |

## ANNEX E: Implementation Schedule



## ANNEX F: Monitoring and Evaluation Indicators

**CUSTOM**

**Project Purpose Indicators:**

* % citizens reporting satisfaction of public services related to citizen priorities targeted by the project
* % citizens reporting perceived conscientiousness of citizens & government (central & local)

**Project Outcome Indicators:**

* # of issue-based public interest proposals in the campaign platforms of targeted political parties
* % of women and youth holding decision-making roles within political party organizations
* % citizens reporting confidence that political parties are more responsive to their priorities as compared to past elections
* # of targeted public decisions introduced, adopted, repealed, changed or implemented consistent with citizen input [SFA indicator]
* Specific metrics of implementation improvement as established by the project with core advisory input (from GON, World Bank, CSO etc.) for each targeted citizen priority
* Functional accountability mechanisms introduced that enable citizen feedback and government response in targeted geographical areas
* % of CSOs perceiving that PEA action papers are influencing governance practices
* % of CSOs perceiving that journalists investigative reporting and cultural artists messaging are influencing governance practices
* Media are more effective in facilitating public dialogue and providing reliable information on governance/civic engagement issues

**STANDARD**

**Related Standard Foreign Assistance Framework Indicators:**

**2.2 Good Governance**

*2.2.2 Public Sector Executive Function*

* Number of training days provided to executive branch personnel with USG assistance
* Number of activities supported with USG assistance that are designed to retain women or recruit women into positions within the national or local government **of activities support recruiwomen local government.nsus-Building3.1 Consensus Building Processes**

**2.3 Political competition and consensus building**

*2.3.1 Consensus Building Processes*

* Number of USG-assisted consensus-building processes resulting in an agreement

*2.3.3 Political Parties*

* Number of political parties receiving USG assistance to help them develop more programmatic platforms and policy agendas.

**2.4 Civil Society**

* Number of consensus building forums (multi-party, civil/security sector, and/or civil/political) held with USG Assistance
* Number of USG-supported activities designed to promote or strengthen the civic participation of women.

*2.4.1 Civic Participation*

* Number of civil society organizations (CSOs) receiving USG assistance engaged in advocacy interventions.
* Number of public policies introduced, adopted, repealed, changed or implemented consistent with citizen input

*2.4.2 Media Freedom and Freedom of Information*

* Number of training days provided to journalists with USG Assistance, measured by person-days of training
* Number of journalists trained with USG Assistance

## ANNEX G: Project Analyses

GENDER

***Overview***

Not only is gender analysis required under ADS 201, but also constitutes a best practice for development programming. The ultimate goal of the project is to improve collective responsiveness to priority public needs in order to increase citizen confidence in the State amongst target populations. The means in which this goal will be met is through two components: 1) addressing targeted citizen priorities in national and local elections; and 2) public administration and equitable service delivery.

Niger can be described as a particularly difficult place to be a woman or girl. More than 75% of all girls are married before reaching the age of eighteen according to UNFPA statistics and only 4% of those girls have access to contraception due to a lack of access to commodities in rural areas. Literacy rates are also quite low according to the latest DHS measuring 20.9% overall for males and a dismal 7.5% for females (UNFPA). Overall, the country is

ranked 72 out of 83 on the OECD Social Institutions and Gender Index for 2012. Today, Niger’s economy is based primarily on livestock, agriculture, and mining, including uranium. Livestock, commercial agriculture, and mining are heavily male dominated (as throughout West Africa) and account for 40% of GDP and 80% of the country’s exports. Less than three employed workers out of ten (27.4%) are women, although women comprise half of the population (IMF Niger, 2007).

Women have full legal rights to practice contraception but access to commodities limits utilization rates. This in turn drives the high population growth rate (approximately 7.2%). Female genital mutilation is not a widely accepted practice in Niger (2.2% according to 2012 DHS). The Niger context in regards to gender norms is heavily dependent on the region and ethnic group in which an individual hails from.

Due to the extremely low rate of literacy in Niger, access to information is very low overall, but is particularly poor for women. Radio programming is an important medium to gain information throughout the country. Some women are limited in movement and are restricted to remaining only in their homes or family compounds, especially in the rural north. Women’s relatively poor access to decent economic roles and livelihoods has also impacted reproductive roles which further limit their opportunities to low- paid, part-time, and low-quality work, often on family owned farming plots or enterprises (British Council via West Africa Regional Gender Assessment, 2013).

In regards to credit and financial services, women in West Africa, and this is certainly true of Niger, have had limited access to financial services but have experienced a fair amount of success in developing trade and small business enterprises without having entry into policy-making. This talent could be significantly leveraged should women gain access both to services and policy-making bodies in more significant numbers.

Literacy rates in general are quite low in Niger, as stated above, but the differences between women and men and the impacts of those differences mean that women are at a disadvantage in all sectors of development. Furthermore, when families cannot provide necessary resources for education of all their children, the differences in rates indicate that it is most often the girls that are selected out of continuing education, often leading then to early marriage and the associated detriments of that practice.

The project will ensure that there is equal access to men and women for all parties (stakeholders, interlocutors, beneficiaries, etc.) and those extra-efforts will be made to provide 50% of sub-grants to either organizations focusing on issues related to or run by women. Through efforts working with the National Assembly, this project will link up with NDI who has a strong focus on gender issues, specifically engaging women parliamentarians. In addition, efforts will be made to engage women’s branches represented within the political parties and training political party candidates to engage with women constituents and colleagues in meaningful ways.

Women perform the majority of household and child-rearing duties at the household level in Niger, a country with a fertility rate of 7.2 percent. Therefore, women are not allowed equal free time for income generating activities or capacity building efforts such as literacy and numeracy improvement. Furthermore, in the rural areas, women are often limited from moving about freely outside the household compounds, although in some areas and several ethnic groups, women’s groups have allowed women to come together in agricultural activities such as seen in ARZIKI activities.

In Niger, married women do not have the legal right to choose where to live; rather, according to the civil code, this is to be decided by the husband, and the wife has no choice but to follow her husband. At the family and community level, women’s freedom of movement is restricted in the east of the country, which is home to the Hausa and Peul ethnic groups. Women in these communities are rarely allowed to leave their homes without a male escort (Freedom House, 2010).

Women in Niger have the legal right to vote and to political participation, although in reality, they may face resistance and hostility in the event of standing for office (CEDAW, 2005). Since 2002 a quota has been in place, requiring political parties to allocate 10% of their elected positions to women. In addition, 25% of senior government positions must be occupied by women. These quotas would appear to be having some impact on the numbers of women in positions of power. As of August 1, 2014, there were 15 women in the 113 member national assembly (as opposed to one in 1999), and five female ministers in the 32-member cabinet. There is a women’s movement in Niger which, though very active, has need for capacity building and increased funding to increase efficacy.

The World Bank considers 38% of women over 15 to be economically active in Niger. But given that it is estimated that over 95% of the population work in subsistence agriculture or the informal economy, very few women are able to benefit from legislation that gives them protection from job based discrimination.

***How will the programming impact men and women differently?***

There is a general lack of gender analysis that exists within the Sahelian sub-region, but even greater is the lack of how governance programming impacts women and girls. If the political economy analysis identifies and provided recommendations for action priorities that have a gender focus, the project will certainly undertake such work with full diligence. Otherwise, it is anticipated that the project will treat men and women equally in working on citizen priorities identified.

This approach to governance programming has taken place in Panama and Dominican Republic as well as in Ethiopia, but the approach is new to the West African sub-region and there has been little information collected on how this model of programming impacted gender roles or the status of males and females together or separately. In this regard, this project must closely monitor activities and analyze outcomes closely in order to provide such information. However, in comparative analysis of programming and approaches, there has yet to be indications that this approach to governance is expected to have negative consequences on female empowerment and gender equality in the region or in Niger specifically.

***What type of data should be collected to measure impact of programming on gender?***

As this approach to governance programming is an innovation in the region, data will need to be carefully collected and monitored in order to accurately analyze the impact of programming on gender relations as well as female empowerment. Especially because the work of the project is expected to impact laws and legislation in the longer term, data coming from such sources as the National Demographic and Health Survey and labor force surveys should be consulted on a periodic basis. Data collection should go beyond merely disaggregating by sex. For example, when racking up citizen priorities, which priorities are brought up by groups of women compared to men and why should be noted.

Major political parties meetings (PNDS, MNSD, Moden/LUMANA, CDS)

**SUSTAINABILITY ANALYSES**

Project Name: Participatory Responsive Governance in Niger

Project Purpose: Improve collective responsiveness (government and citizen) to priority public needs in order to increase citizen confidence in the state amongst target populations.

Approved by: Tyce Shideler, Supervisory Program Officer, USAID/Senegal, Sahel Office

Date: September 12, 2014

*This document records the Mission’s compliance with the mandatory sustainability analysis for new project designs detailed in ADS 201.3.9.3(c). This requirement mandates that the project design team analyzes key sustainability issues and considerations around such focus areas as: economic, financial, social soundness, cultural, political economy, technical/sectoral, and environmental concerns.*

1. **Sustainability Objective:** Indicate the overall sustainability objective of the project (with the understanding that not all projects aim to be fully sustainable at their conclusion).

\_\_\_ *Fully Sustainable* – All project results may be designed to be sustainable due to significant partner country buy-in, good social soundness, minimal recurrent costs within the fiscal capacities of the host partner, and other factors

\_\_x\_ *Partially Sustainable* – Certain project results may be planned to be sustainable and others are not

\_\_\_ *Not Sustainable* – None of the project’s results are designed to be sustainable, which might apply, for example, to a cash-for-work project to temporarily inject cash into an area.

*Below are the three results we are expecting to achieve with this project.*

1. *Increased citizen confidence in elected leaders regarding responsiveness to priority public needs*
2. *Improved multi-stakeholder (government, non-government, donor, etc.) contribution to specific elements of reform implementation for targeted citizen priorities*
3. *Increased capacity of “key actors” to use new approaches to promote participatory governance (e.g. PEA action research, media investigative reporting, new media)*

*The goal is for this project overall to be ‘partially sustainable’ as the project aims to increase citizens confidence in elected leaders regarding responsiveness to priority public needs will require a longer term prolonged engagement than five years.*

*We argue that for some of the interventions based on key citizen priority issues – there will be full sustainability while for others there may still be blockages that will need to be addressed beyond a five-year time frame in order for success to be achieved. This is something that the PEA action research will unlock.*

*Further, increasing the capacity of key actors to use new approaches to promote participatory governance is expected to be fully sustainable given the level of interest and enthusiasm expressed by key civil society and government leaders consulted by the design team and given the interventions proposed through capacity strengthening in this project.*

1. **Local Ownership:** Discuss the degree to which there is demonstrable local demand and ownership of the proposed interventions. Is there a broad beneficiary/ stakeholder base that has an interest in ensuring that the activity/ service continue after the current project ends?

*Nigerien governance and some of the service provision NGOs have demonstrated sustained engagement and commitment to fighting for better service provision and holding the government accountable – as demonstrated in meetings that USAID has held. More specifically, in discussions held with public and private actors, including Government of Niger actors; the National Assembly; civil society organizations and associations, as well as the private sector have pledged to work towards ensuring that reform moves ahead on various issues. These actors have demonstrated that there is local demand for these interventions particularly at the local level. These have also been identified in discussions during the PAD review for the World Bank who have already identified specific sectoral areas of intervention based on demand and ownership in Niger.*

*Since this project will have important tie-ins with other USAID projects such as REGIS; PDEV; Local Capacity Strengthening in many regions; the stakeholder base in various communities will be large and diverse over the period of this project. As such, the buy-in and service to continue some of the activities (advocacy efforts, dialogue, awareness raising) will continue way beyond the end of this project.*

*Last but not least, one of the main elements of this project includes engaging with local actors in informal and formal settings on issues that citizens care about. This very identification of issues that people care about will ensure local ownership coupled with our various interventions that deal with increasing the capacity of actors, coalitions, and organizations to create change.*

1. **Local Capacity:** How will the current project work to build the skills and capacity of local stakeholders (government institutions, civil society, and private sector) whose involvement will be critical for maintaining development gains after the project ends?

*The initial award (expected to begin in December and last for one year and a half) under the Local Capacity Strengthening activity will provide services to increase the capacity of all types of organizations in Niger. Further, this project through the ‘Political Economy Analysis’ activity will also provide important capacity building/training for local stakeholders and groups that are interested in applying this PEA approach in their work. Starting through this activity, means that in Phase 2, if USAID wants to continue engaging on PEA; we should be able to tap into local service providers to do so in the private and the civil society sector. Last but not least, the principal ‘Participatory Responsive Governance’ activity itself will provide critical technical and financial support to government institutions, civil society, and private sector on various citizen priority issues. As a result, this project has built multiple layers to influence the system and ensure greater sustainability in the long run, particularly through local entities.*

1. **Sustainable Financing:** Discuss how the proposed interventions or services will be linked to sustainable financing models. Will the expected results of the project incentivize the private sector and/or public institutions to continue investments in the targeted sectors? Will future revenues be adequate to cover expected costs?

*Section III provides an initial example of how financing 3 activities (PEA, LCS, and PRG) will be linked to sustainable financing models. Sustained capacity to use new approaches in pea but also in social accountability or advocacy or awareness raising will result from the project. Enhanced local organizations ability to conduct analysis that informs public and private projects and programs will create more demand for studies and assessment from the part of development donors and the private sector. The NGOs and thinks thanks targeted by the program and who will receive additional capacity strengthening will adopt new approaches that will give them an edge in the development field. The demand for additional services will come from communities, the GON, and the private sector as Niger emerges and continues to make progress especially on economic growth. Further, the interventions will have sustainable financing models because they will improve the way the overall system functions thereby creating a more favorable enabling environment for private sector partners to engage and invest in Niger.*

1. **Host Government Systems:** Will the current project directly utilize host government systems to implement activities and/or procure services, commodities, or technical assistance? Are the proposed activities consistent with the government’s related long and short-term strategies? Is there sufficient capacity within the government institution to continue implementation of the activities following completion of the project?

*The project is directly in line with the GON’s long term development strategy – PDES and short term strategies through the ‘Sahel-Sahara Development Strategy’ as well as the 3 N Strategy. It is not directly anticipated that this project will use host government structures and services for implementation; however after the impact evaluation and in phase 2 this may be an option to explore. In addition, through findings of the PEA and buy-ins from other USAID projects, there may be direct interventions required that may engage the host government through those other projects.*

*In phase 1 this project complements the World Bank’s public sector capacity program that will be under the Niger government’s implementation. Through the latter, the World Bank will provide direct assistance to the GON during five years working to improve the capacity within the government institutions. Our role through the project will enable the efforts of the World Bank and push the momentum for consistent mobilization between public and private actors that will remain engaged beyond the implementation of the activities of this project.*

1. **Motivations and Incentives for Sustaining Results:** Who are the key stakeholders who stand to benefit from the project? Who stands to benefit from the status quo? How can stakeholders/ actors from both perspectives be incentivized to sustain results? How can capacities be created and motivations strengthened to enable the ongoing self-sustaining delivery of results?

*Nigeriens citizens, youth, women, communities in REGIS and non –REGIS zones, will benefit from better public service provision as a result of increased responsiveness to priority public needs. Nigeriens aspiration to better public service provision is illustrated by frequent youth demonstrations and civil society mobilization to claim transparency and equity in public service provision. Promotion of systematic approaches for collecting data, analyzing and documenting public service failure and proposing and advocating for alternative solutions is appealing for the emerging Nigerien civil society and that is what this project intends to do.*

*The PEA research will uncover critical information that will inform how stakeholders can benefit? How actors can be incentivized to sustain results? And how capacities and motivations can be strengthened to enable the ongoing delivery of results. One of the objectives of this project is to uncover what the incentives and motivations are and how to change/shift those to benefit the community and Nigeriens on various citizen issues.*

*As the project unfolds, and particularly after the PEA kick-start activity ends- some of these answers and solutions will become clearer.*

*The GON will also be an important stakeholder as this project seeks to improve its image vis a vis Nigeriens.*

1. **Economic and Policy Considerations:** What are the contributions of the project to the economic welfare of the host country? Will economic resources and fiscal resources be available to sustain results? Are there policies or other aspects of the investment enabling environment that must be changed to allow sustainability?

*Increased accountability will lead to efficient allocation of resources for public service provision which means that there will be better management of public resources to address priority needs. The project through interventions on various citizens priority issues and through linkages with other USAID projects will also have an impact on improving the enabling environment. This project will for example have direct tie ins with the new USAID DGP project on social entrepreneurship – as such improving the conditions of youth and environment that youth operate in will be an important way that this project contributes to the economic welfare of the country. Further, there may be important policy related dialogue and interventions on various issues such as natural resource management/extractive industries; or education; or other areas that in partnership with the National Assembly or other stakeholders may lead to greater sustainability.*

1. **Institutions:** What are the national, sub-national and local institutions from the public sector, private sector, and civil society that are most critical to the implementation of the project’s development interventions? How able and interested are their leadership and staff and how adequate are their structure and resources to build on strengths and resolve weaknesses in administrative and financial management?

*Citizens, governance NGOs and service provision centered NGOs, local governments and social service ministries (education, health social security) and government accountability services will play the most important role in the implementation of this project- The civil society is gradually understanding its role to hold the government accountable the project will build on these gains to increase collective responsiveness to priority public needs- There is a lot to do to fill the leadership and management gaps in the administration but that is the objective of the World Banks public sector capacity program. This project through the PEA will identify who the key players are within the GON and in the leadership who will have the commitment and will power to change the system. Already through discussions USAID has had with various entities such as the HCME; we have witnessed that there are champions within the GON who will stand ready to collaborate. The buy-in for this project has already been discussed with the GON leadership and they have offered commitments to working with USAID on this.*

1. **Social and Cultural Soundness:** What are the social and cultural dimensions of ensuring the sustainability of results? If diffusion or spread of benefits occurs during the USAID intervention, how can USAID and its partners sustain diffusion? What are the social and cultural patterns in decision making over resources and other assets that are required for sustaining project results and what are the values inherent in those patterns?

*The PEA research is supposed to uncover information based on the question above. It would be too early now to answer this without seeing the analysis from the PEA. Ensuring the sustainability of results especially through a social and cultural dimension is critical to the sustainability of this project and this will be explored in the PEA activity.*

1. **Political Economy:** What are the societal forces supporting and inhibiting sustainable change, based on an assessment of the underlying political dynamics of the society? What are the root governance challenges that stand in the way of development performance and successful achievement of the project purpose? How will the project mitigate these effects?

*The initial PEA planned in this project will result in a better understanding of the informal dynamics driving the behavior of government, civil society and political party actors related to elections and public service delivery. In addition, the governance challenges were laid out in the PAD – these include impunity/clientilistic environment/political wrangling/ etc… all will have some impact of the performance of this project. But since this project is specifically predicated on solid PEA analysis – some of the inquiries will be dealt with and identified early on so that the project can influence, encourage, and change the incentives in the system. The project’s entire purpose and approach is focused on mitigating the effects of these challenges and blockages.*

**ANALYTICAL REQUIREMENTS TABLE**



## ANNEX H: Pre-Obligation Requirements

## ANNEX I: Resolution of Concept Paper Issues

A concept paper review was carried out on June 26, 2014. The Sahel Office and Mission Front Office received the concept paper in advance and comments were collected before as well as during the review meeting. The significant issues raised and addressed are summarized below.

1. *Need for M&E to be more involved*

**Issue:**

**Resolution:**  The Mission Monitoring and Evaluation Specialist collaborated with the design team in a more substantial way once the project description was drafted through email discussions as well as through brainstorming sessions in Dakar. . This collaboration continued along with refined discussions with the Supervisory Program Officer in Dakar and particularly with expertise from the Learning team of USAID’s Democracy, Rights and Governance (DRG) Center of Excellence who significantly contributed in writing and in practical terms with new ideas to the project’s Monitoring and Evaluation plan.

1. *Budget and Resources*

**Issue:** The current budget for this project was considerably reduced from an estimated $10 million down to possible $2.9 million. RAAO had concerns that the outcomes in the concept appeared to be a $10 million project and think the concept should be phased to accommodate the fluidity of the budget situation. The Mission agreed that writing the PAD to reflect the larger outcomes but reflecting current reality in this activity would not be a problem. There was also a reminder to set aside approximately 20% for A&O.

**Resolution:** During the design of this PAD, additional resources were secured which make implementation of this project a reality and reflect the need to set aside 20% for A & O. As such, the current secured budget enables this project to begin implementing 1. Kick start PEA action research 2. Local Capacity Strengthening support activity and 3. Phase 1 of the Principal PRG activity. Additional funding will be required for Phase 2 of the project and it is anticipated that additional efforts/initiatives would become available to address this.

The project design team also worked with the Financial Management Officer to detail out an IGCE for this project that reflects the needs and opportunities as well as partnerships required through this project.

The current project description reflects a phased approach in which Phase 1 could be a stand-alone set of activities for which funding is already secured, and Phase 2 represents a scale-up in order to address additional citizen priorities.

1. *Technical Approach and Geographic Scope*

**Issue:** The question was posed “what are we buying with US taxpayers’ money?” Is this the capacity to do the research and/or civil servants who are qualified to analyze and address citizen priorities?

**Resolution**: The design team made the distinction that it will be both and that it will be done in such a way that government and civil society in Niger should come away from the project with the skills to apply to other issues.

**Issue**: The way in which the project would target both beneficiaries and citizen priorities for action were raised as the concept paper did not outline how this would be determined.

**Resolution:** Geographically, the work on specific citizen priorities in Phase 1 of the PRG principal activity will target both a limited number of zones where RISE is active and zones with marginalized populations considered to be vulnerable to violent extremism. Concretely, activities in Principal Activity Phase 1 will likely include 3 regions: Niamey, and one RISE region and one CVE/OTI region (i.e. Agadez or Diffa). Within these regions, the project will engage with regional level elected and traditional leaders and then stakeholders at the level of a limited number of targeted communes. The implementing partner will be asked to determine more precise site selection criteria and process. With regard to targeting citizen priorities, the technical members of the design team had further consultations with both public and private stakeholders and also consulted the new Afrobarometer date for Niger to narrow approach and targets in order to fit what was in manageable interests for Phase 1.

**Other Concerns that came up during PAD design that the project team resolved**

*Discussion with OAA on the need for Flexible Rapid Programming*

The project design team also had discussions with OAA to talk about the possibility of a crisis modifier. It was determined that a crisis modifier is not required in order for a project to maintain flexibility in programming. Instead, OAA will work with the project design team to ensure that the project description and ensuing solicitation will include language that enables and requires the selected implementer to propose an alternative approach or ways to tailor their program accordingly should circumstances change in the country.

*Adaptive Management*

In addition to the resolution of the issues above, the project design team has identified the need for adaptive management to be included in the project.

1. During a USAID Countering Violent Extremism assessment interview conducted in February 2014 in Agadez on the role and efficiency of the state in the delivery of services, a young Cameroonian migrant who participated in a focus group stated that: *“I believe there is an important role for the state to play. But when it comes to Boko Haram, if the police are the ones who are supposed to provide security but they then are the ones who take bribes and rob people then how can we say that state is functioning when it is the one causing more problems or maybe even allowing the Boko Haram people to get through.”* Another male migrant respondent said: *“the police stop you as if you are a thief, they search you and ask you to lift up your arms as if you are a bandit, and then they rob you.”* Yet another male migrant explained that the state “mistreats” children in Agadez region and youth are not given an education to provide for their future: *“Quand un eleve qui fait la 3 eme n’as meme pas le meme niveau que ma soeur qui est en 10eme y a un probleme”*. These reflections are the norm in a country that is struggling to prove to its citizens that it can deliver on its promises. [↑](#footnote-ref-1)
2. USAID Transnational Organized Crime/Conflict Assessment, 2013 [↑](#footnote-ref-2)
3. In particular, the recent findings from the five-year Africa Power and Politics Programme and Centre for the Future State research initiatives funded by UK’s DfID, as well as USAID’s new Political Economy Assessment guidelines. [↑](#footnote-ref-3)
4. *Making All Voices Count: A Grand Challenge for Development.* McGee, Rosie, PhD. Institute of Development Studies, 2014, page 2. [↑](#footnote-ref-4)
5. “Adaptive Management is an approach to implementing the [USAID] Program Cycle that seeks to better achieve desired results and impacts through the systematic, iterative, and planned use of emergent knowledge and learning throughout the implementation of strategies, programs, and projects. (This learning can take place through data, findings, conclusions, lessons, and analyses, as well as sharing experience and observations.)  Adaptive management can increase Missions’ ability to respond quickly both to changing environments and in the event that the original framing proves inadequate, inaccurate, incomplete, or unrealistic.” Retrieved September 5, 2014 from <http://usaidlearninglab.org/learning-guide/adaptive-management>. [↑](#footnote-ref-5)
6. This kind of analytic approach to inform programming is supported by USAID’s 2012 report on “Assessing the Effectiveness of Democratic Accountability Mechanisms in Local Governance,” prepared by Management Systems International. [↑](#footnote-ref-6)
7. USAID Transnational Organized Crime/Conflict Assessment, 2013 [↑](#footnote-ref-7)
8. The Center for the Future State (CFS) was a 5-year governance research initiative of the Institute for Development Studies at the University of Sussex, supported by the UK Department for International Development (DfID). Its 2010 final report is available at <http://www2.ids.ac.uk/futurestate/pdfs/AnUpside-downViewofGovernance.pdf> . The Africa Power and Politics Program (APPP), also supported by DfID, was another 5-year research program aimed at better understanding the political economy and socio-anthropological underpinnings of governance dynamics in Africa in particular. Its synthesis report is available at <http://www.institutions-africa.org/page/appp+synthesis>. Incidentally, Niger’s LASDEL research institute was a member of APPP and is also the current Afrobarometer research partner responsible for the Niger survey. [↑](#footnote-ref-8)
9. “Adaptive Management is an approach to implementing the [USAID] Program Cycle that seeks to better achieve desired results and impacts through the systematic, iterative, and planned use of emergent knowledge and learning throughout the implementation of strategies, programs, and projects. (This learning can take place through data, findings, conclusions, lessons, and analyses, as well as sharing experience and observations.)  Adaptive management can increase Missions’ ability to respond quickly both to changing environments and in the event that the original framing proves inadequate, inaccurate, incomplete, or unrealistic.” Retrieved September 5, 2014 from <http://usaidlearninglab.org/learning-guide/adaptive-management>. [↑](#footnote-ref-9)
10. This kind of analytic approach to inform programming is supported by USAID’s 2012 report on “Assessing the Effectiveness of Democratic Accountability Mechanisms in Local Governance,” prepared by Management Systems International. [↑](#footnote-ref-10)
11. During a consultation meeting for this design, Minister of Justice Marou Amadou stated that without addressing the corruption and other dynamics preventing resources from getting to where they are most effective and needed, “investing in the education system in Niger is like throwing money out of the window” (December, 2013). Civil society groups like the National Association for the Fight Against Corruption lamented that such dynamics has lowered the quality of instruction – when teachers actually show up for class, which is often not the case, especially in marginalized rural areas. [↑](#footnote-ref-11)
12. While there may be the concern that use of PEA to “dig up” such dynamics could prove controversial, recent experience per the applied PEA literature and discussions with USAID/DRG PEA experts suggests that these dynamics are generally only hidden and/or left undiscussed by international partners. Civil society as well as many host country government actors are in fact relieved to be able to get them on the table and addressed constructively rather than pretend they are not there. [↑](#footnote-ref-12)