

REPUBLIC OF MOZAMBIQUE

SWISS DEVELOPMENT COOPERATION

**GOVERNANCE, WATER AND SANITATION PROGRAMME IN
NAMPULA AND CABO DELGADO (PROGOAS)**

EXTERNAL EVALUATION

MISSION REPORT

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ACRONYMS

ADELNA	Association for the Local Development of Nampula <i>Associação para o Desenvolvimento Local de Nampula</i>
CBO	Community Based Organisation
CdA	Water and Sanitation Committee <i>Comité de Água e Saneamento</i>
CDC	Community Development Councils <i>Conselhos de Desenvolvimento Comunitário</i>
CHF	Swiss Franc
CLTS	Community-Led Total Sanitation
DAS	Department of Water and Sanitation <i>Departamento de Água e Saneamento</i>
DNA	National Water Directorate <i>Direcção Nacional de Água</i>
DPPF	Provincial Directorate of Planning and Finance <i>Direcção Provincial de Plano e Finanças</i>
DPOPH	Provincial Directorate of Public Works and Housing <i>Direcção Provincial das Obras Públicas e da Habitação</i>
ETD	Technical District Team <i>Equipa Técnica Distrital</i>
EPAP	Provincial Planning Support Team <i>Equipa Provincial de Apoio à Planificação</i>
HAUPA	Environmental Hygiene and Productive Use of Water <i>Higiene Ambiental e Uso Produtivo da Água</i>
IP	Implementing Partner
IPCC	Community Participation and Consultation Institution <i>Instituição de Participação e Consulta Comunitária</i>
FL	Locality Forum <i>Forum de Localidade</i>
LOLE	Law on Local Organs of State <i>Lei dos Órgãos Locais do Estado</i>
M&E	Monitoring and Evaluation
MDG	Millenium Development Goal
MOPH	Ministry of Public Works and Housing <i>Ministério das Obras Públicas e da Habitação</i>
MPD	Ministry of Planning and Development <i>Ministério da Planificação e Desenvolvimento</i>
MoU	Memorandum of Understanding
O&M	Operation and Maintenance
ODF	Open Defecation Free
PESA-ASR	Strategic Plan for the Water and Sanitation Sub-sector
PHAST	Participatory Hygiene and Sanitation Transformation
PMU	Programme Management Unit
PPFD	District Planning and Financing Programme
PNPFD	National Programme of Decentralised Planning and Finance <i>Programa Nacional de Planificação e Finanças Descentralizadas</i>
PROGOAS	Governance, Water and Sanitation Programme in Nampula and Cabo Delgado
PRONASAR	National Programme for Rural Water and Sanitation
RDP	Rural Development Programme
SDC	Swiss Development Cooperation

EXECUTIVE SUMMARY

1. The Governance, Water and Sanitation Programme in Nampula and Cabo Delgado (PROGOAS) started in January 2009 for three years. It has two expected outcomes, each corresponding to a programme component: (i) rural citizens are organised and participate in consulting processes that improve the efficiency of decentralised planning, implementation and financing of activities in the water and sanitation sector; (ii) district governments, the private sector and communities provide water and sanitation services, with gradually increasing role and responsibilities in the maintenance and expansion of services. The programme is implemented by Helvetas, with some activities outsourced to local implementing partners. Total programme cost amounts to CHF 5,320,000, of which CHF 4,220,000 are financed by SDC and CHF 1,100,000 are financed by Helvetas. The evaluation had a triple objective: (i) to evaluate PROGOAS progress; (ii) to analyse approaches, lessons learnt and programme activities; and (iii) to provide recommendations for the future.

Programme Concept – Strengths and Weaknesses

2. **Strengths.** Programme design builds on SDC and Helvetas long time experience in local governance and water and sanitation in the Northern provinces. It is aligned with main national policies in the field of participatory decentralisation and good governance at the local level, as well as of water and sanitation. Furthermore, the programme concept is in line with SDC country strategy for Mozambique (2007-2011) and particularly on its local governance domain, and it complements SDC contributions to the development of the water and sanitation sub-sector at the national policy-making level.

3. **Weaknesses.** The programme has a limited geographical coverage and targets many communities that had already received substantial support from preceding SDC projects. Past experience had resulted in a range of well developed approaches and tools that should have allowed PROGOAS to switch from earlier piloting approaches to one of consolidation and expansion over a larger target area. The limited expected impact is also compounded by the fact that programme support to government structures in the planning, budgeting and implementation of investments in the water and sanitation sector exclusively focuses on the limited funds that are available within PROGOAS budget, rather than embracing all of the district resources allocated to the sub-sector. Besides, programme design presents the two components as two separate sub-projects, without clear modalities for integrating them. Despite this lack of conceptual integration, the programme team has ensured a good coordination between the two components. Other design weaknesses have had more impact on programme implementation. The first component focuses exclusively on supporting CDCs and local councils without planning for involving local government structures in the capacity building of CDCs, which is not conducive to generating mutual recognition and does not prepare government structures to support civil society participation in local councils beyond project completion. The programme team has to some extent compensated this initial design by developing linkages with district administrations, but these actions have not been implemented in a systematic fashion and vary in the two provinces. The second component lacks a clear strategy for sanitation, which has delayed the full development of programme activities in this area. Moreover, programme design does not plan for any involvement of relevant provincial authorities, resulting in lower efficiency because of missed synergies and collaborations. Finally, the 3-year duration is very short to achieve project outcomes such as

institutional changes, but also to develop private service provision in the water and sanitation sector. Additionally, the project did not include an inception phase, therefore further reducing the time available for actually implementing programme activities.

Programme Achievements – Strengths and Weaknesses

4. **Component 1.** PROGOAS has developed a large range of tools that can support efficient and fast capacity building of CDCs and CdAs. Successful CDCs visited by the mission demonstrate that a good level of capacities can be reached over less than a year. Tools include: capacity building modules, tested and described in trainer's manuals; the grouping of CDCs into micro-regions to facilitate training; the training of community facilitators and of micro-region advisors to assist in building and sustaining the capacities of CDCs; the participation of traditional and administrative authorities in capacity building; self-assessment of CDCs and district council's performance; and forceful radio and theatre-based communication. The gender approach developed as part of capacity building has proved very effective in ensuring strong participation of women in CDCs and CdAs, including within decision-making organs, as well as in local councils. With regard to the latter, PROGOAS has focused its support at the district and administrative post levels, where it can leverage more impact. PROGOAS support has generated a better participation of civil society into local councils. However there are no guidelines or written documentation that could help steering such a process once the programme is over, thereby compromising further efforts by district administrations to extend PROGOAS approach to a larger number of local councils. On the weaker side, PROGOAS protracted assistance to many communities and the lack of a clear set duration for developing institutional support contribute to creating a strong relationship of dependence vis-à-vis the programme, which is not conducive to sustainability. Furthermore, while the programme has developed good relationships with district governments, there is a lack of systematic integration into district systems and into the district planning cycle. Finally, whereas Provincial Directorates for Planning and Finance have a key role in supporting good governance at district level, the programme has no institutionalised relationship with them, despite the fact that project design assumed that the programme would complement PPFD activities.

5. **Component 2.** PROGOAS has designed four capacity building modules to support CdAs development. Interviews indicate that most of them collect contributions from community households to ensure routine maintenance, that they are usually effective in carrying routine maintenance as is demonstrated by the low level of serious breakdowns, and that many CdAs and CDCs work together, with CDCs taking responsibility for liaising with the district governments. Tender launching and bid selection for water infrastructure are carried out by SDPIs, with support provided by PROGOAS. Such an approach is in line with the Paris Declaration principles and is conducive to strengthening SDPI capacities. However at the time of the mission, only 42% of the planned water infrastructure had been completed and part of the works only consisted in unequipped boreholes. Delays are mainly caused by the lack of harmonisation between district and PROGOAS planning. Promising models are being developed to ensure that local craftspeople are available to cater for major repairs on water and sanitation infrastructure. They still need consolidation, particularly with regard to ensuring profitability, clarifying possible institutional/legal models, and separating profit-making activities from those that are linked to the promotion of public goods. Additionally access to spare parts is also problematic because of low interest on behalf of local traders.

Alternative models should be explored, building on entrepreneurs and micro-enterprises as well as on SDPI technicians. Securing these key elements is a time-consuming process that will need to be further continued in the course of a second phase. Activities in the field of sanitation have started in 2009, but reached full speed late 2010 once the team had developed a sanitation strategy and had familiarised itself with the new CLTS approach. The implementation of the CLTS approach has produced fast results in terms of latrine construction, also thanks to the innovative use of theatre groups. However, only one community has yet been declared Open Defecation Free (ODF). Weaker areas also include insufficient coordination with DPOPH/DAS despite the fact that they are responsible for overall sector monitoring. Finally, while the programme document relied on CARE's project HAUPA to carry out investments and capacity building in the water and sanitation sector in two districts, the lack of a proper MoU detailing the modalities of coordination between the two projects has resulted in HAUPA not providing assistance in the areas covered by PROGOAS.

Programme Management

6. Despite the fact that the programme team is split between two provinces, there is good team building and coordination between provincial and sector programme teams. The programme team has demonstrated a good capacity for adapting programme methods to field reality, as demonstrated for example by the way it managed to offset some of the design weaknesses. It has also showed creativity and a good capacity for proposing innovative approaches. Implementing partners AMA and OLIPA were able to meet most of their targets, which is also due to the provision of institutional support by Helvetas. While the programme document had only identified these two local NGOs, PROGOAS has outsourced activities to a much larger number of local implementation partners, thereby contributing to creating synergies with local stakeholders and contributing to the building of their capacities. A comprehensive and participatory M&E system has been developed. However it only focuses on output indicators and does not provide information as to their quality or the use that is being made of them. In reality, the programme team has some empirical appreciation of programme effects, and efforts have been made to gather a more qualitative assessment of programme performance, but this information is not sufficient and does not enable the PMU to steer the programme strategically. Other weak areas include limited integration in district and provincial management systems, and insufficient linkages with the national policy level. Finally, while SDC supervision missions were useful to detect programme weaknesses and to propose remedial actions, they could enhance their positive impact by adopting a unified supervision framework.

7. The overall implementation rate for SDC contribution to PROGOAS by December 2010 is 59%, but there is a marked imbalance between running costs for the programme team and office, which altogether represent about 91% of the planned budget, and operating costs, which reach a low 31%. The discrepancy is mainly due to a delay in the implementation of water infrastructure. However since such delays were already affecting project spending in 2009, a faster reaction on behalf of the programme management could have helped in reorganising planning modalities to speed up implementation in the second year.

Recommendations

8. Completing the current phase. The challenge to address by the programme team until December 2011 is double, i.e. to ensure the sustainability of programme achievements so far and to document good practices and methodological tools to pave the way for the implementation of a second phase. To this effect, programme activities should focus on five priorities: (i) to prepare CDCs and CdAs to autonomy, by devising detailed CDC/CdA Autonomy Action Plans, reviewing and completing capacity building modules, aligning micro-regions with 'povoações', developing linkages with District Technical Teams and preparing guidelines capitalising on PROGOAS experience with regard to building the capacities of local councils; (ii) to complete the construction/rehabilitation and equipment of planned water points for 2010 and 2011; (iii) to organise sustainable operation and maintenance of water points, by improving and consolidating the models that are being tried out; (iv) to achieve Open Defecation Free in all target communities; and (v) to strengthen knowledge management and document experience, by completing the current monitoring and evaluation system to include a qualitative assessment of results achieved, identifying good practices, and devising and implementing a dissemination strategy. Activities relating to these five areas are developed below. The mission agrees with SDC suggestion that it would be appropriate to extend the first phase by 4-5 months. This would enable the programme team to produce important results, in line with the first phase objectives, that could then serve as a basis upon which to develop the second phase. It is recommended that an action plan for the remaining time (including the extension phase) be prepared by Helvetas together with the programme team, to be shared with SDC and with PROGOAS stakeholders at the national, provincial and district level.

9. Proposals for a second phase. A second phase is required to switch from piloting to replication, as well as to demonstrate that tools developed in the first phase are appropriate for improving participatory local governance and sustainable, decentralised, community-driven access to water and sanitation at a scale and pace that are compatible with the scale of district needs. The second phase would also consolidate PROGOAS efforts to develop a sustainable private sector offer to secure operation and maintenance of water points. Finally, a second phase would complement SDC's support to the development of a national policy framework for the water and sanitation sector and it would contribute to policy development in relation to sector decentralisation (PRONASAR) and to the National Decentralised Planning and Finance Programme. PROGOAS II would promote participatory governance in the water and sanitation sector at the local level, with a focus on communities and districts, yet ensuring linkages with the provincial and national levels. The new programme would scale up first phase achievements and approaches and seek to reach a larger impact by expanding the programme target area and supporting the planning and implementation of all of the district financial resources available for the water and sanitation sector. It would also consolidate achievements of the first phase to secure CDC/CdA sustainability and to develop a network of capable and profit-making mechanics for the maintenance and repair of water infrastructure. While it would no longer be a pilot project, innovation should remain as a complementary objective in a few selected areas.

INTRODUCTION

10. The Governance, Water and Sanitation Programme in Nampula and Cabo Delgado (PROGOAS) started in January 2009, with Helvetas implementation. In accordance with the programme description, the Swiss Development Cooperation (SDC) organised an external evaluation 8 months before the end of the phase with a triple objective¹: (i) to evaluate PROGOAS progress, with a particular focus on relevance, efficiency and effectiveness of achievements in the focus districts; (ii) to analyse approaches, lessons learnt and programme activities; and (iii) to provide recommendations for the future, including suggestions for adjustments over the remaining period till the end of 2011, as well as outlining options for the future.

11. The evaluation was carried out by Agnès Deshormes, team leader and specialist in rural institutions, and by Carlos Munguambe, specialist in decentralised planning and budgeting and in water and sanitation systems, from April 18 to May 3, 2011.

12. The mission had meetings in Maputo with SDC Governance Unit, with the Department of Planning and with the National Decentralised Planning and Finance Programme (PPFD) in the Ministry of Planning and Development (MPD), with the National Directorate of Water in the Ministry of Public Works, and with Helvetas Country Director. It then carried out a programme of visits in the province of Nampula (from April 19 to 23), where it met with programme stakeholders at provincial, district and community level, as well as with Helvetas Programme Management Unit (PMU) and Implementing Partner OLIPA. Field visits were organised in the districts of Mecuburi and Nacaroa. A debriefing of PROGOAS coordinator and staff was organised by the end of this first stage, where the mission presented preliminary findings and recommendations and discussed them with the programme team. A similar programme of visits was then carried out in the province of Cabo Delgado (from April 25 to 29), with field visits in the districts of Ancuabe and Mecufi and a meeting with Implementing Partner AMA. A meeting with the whole PROGOAS team was organised on April 28 to present and discuss overall findings and recommendations. On April 29, a half day workshop was organised in Pemba, where the mission's findings and recommendations at the end of its field work were discussed with key programme stakeholders from both provinces. Finally, a debriefing meeting was held in Maputo with SDC, PPFD and Helvetas on May 3².

13. This report is organised as follows. Chapter 1 exposes the main features of programme design and analyses strengths and weaknesses. Chapter 2 reviews programme strategy, achievements and soft points for the two programme components, Local Governance and Water and sanitation. Chapter 2 analyses issues related to programme management and efficiency. Chapter 4 addresses sustainability. Finally chapter 5 sets out options for the future, distinguishing proposals to complete the current phase, and broad orientations to steer the development of a second phase.

14. The mission would like to extend its warmest thanks to all the persons it met, for their availability, their readiness in sharing valuable information and their precious contribution to the mission's work.

¹ See complete terms of reference in annex 1.

² A complete list of persons met is attached in annex 2.

1. PROGRAMME CONCEPT AND RELEVANCE

1.1 Programme Concept

15. **Origins.** SDC's involvement in the promotion of participatory decentralisation in Northern Mozambique started in the mid 90s with Project MOZ 44, which was directly implemented by SDC in the district of Mecuburi (Nampula) and promoted civil society and community development. In 2005, SDC approved the Rural Development Programme (RDP), which combined support to increased participation of rural communities in local development initiatives and district planning, with the promotion of increased food security and agriculture-based income, as well as access to community-based credit and saving schemes. RDP was implemented by Helvetas and several implementing partners. A programme review was carried out in March 2007³, which recommended to discontinue RDP as a programme, as it did no longer fit into SDC's new strategic orientations, but to continue specific activities and approaches developed within RDP under a different implementation framework. In the field of community empowerment and participatory district planning, the review recommended to give continuity to RDP's achievements by setting up a project to support the participation of civil society in local decision making processes, within the framework of the decentralised planning cycle.

16. Furthermore, SDC has been involved in Mozambique's water sector since the very beginning of its cooperation in 1979, along with Helvetas. The most recent Water and Sanitation project started in 2005 in Cabo Delgado Province and focused on the construction and rehabilitation of improved water points, as well as the promotion of hygiene and sanitation at community level. Project evaluation recommended that future initiatives in the sector link improved access to water and sanitation to the decentralisation framework, by supporting active participation of strengthened Water Committees (*Comités de Agua – CdAs*) into Community Development Committees (CDCs), improving the capacity of district governments in the planning and implementation of service provision in the sector, and complementing district budget with additional funding. It also recommended developing sustainable access to spare parts for water pumps, through enhanced involvement of the private sector.

17. **SDC strategy.** Local governance is one of the three domains supported by SDC strategy for 2007-2011. Main strategic objectives in this respect are: (i) to strengthen the capacities of local communities to influence resource allocation and programme implementation in the districts, and to monitor district performance; (ii) to support district governments in developing their technical and administrative capacities, strengthening democratic practices and improving social infrastructure; and (iii) become a leading participant in donor coordination and policy dialogue on local governance issues. Given the priority attributed by rural communities to access to water, SDC strategy plans to reorient the long-standing water program so that it becomes an integral and crucial component of the Local Governance Domain. The strategy also states that SDC should keep its leading role in the policy dialogue in the water sub-sector, with a focus on local governance.

18. **Design.** In March 2008, SDC commissioned Helvetas to design and implement a 3-year project that would build on past Helvetas experience with rural

³ Agnès Deshormes, Leda Hugo, Nito Matavel, Rural Development Programme, Programme Review, Mission Report, March 2007

development projects including in the water and sanitation sector. The project was to complement activities carried out by the National Decentralised Planning and Finance Programme (PPFD), by promoting the active participation of civil society and ensuring that basic needs in the water and sanitation sector be met at district level.

19. PROGOAS started in January 2009 for three years. The programme long term objective is to improve socio-economic development and to alleviate poverty through better local governance and decentralised service delivery in the sector of water and sanitation in the provinces of Nampula and Cabo Delgado. It has two expected outcomes:

- *Outcome 1:* Rural citizens are organised and actively participate in decision-making and transparent consulting processes that improve the efficiency of decentralised planning, implementation and financing of activities in the water and sanitation sector (empowerment);
- *Outcome 2:* District governments, the private sector and communities provide and manage rural water and sanitation services, with gradually increasing role and responsibilities in the maintenance and expansion of services, as well as, when necessary, in procuring alternative solutions (supply services).

20. **Programme cost.** Total programme costs amounts to CHF 5'420,000, of which CHF 4,220,000 financed by SDC and CHF 1,1100,000 financed by Helvetas.

1.2 Strengths

21. **Relevance.** Programme design is aligned with main policies and legislation in the area of participatory decentralisation and good governance at the local level, especially with the 2003 Law on Local Organs and its bylaws, as well as with the guidelines describing responsibilities and operation of consultative local councils. Building on the latter, it focuses on strengthening the capacities of civil society to actively participate in the district planning and monitoring process.

22. PROGOAS design is also aligned with national policies for water and sanitation policies, and particularly with the National Policy on Water, the 2005-2015 Strategic Plan for the Water and Sanitation Sub-sector (PESA-ASR). PESA-ASR recognises the important role of civil society and of the private sector at district and lower local levels, but it also stresses the need to link it to decentralised planning, implementation and financing, which is partially reflected in programme design and implementation as will be detailed below. PROGOAS implementation is also aligned with the National Programme for Rural Water and Sanitation (PRONASAR) launched in May 2010, particularly with regard to building the capacities of SDPI, supporting community consultation and promoting the inclusion of Water Committees in the district planning process (by linking them with CDCs), promoting the local private and associative sector and implementing government-recommended sanitation strategies.

23. Finally programme design is also in line with SDC Strategy of Cooperation with Mozambique 2007-2011 and on its local governance domain, particularly with respect to the establishment of mechanisms that allow civil society to participate in and monitor the performance of local governments and district authorities. It complements SDC contributions to the development of the water and sanitation

sub-sector, which also includes policy support (through the AGUASAN project) and contribution to the Common Fund for the sub-sector.

24. **Capitalisation.** PROGOAS design builds on SDC and Helvetas long time experience in both local governance and water and sanitation in Mozambique, particularly with regard to: the promotion of civil society participation, through CDCs, in district planning; the provision of institutional support to local implementation partners; the promotion of multi-stakeholders networks for exchange of experience and coordination of activities; and the development of capacity building programmes for civil society, local government stakeholders and, private sector development in water and sanitation.

25. **Implementing partners.** Programme implementation foresees the recourse to two national NGOs, which have been supported by Helvetas since 2005 and are to receive further institutional support in the course of PROGOAS. Such an approach, which is very conducive to develop capable local service providers, could have been extended to a larger range of implementers.

1.3 Weaknesses

26. **Unclear integration.** The programme is composed of two separate components (one focusing on community-based territorial planning, and the other one on sector planning), which appear as two separate sub-projects without clear modalities for integrating them. While some stakeholders met by the mission expressed their doubts as to whether PROGOAS was a local governance project or a water project, the mission is of the opinion that it could have been designed as an integrated local governance project with a focus on the water sector. However, despite the lack of conceptual integration, the programme team has in fact ensured a good coordination between the two components, for example by strengthening linkages between CDCS and Community Water and Sanitation Committees (CdAs), by developing linkages between these community structures and district governments, by supporting District Technical Teams where possible, and by engaging staff working on either component to develop strong collaboration.

27. **Limited coverage and expected impact.** The programme has a limited geographical coverage, i.e. only 200 communities over 8 districts, even in districts where SDC has been present already for several years. Moreover, many communities supported by PROGOAS have been receiving support from preceding projects already for protracted durations, which is difficult to justify with respect to both equity and efficiency. Such situation ends up in creating 'small islands of excellence' at community level, with limited impact compared to overall district needs. It also turns the programme into yet another pilot project, whereas experience over the years has resulted in a range of well developed approaches and tools that should have allowed PROGOAS to switch from earlier piloting approaches to one of consolidation and expansion.

28. **Limited integration into district planning and budgeting.** The limited coverage and expected impact is also compounded by the fact that programme support to government structures in the planning, budgeting and implementation of investments in the water and sanitation sector exclusively focuses on the limited funds that are available within PROGOAS budget, instead of embracing district budget resources devoted to the water and sanitation sector. A more comprehensive approach building on all district resources available for water and sanitation (including district and other development partners' resources) would

have led to a larger impact and stronger capacity building of government structures, which would have ultimately benefitted communities.

29. Limited involvement of government structures in supporting local governance. The local governance component is exclusively focusing on supporting CDCs and Local Councils, without planning for involving local government structures in the capacity building of CDCs.. This entails three shortcomings: (i) it is not conducive to generating trust and mutual recognition between the two sets of structures, which is key for civil society to gain an effective role in district decision-making processes; (ii) it does not prepare local government structures to support civil society participation in local councils beyond project completion, which would contribute to sustainability; and (iii) it gives a prominent role to Helvetas in implementing the project rather than letting local structures (government structures, but also NGOs or OCBs) taking responsibility and receiving support to assist them in doing it efficiently. The programme team has to some extent compensated this initial design, for example by establishing MoUs with districts, by inviting local authorities to participate in capacity building activities as resource persons or to attend some CDC meetings, by supporting the role of CDCs in channelling issues raised by CdAs to local governments or by supporting Technical District Teams. However, these actions have not been implemented in a systematic fashion and vary in the two provinces.

30. Lack of a sanitation strategy. With regard to sanitation, the programme document only planned to the creation of district demonstration centres to promote 'alternative technologies', an approach that still needs to be consolidated based on lessons learnt from prior experiences elsewhere in Mozambique. A strategy for promoting sanitation at community level had to be developed during programme implementation.

31. Limited linkages with the provincial level. Programme design does not plan for any involvement of provincial authorities (Provincial Directorate of Planning/Programme for Decentralised Planning and Financing (PPFD) and Provincial Directorate of Public Works) in programme activities, resulting in lower efficiency because of missed synergies and collaborations, despite participation of provincial authorities in PROGOAS supervisory committee at the provincial level. This limitation also affects programme integration within provincial systems, which retain a very important role in supporting district activities, and thereby also reduces the potential for sustainability of programme achievements. The programme team has partially compensated this situation by taking an active role in the provincial multi-stakeholder networks (*Rede dos parceiros* and Water and Sanitation Groups). However a more effective approach to support coordination and synergies could have been to have Helvetas Governance Manager integrating the Provincial Planning Support Team (EPAP)⁴, which is responsible for facilitating participatory planning and for coordinating sector contributions, which would have allowed not only to better coordinate activities in support to local councils, but also to disseminate PROGOAS approaches and experience.

32. Limited linkages with the national level. There is a lack of explicit, operational linkages with the national level (DNA and MPD), which prevents from developing regular exchange of information between the programme and policy level. This is all the more regrettable since the programme has been developing

⁴ As had been the case with IFAD-financed Civil Society Support Project (*Projeto de Apoio à Sociedade Civil – PASC*) implemented by Helvetas in 2005.

several innovative approaches, which could be disseminated and have a larger impact if channels of communication with the national level had been established. Furthermore while the programme document made reference to the forthcoming creation of a Common Fund for the Rural Water and Sanitation Sub-sector (co-financed by SDC), anticipating that programme support should have prepared district governments to access Common Fund resources, the programme document does not include any specific provisions in this respect and it does not seem that this concern has later been reflected into programme implementation.

33. **Short duration.** The 3-year duration is very short to achieve project outcomes such as institutional changes, but also to develop private service provision in the water and sanitation sector. While it is recognised that SDC has the possibility to finance successive 3-year phases to achieve longer term outcomes, it would have been clearer to set specific outcomes to complete within this phase. Additionally, the project did not include an inception phase, although a completely new team had to be set up from scratch, therefore further reducing the time available for actually implementing programme activities.

2. PROGRAMME ACHIEVEMENTS

34. **Geographical coverage.** PROGOAS is implemented in five districts where Helvetas had been providing assistance already for several years (Erati, Mecuburi and, to a lesser extent, Muecate in the province of Nampula, and Chiure and Ancuabe in the province of Cabo Delgado), and in three new districts (Nacaroa in Nampula and Macomia and Mecufi in Cabo Delgado). Table 1 shows some of the main features of the eight districts.

Table 1 – Main features of districts covered by PROGOAS

	Erati	Mecuburi	Muecate	Nacaroa	Ancuabe	Chiure	Macomia	Mecufi
População	256,715	155,296	93,906	106,887	125,293	217,487	87,466	43,285
Area (km²)	5,571	7,135	4,133	2,726	4,606	4,210	4,049	1,192
Nbr of admin. posts	3	4	3	3	3	6	4	2
Nbr of localities	7	12	7	9	9	14	11	5
Nbr of povoações	30	101	100	100	64	110	48	24
Nbr of participatory institutions (IPCCs)⁵	11	16	11	13	13	21	16	8

Source: PROGOAS Programme Management Unit/District plans, 2010

35. **Inception.** PROGOAS started in January 2009. However a number of factors contributed to slowing down programme implementation in the first year:

- *Setting up the programme implementation framework:* most of the first six months had to be devoted to laying down a programme implementation framework. This involved: (i) recruiting an implementation team and training staff to lay down basic common planning, reporting and project management capacities; (ii) establishing collaborative agreements with participating districts; (iii) defining and negotiating mandate agreements with Implementing Partners AMA and OLIPA; (iv) carrying out a baseline study. Such preparatory activities had to be established prior to start the implementation of activities but they had

⁵ Excluding Conselhos de Povoação, for which complete figures are not available.

not been envisaged in the programme document, which did not plan for an inception phase;

- *Capacity building needs of Implementation Partners:* neither AMA nor OLIPA staff had previous experience with regard to local governance, for which they required capacity building prior to become operational. This also led to increased supervision to be carried out by Helvetas team;
- *Development of a sanitation strategy:* a sanitation strategy had to be developed in the early stages of programme implementation, given the lack of strategic orientations in the programme document. In the meantime, the government had adopted Community-Led Total Sanitation (CLTS) as a new country-wide approach, to be combined with Participatory Hygiene and Sanitation Transformation (PHAST)⁶. The programme team had to familiarise itself with CLTS, and clarify programme strategy in this respect. However some sanitation activities were already developed in 2009 (PHAST, construction of latrines in markets and schools and district-led sanitation campaigns). As a result sanitation activities only started in 2010.

2.1 Component 1: Community Empowerment and Participative District Planning

Programme Strategy

36. **Classification of districts.** Based on their different levels of development with regard both to participatory decentralisation and access to water and sanitation, the programme document organised target districts in three categories:

- *Nacaroa, Macomia and Mecufi districts* had not received any prior Helvetas support. They were deemed 'areas of expansion' of traditional Helvetas areas, where programme components would be directly implemented by Helvetas with the objective of covering 50% of district communities. In these districts, PROGOAS involvement was expected to be of *maximal intensity*;
- *Ancuabe and Mecuate districts* had received RDP support, and CDCs as local councils were deemed in need of consolidation. Helvetas was to implement both components, except in Mecuate where the implementation of the local governance component was entrusted to a local NGO based in the province of Cabo Delgado, AMA. The objective was to bring 70% of existing CDCs and of local councils up to the administrative post to reach an acceptable level of capacities. In these districts, PROGOAS involvement was expected to be of *medium intensity*;
- *Chiure, Mecuburi and Erati districts* had already received substantial support from Helvetas and were thus considered as requiring only minimal assistance under PROGOAS. The local governance component was to be implemented by local implementation partners (AMA and OLIPA). Furthermore in the districts of Mecuburi and Erati, the water and sanitation component was to be covered through a partnership with HAUPA, a project financed by CARE. The objective was the same as in Ancuabe and Mecuate districts. In these districts, PROGOAS involvement was expected to be of *low intensity*.

⁶ CLTS is an approach to promote hygiene and sanitation by mobilising communities to completely eliminate open defecation, through behavioural changes and the construction of latrines. PHAST provides a set of participatory tools to promote sustainable hygiene and sanitation.

37. However it turned out that most CDCs that had a satisfactory performance while RDP and Helvetas support were still ongoing, had regressed to a much lower capacity level during the nine months gap between the end of RDP and the start of PROGOAS. Consequently, districts that according to programme design would only have required minimal support to consolidate achievements, actually still needed substantial assistance. This resulted in an increased workload for the implementation team and led to reducing the extent of support provided to local councils.

38. **Critical mass of CDCs.** Given the wide geographical area to be covered by the programme, the strategy is to promote the development of a 'critical mass' of sustainable community structures and of informed citizens that could have an influential role in the provision of district services. It is assumed that the creation of such structures in 50% of a district's communities would lead to autonomous replication to adjoining communities, which would become aware of the benefits attached to developing a CDC. To this effect, it is planned to train CDCs in groups, called 'micro-regions', which would bring economies of scale and facilitates exchanges of experience.

39. However target numbers in the programme document are far from representing 50% of the total number of communities: PROGOAS is to reach a total of 200 communities. This represents around one third of the total number of communities. Besides, the assumption that the number of CDCs would expand by the sheer example of existing ones seems overly optimistic. It is true however that, according to district administrators interviewed by the mission, CDC representatives trained by PROGOAS and sitting on District Councils actively participate in the sessions, are articulate and well prepared, propose well-grounded projects and positively impact discussions. This is however not sufficient to induce communities (of which a very few number is directly represented in the District Council) to autonomously develop a CDC. Additionally, given the fact that CDCs supported in previous projects had eventually demonstrated their lack of sustainability despite several years of assistance, the reproduction of the same approach exclusively focusing on building the capacities of CDCs does not appear to be effective. A strategy that would have systematically integrated CDCs in the district governance system⁷, would have better shouldered efforts deployed at community level as already noted above. It would also have fostered CDC autonomy in looking for solutions to community problems within the district, rather than relying on project assistance as it still is the case today with many CDCs, including among those which had been receiving Helvetas assistance even before PROGOAS start.

40. **Classification of CDCs.** The programme builds on the classification of CDCs that was developed in earlier projects and is based on a four-level scale as shown in table 2.

⁷ Including for example the integration of project staff in the Technical District Team, the provision of support to the latter, and the fostering of linkages between CDCs and local government structures, particularly at the level of *localidade*.

Table 2 – Classification of CDCs

Level	Main features
A	Can subsist without project support. Strong participatory leadership, involving all community stakeholders. Excellent understanding of CDC role. Accountable to community. Capacity to liaise with external partners.
B	Limited chances to subsist without project support. Weaker and less participatory leadership. Limited understanding of CDC role. Limited accountability. Weak capacity to liaise with external partners.
C	Cannot subsist without project support. Limited participation. Limited understanding of CDC role. Lack of accountability. Lack of linkages with external partners.
D	Cannot subsist without project support. Total lack of understanding of CDC role. Lack of linkages with external partners.

41. The definition of clear assessment criteria to measure CDC capacities is an effective tool. However at programme start it appeared that many CDCs had regressed to a lower level of capacities during the time gap between the end of RDP and the beginning of PROGOAS, which sheds some doubts about the appropriateness of the selected criteria. Table 3 compares CDC capacity assessment at the end of RDP and at the beginning of PROGOAS in the districts of Ancuabe and Chiure.

Table 3 – CDC level in 2008/2009 in the districts of Ancuabe and Chiure

Districts	A		B		C		D	
	2008	2009	2008	2009	2008	2009	2008	2009
Ancuabe	6	1	12	8	6	18	0	0
Chiure	14	1	10	11	18	29	0	1

Source: PROGOAS Progress Report, December 2009

42. **From community to district plan.** The programme approach is to start by building CDC capacities to develop a 'community development agenda', which, based on the identification of opportunities and constraints, identifies activities and investments that can be implemented either by the community on its own or by the district, private sector or NGOs. Once the agenda is available, CDCS are trained to participate in local councils and in the decentralized planning process. The linkage between community and district planning is discussed below.

43. **Implementing partners.** Building on past projects efforts to develop local implementation capacities, PROGOAS was to outsource the implementation of component 1 in low intensity districts to local NGOs AMA and OLIPA. The programme document also included the provision of capacity building support to both of them. This approach is commendable and could have been extended at a larger scale, rather than only focusing on NGOs that had already received prior Helvetas support and relying on Helvetas staff elsewhere.

Achievements

44. Table 4 shows output indicators for component 1.

Table 4 – Output indicators for component 1 (by 31 December 2010)

Expected outputs	Indicators	Programme target	Achieved	% achieved
1. Community Development Councils (CDCs) and Local Forums/Conselhos de Povoações (groups of CDCs) identify, discuss and plan the development of their communities	Number of CDCs receiving PROGOAS assistance	200	204	102%
	% of CDCs who reached A level	25%	14%	56%
	Nbr of CDCs with Community Development Plan	190	198	104%
	Nbr of water and sanitation activities planned by communities	300	78	26%
	Nbr of micro-regions/Conselhos de Povoação/Fóruns locais receiving PROGOAS assistance	43	48	111%
2. The concerns of all social groups in the community (especially men, women, youth, disabled people and persons living with HIV/AIDS) are actively discussed and included in district plans	Nbr of <i>Conselhos de Povoação</i> whose concerns are included in district plans	50	12	24%
	Nbr of district plans and annual district plans that reflect the concerns of women and other vulnerable groups	90	14	16%
3. Communities monitor district plans through their representatives in the Local Councils, particularly with regard to water and sanitation issues	Nbr of monitoring sessions in <i>Conselhos de Povoação</i> and District Consultative Councils	800	9	1%
4. The representativeness and functioning of Local Councils at all levels (district, administrative post, locality and <i>Conselhos de Povoações</i>) are improved	% of communities with 1 member in District Consultative Councils	70%	48%	69%
	Nbr of micro-regions/Conselhos de Povoação/Fóruns locais receiving PROGOAS assistance	43	48	11%
	Nbr of Locality Councils receiving PROGOAS assistance	00	19	-
	Nbr of Administrative Post Councils receiving PROGOAS assistance	22	21	95%
5. Women actively participate at the decision-making level in CDCs and in Local Councils, voicing their concerns and monitoring decisions made	% of female members in CDCs	50%	36%	72%
	% of female members in Local Councils	40%	Not available	-
	% of female leaders in CDCs	20%	35%	175%
	% of female leaders in Local Councils	20%	32%	160%

Source: PROGOAS Coordination Unit, April 2011

45. **CDCs.** CDCs are representative structures that gather village modern and traditional authorities as well as representatives of village interest groups. Their overall role is to help the community in identifying problems and ways to overcome them, as well as to voice community concerns in local councils. These responsibilities also entail the identification and prioritisation of community development needs; the preparation of a community development plan; the coordination of development activities within the community; the monitoring and evaluation (M&E) of community investment. Some CDCs visited by the mission also indicated that they were responsible for liaising with the district government in case of problem in the community. The mission is of the opinion that this role should be supported to enhance CDCs sustainability.

46. **Availability of a range of tools to support capacity building of civil society structures.** PROGOAS has developed a large range of tools that can support efficient and fast capacity building of CDCs and CdAs, by enabling them to: (i) gain good command of their role and of the local councils; (ii) actively participate in the Local Councils; and (iii) reap benefits for their communities

(communities autonomously responding to identified priorities, contacts established with other development partners, functioning water points with timely repairs performed by CdAs, funds collected by CdAs to cover repairs by mechanicals...). Successful CDCs visited by the mission in Namirrupa (district of Nacaroa, Nampula) and Sambeni (district of Mecufi, Cabo Delgado) demonstrate that a good level of capacities can be reached over less than a year⁸. These tools are described below and include: capacity building modules; the grouping of CDCs into micro-regions; community-based *animadores* and *assessores*; the participation of traditional and administrative authorities in capacity building; annual self-evaluations; and forceful communication through radio and theatre.

47. Capacity building modules. The programme team has developed six capacity building modules, each with a trainer manual: (i) leadership and conflict management; (ii) decentralised planning; (iii) monitoring and evaluation; (iv) gender and local governance; (v) self-assessment on governance; and (vi) management of natural resources. CDCs met by the mission indicated their satisfaction with the training they received. The programme team plans that by the end of 2011, all modules should have been tested and the capacity building cycle of CDCs and Local Councils finalised.

48. Micro-regions. Micro-regions are groups of 3 to 4 CDCs that are instituted by PROGOAS to facilitate training. Some training activities are developed at community level, but others are implemented at the level of the micro-regions, and training is then carried out at community level by community facilitators. This approach allows economies of scale and faster implementation. It also enables CDC members to meet with colleagues from other communities and exchange experience. Most of the time micro-regions coincide with *povoações*, for which they have raised the interest of district administrators who see it as an effective entry point to better reach out to communities. This is also supported by the recent government decision to start developing *Conselhos de Povoações*, in accordance with LOLE bylaw. Micro-regions could be adjusted to coincide with *Povoações* (many times they already do), which would strengthen sustainability (alignment with regular processes) and CDC capacity of influence. It would also better align with indicators focusing on *Conselhos de Povoações* in the logframe.

49. Local facilitators and advisors. Facilitators (*animadores*) are selected within the CDC members participating in capacity building sessions at the micro-region level and are responsible for delivering capacity building within their CDCs. *Animadores* met by the mission indicated that they were specialised along three areas (planning, facilitation of events and gender, and leadership and conflict management), which is a good way to create stronger capacities but does not appear to have been applied everywhere. They were trained in leadership and conflict management, decentralised planning and facilitation methods as part of the new capacity building strategy of PROGOAS of training in cascade (PROGOAS agents train *animadores* who train CDC). Advisors (*assessors*) were introduced in

⁸ Helvetas claims that 3 to 4 years are required to achieve A level of capacity. However the classification currently used to classify CDCs can be questioned since a majority of CDCs ranked as A at the end of RDP, had to be downgraded to lower categories a few months later. On the other hand, an approach that requires 3 to 4 years of continuous external support to reach success does not seem appropriate in the Mozambican context as it would imply unsustainable levels of assistance until a critical mass of CDCs is developed. Rather, the mission would recommend to build on successful experiences (i.e. CDCs that have responded fast over much shorter time) to refine the approach and to enhance sustainability through stronger linkages with local authorities as is developed below.

2011 to support *animadores*. They are resource persons who are members of the CDC and are responsible for ensuring the good functioning of CDCs once capacity building is completed. Field visits carried out by the mission demonstrated that *animadores* are effective in doing their job and were able to cascading training received at micro-region level. Advisors receive a small subsidy from the programme. *Animadores* and *assessores* constitute a valuable instrument to support capacity building at the community level that could be sustained over the second phase. The programme team is envisaging assisting them in evolving into associations that could be hired as CBOs in the second phase. The mission does not have sufficient information to assess current capacities of *animadores* and *assessores*, whether they could turn into performing associations and what would be minimal conditions of success. Experimenting such an approach should be tried out, carefully monitored and documented, so that where possible, *animadores* and *assessores* can participate in the implementation of the second phase. Even if they do not evolve into sustainable associations, they would still constitute, in their current form of organisation, a powerful instrument to support capacity building at a faster and steadier pace.

50. Participation of traditional and administrative authorities in capacity building. The inclusion of traditional authorities in CDCs and in capacity building sessions increases CDC legitimacy within the community. They are also a good way to support CDC sustainability. Similarly, collaboration⁹ with administrative authorities in the capacity building process, which has occasionally been promoted by the programme, also contributes to enhanced sustainability beyond programme completion.

51. Community development plans. Community development plans include an identification of opportunities and constraints at the community level, and identify solutions that can be implemented either by the community itself, or through the district, private sector or NGOs. CDCs met by the mission commended the fact that they had become aware that some of their problems could be resolved autonomously at community level. Most of them underlined that none of the priorities communicated to the district had been retained in the district plans. On the other hand, some district administrators stressed that such plans created expectations that could not be systematically met by district plans, which are the result of a long process of prioritisation carried out in the local councils.

52. In fact, community plans are not part of the decentralized planning approach supported by the government and their linkage to district plans is unclear. The mission is of the opinion that the identification of development priorities should rather be considered at the level of *povoações*. This would bring several advantages: (i) it would be aligned with the decentralized planning cycle as it is promoted by the government, based on legal texts; (ii) it would allow covering larger portions of district communities at a faster pace; (iii) it would introduce as of the beginning the idea that communities' priorities are to be negotiated at higher levels and cannot be automatically reflected in district plans, as seemed to be assumed by some of the mission's interlocutors both in the communities and in the project team.

⁹ Including integration of project staff in the Technical District Team, provision of support to the latter, stronger coordination with local authorities, fostering of linkages between CDCs and local government structures, particularly at the level of *localidade*.

53. In addition, programme staff and approach should better reflect the fact that the ultimate inclusion of communities' priorities in the district plan is not only dependent on the capacity of community representatives to defend them in local councils (as the programme team tends to believe), or on the willingness of the administrator to abide by the recommendations of the Consultative District Council (which was questioned by some of the CDCs met by the mission). Arbitration and prioritisation of investment needs at levels above the community, based on available resources and on investment needs identified throughout the district, are key elements in the process, as are legal norms for establishing social infrastructure such as water points, class rooms or health posts. Capacity building (and particularly the module on decentralised planning) should therefore provide CDCs with an understanding of these processes. This would limit the risk of creating unmet expectations.

54. **Self-assessment of local governance.** Self-assessment of CDC capacities takes place on an annual base and is a useful tool to empower CDC member by having them identifying their needs and proposing a course of action. Additionally, in 2010, PROGOAS assisted District Councils in four of the target districts to carry out a self-assessment of local governance with a focus on the implementation of annual district plans, access to services and civil society participation. By the end of the exercise, an action plan for improvement is agreed upon. This exercise has contributed to developing district accountability and is equally commended by CDCs and district administrators. In the districts of Ancuabe and Chiure, results of the self-assessment carried out by the respective District Councils helped in reprogramming some activities in the annual district plans. In 2011, the programme team plans to extend it at the level of micro-regions.

55. According to PROGOAS latest progress report¹⁰, monitoring of annual district plans has been hampered by difficulties in accessing such plans. This may have contributed low achievement in related indicators as shown in Table 4 above. This problem should however be overcome by better aligning the scheduling of programme activities with the decentralized planning cycles, and by liaising with DPPF/PNFD at provincial level in case of problem.

56. **Support to IPCCs.** Because of the low level of capacities of Local Councils and the wide requirements in terms of capacity building, the programme team has focused its support at the level of district and administrative post councils, leaving out *Conselhos de Povoação*¹¹. The focus on the administrative post level was retained with a view of generating spill over effects on the capacities of consultative councils at lower levels. The mission found that interviewed CDCs had a good level of representation up to the district level, and showed a good understanding of their role in the various councils. Furthermore as noted above, district administrators met by the mission have a very positive assessment of the participation of PROGOAS-trained CDC representatives in the District Council. The Administrator of Mecuburi District indicated that she was willing to replicate PROGOAS approach at the level of *povoação*, using the District Technical Team. While it appears that PROGOAS support to local councils has generated a better participation of civil society, there are no guidelines or written documentation that could help steering such a process once the programme is over, thereby compromising further efforts by district administrations to build on PROGOAS approach.

¹⁰ PROGOAS, Relatório anual Janeiro a Dezembro de 2010, Nampula, Março 2011.

¹¹ Also contributing to low achievements for related indicators in Table 4.

57. As for the extent to which annual district plans reflect the concerns of women and other vulnerable groups, achievements reached only 16% of the target (see Table 4). This is explained by the fact that the representation of PROGOAS-supported CDCs decreases along with the level of IPCC considered thereby also reducing their capacity of influence at the highest level (district). However it should again be stressed that the inclusion of communities' priorities in the district plan is exclusively correlated to the capacity level of CDCs (and hence to PROGOAS achievements in this respect), as discussed above (para. 58).

58. **Communication.** PROGOAS capacity building activities are supported by a forceful communication programme. *Radio* is used to disseminate information and good practices on governance as well as on water and sanitation. Programmes are developed in collaboration with CDCs and Local Councils and are harmonised with capacity building provided by PROGOAS. They also include debates, answers to auditor questions, and community live sessions. Feedback from auditors is used to improve programmes and contents. Nampula-based Radio Encontro has developed contacts with other rural radios to ensure that similar activities can be promoted to reach zones that are out of its broadcasting area. *Theater* is another effective communication tool largely used by the programme. While it mostly focuses on water and sanitation, the mission attended a theatre performance in Nampula on the role of CDCs and of Local Councils carried out by a community theatre group. The piece was very effective in conveying key messages and was well appreciated by the audience. Some theatre groups are based at community level, others have a larger target. In this latter case, both in Nampula and in Cabo Delgado, PROGOAS has provided capacity building to the groups so that they could also carry out sensitisation and advocacy work to promote CLTS at community level. This combination of theatre with other, complementing field activities appears to be very effective and allows creating a reservoir of capacities at local level.

59. **Gender.** The gender approach developed as part of capacity building has proved very effective in ensuring strong participation of women in CDCs and CdAs, including within decision-making organs, as well as in Local Councils. Women met by the mission demonstrated a good command of their responsibilities. They overall declared that they did not face any particular difficulties in voicing their concerns in mixed assemblies, including within Local Councils, because they had received good preparation. As indicated by a woman met by the mission, "before we were close to nothing, but now we can participate". Literacy has certainly contributed to such an achievement. It has been outsourced to Helvetas-implemented Literacy Project (implemented by local partner UATAF), which demonstrates good coordination.

60. **Good relationship with district governments.** The programme team has a good relationship with district governments, as demonstrated by district administrators who expressed their satisfaction about project progress, as well as about the positive role that CDCs played in the district planning process and in local councils. While joint activities are organised with Technical District Teams and/or members of the District Council when possible, collaboration is more ad hoc than properly institutionalised. Yet PROGOAS progress reports clearly show that civil society participation in decentralised investment planning, implementation and monitoring is contingent on the capacities not only of CDCs but also of local authorities at the various levels.

61. **Active role in multi-stakeholders networks.** PROGOAS participates in the "Rede dos parceiros" in Nampula and in the platform on water and sanitation

(GAS), within which it plays an active role to promote the exchange of information. PROGOAS initiated a Water and Sanitation platform in Cabo Delgado, to which it provides facilitation support.

Weaknesses

62. **Protracted assistance to some communities.** While there are good examples of swift building of CDC capacities, there are also numerous cases of protracted assistance provided by Helvetas/SDC over several years. For example in Nangumi (district of Ancuabe, Cabo Delgado), the CDC was created in 2006 and is still receiving support. Five years of capacity building on pretty similar subjects in the same community is quite excessive and there is a lack of a clear set duration for developing institutional support. This contributes to a reduced overall impact as it limits the number of communities benefitting from programme assistance, and it creates a strong relationship of dependence vis-à-vis the project, which is not conducive to sustainability.

63. **Limited accountability.** CDCs visited by the mission consider that they are accountable about their participation in the local council towards their community of origin. While this is already a good first step, accountability should be more strongly promoted, vis-à-vis the micro-region as a second step (reporting about participation in the locality council), and vis-à-vis local councils of lower levels (reporting about Administrative Post and District Councils).

64. **Insufficient integration with district systems.** While the programme has developed good relationships with district governments, there is a lack of systematic integration into district systems. For example: (i) the programme only supports the planning and implementation of PROGOAS resources, rather than considering all resources available to the district in the water and sanitation sector; (ii) there is no systematic integration of PROGOAS community assistants in the Technical District Teams¹²; (iii) there is a limited communication of programme financial information to district administration; (iv) there is a lack of alignment between the district planning cycle and the programme cycle.

65. **Lack of MOUs with provincial authorities.** Provincial Directorates for Planning and Finance (and, within them, the Decentralised Planning and Finance Programme - PPFD) have a key role to play in supporting good governance at district level. PROGOAS has had several joint activities with PPFD for developing the capacities of Local Councils and district administrations. Aside from a general MoU signed between PROGOAS and the two provincial governments, there is no institutionalised relationship established between DPPFs/PPFD and PROGOAS, despite the fact that project design assumed that the programme would complement PPFD activities. Interviewed provincial authorities would like to have a stronger participation into programme planning and coordination and access information on a more regular fashion than what is allowed through participating in biannual provincial coordination committees. With IFAD-financed and Helvetas-implemented Project Civil Society Support Project (2005), a member of the project staff was included in the Provincial Planning Support Team, which was considered key not only to ensure better coordination and complementarities, but also to support transfer of knowledge and replication of project approaches.

¹² Such integration has already been implemented by Helvetas in IFAD-financed Project Civil Society Support Project (PASC – 2005).

2.2 Component 2: Water and Sanitation Service Delivery

Programme Strategy

66. **A multi-stakeholder strategy to promote sustainability.** The component strategy builds on community, private and public stakeholders to secure sustainable access to water and sanitation, in accordance with PESA-ASR. CdAs hold the primary responsibility for operating and maintaining water points. SDPIs are responsible for identifying needs, implementing district investments in accordance with the district plan and for ensuring monitoring. Local private craftsmen and enterprises are to provide services for the construction/rehabilitation and maintenance of water points, as well as access to spare parts for water pumps and to elements for building latrines (such as paving slabs). This multi-pronged approach is conducive to sustainability. However the planned duration of three years seems insufficient, particularly to develop a skilled and profitable private sector.

67. **Sanitation.** Although improved hygiene and sanitation constitute one of the programme expected results, there is no clear strategy to develop it in the programme document. A strategy had therefore to be developed by the programme team and was completed in 2010. It combines Community-Led Total Sanitation (CLTS), an approach that promotes the abandonment of open defecation, and Participatory Transformation for Hygiene and Sanitation (PHAST), which supports step-by-step, participatory adoption of hygiene practices and sanitation infrastructure at community level.

68. **Implementing partners.** The component is implemented by Helvetas, except in the districts of Mecuburi and Erati, where CARE was already implementing a similar water and sanitation project, HAUPA. The programme document planned for a memorandum of understanding to be signed between CARE and Helvetas, so that HAUPA could take responsibility for the implementation of component 2 in these two districts.

Achievements

69. Table 5 shows output indicators for component 2.

Table 5 – Output indicators for component 2 (by 31 December 2010)

Expected outputs	Indicators	Programme target	Achieved	% achieved
District Water Commissions and community Water and Sanitation Committees fulfil their roles	Nbr of W&S Committees receiving PROGOAS assistance	¹³	137	-
	% of W&S Committees with women in leadership positions	50%	40%	80%
	Nbr of District Water Commissions created and functional according to mandate	5	2	40%
	Nbr of meetings of District Water Commissions	30	4	13%
	Nbr of capacity building sessions carried out for District Water Commissions	25	3	12%
District Planning and Infrastructure Services (SDPI) fulfil their responsibilities in the field of rural water and sanitation service provision	Nbr of tenders implemented by SDPIs	20	17	85%
	Annual and mid-term W&S district plans reflected in W&S provincial plans	90% of district plans	Not available	-
	Nbr of district government with trained technical staff by end of 2011	5	5	100%
Local private service providers have developed into rural micro-enterprises delivering an enlarged range of products and services	Nbr of micro-enterprises registered and with legal existence	25	1	4%
	Nbr of service contracts with communities	43	9	21%
Affordable alternative sanitation technologies and products are available and used by rural communities and households	Nbr of demonstration centres operational	2	0	0%
	Nbr of W&S technologies adopted by communities	5	2	40%
	Communities' rate of satisfaction with W&S technologies	Good	Medium	-
Access to public water and sanitation infrastructure is improved and supported by the promotion of effective hygiene and sanitation	Nbr of water points built or rehabilitated	200	83	42%
	Nbr of latrines built in public facilities	225	9	4%
	% of households with latrines in good conservation status	45%	Not available	-
	% of households that conveniently dispose of children faeces (buried or in latrine)	70%	Not available	-
	% of functional W&S Committees who reached level A	30%	20%	67%

Source: PROGOAS Coordination Unit, April 2011

70. **W&S Committees.** W&S Committees (CdAs) are responsible for the management and maintenance of water infrastructure, including the collection of community contributions for maintenance, routine repairs and the promotion of hygiene and sanitation. They are composed of 12 people, of which 6 women, and include three sub-groups for management, maintenance, and hygiene and sanitation.

71. In most of the cases, CdAs were created once CDCs had already received capacity building. This not only allows CdAs to acquire solid capacities, but it also

¹³ Not included in programme document but rightly monitored by programme team as key indicator of programme activities.

tightens the linkages between CDCs and CdAs, contributing to CdAs sustainability and effectiveness. Since 2010, capacity building of CdAs is carried out jointly with SDPI, which is a good way to support dissemination of PROGOAS approaches as well as to enhance the sustainability of CdAs by developing connections with the district level. The inclusion of a W&S technician in the SDPI (see below) who is also responsible for monitoring CdAs further contributes to their sustainability. Upon the proposal of CdAs, the programme team will also associate *Chefes de Posto Administrativo e de Localidade* in new capacity building activities, with the same intent.

72. PROGOAS has developed four capacity building modules for CdAs: National Water Policies; Management of Water Boreholes; Operation and Maintenance; and Hygiene and Sanitation. Micro-regions are used to facilitate training of CdAs, similar to what happens with CDCs. Main topics to be covered in the modules are described in training manuals for PROGOAS facilitators.

73. Logframe indicators only account for programme outputs and do not measure outcomes or impact. However interviews and visits that the mission carried out in both provinces indicate the following:

- most of CdAs do collect contributions (in cash or in kind) from community households to ensure routine maintenance, and keep regular accounting. In the absence of a banking or microfinance network, these contributions are kept by a member of the CdA, or, in some cases, with local traders;
- interviewed district administrators reported that CdAs are usually effective in carrying routine maintenance as is demonstrated by the low level of serious breakdowns;
- many CdAs and CDCs work together, with CDCs taking responsibility for liaising with the district governments;
- the programme team reports that there has been no cases of cholera in the communities where they work, which demonstrates good impact of hygiene and sanitation activities which also involve CdAs.

74. **Gender.** Women have a very important role in ensuring proper maintenance as they are the main users of water in the community. They occupy 40% of leadership positions in CdAs, which, given the difficulties encountered in some cases (husbands unwilling to have their wives fulfilling leadership roles) is quite a good achievement. CdAs include women that are responsible for operation and maintenance, a role that is usually reserved to men.

75. **Water Committees in District Councils.** Only two Water Committees have been supported so far. One is in the district council of Ancuabe (Cabo Delgado), where it had actually already been established in a previous project, and the other one is in the administrative post of Chai (Macomia district, Cabo Delgado). Water Committees should gather members of the District Council to discuss water and sanitation issues and possible solutions; they should also be consulted as part of the planning process. However, the mission recognises that the creation of such committees (which is not part of national strategies and plans) does not primarily depend on the programme, but rather on the District Council itself and on its chairperson, the district administrator. Besides, the first priority is to have performing District Councils, which is not an easy task.

76. Programming of water infrastructure. Early 2009, the programme team selected a list of communities that were entitled to receive programme financing for the construction or rehabilitation of water infrastructure. Selection criteria included the existing coverage rate, number of inhabitants, incidence of water diseases, distance to access existing boreholes/wells, prior expression of interest by the community. The list of eligible communities for the whole programme duration was then validated by district councils. The programme team regrets that this list could not be approved once and for all in every district. Rather, the 'programme list' had to be re-discussed every year with the district government, and, in 2011, extraordinary sessions of the district councils were convened for the purpose. It should be stressed however that decentralised planning is an organised process that responds to an established calendar in line with national planning and budgeting processes. According to this process, annual planning is carried out at district level until June and builds on the five-year district plan. Although it seems that there is little implication of local councils below the district level and that, instead, SDPI plays a major role, the final draft is submitted to the district council. It is approved at provincial level in August and at national level in September. PROGOAS should align its own programme of activities on this process, which does not seem to be affected by major delays. This would have meant that, as occurs for the district planning cycle, implementation of PROGOAS-financed investments should start in January of the year following which planning is carried out. These issues should have been covered in detail in the MoUs established between PROGOAS and district administrators.

77. Institutional support to SDPIs. PROGOAS has provided support to District Services for Planning and Infrastructure (SDPIs) for the planning, tendering and monitoring of water infrastructure. This has also involved the assignment of a W&S technician per district in 2010. These technicians are responsible for overseeing all W&S activities in the district, for monitoring water infrastructure and CdAs, and for supervising construction and rehabilitation of water infrastructure. None of the persons recruited had prior experience in W&S, leading PROGOAS to deliver capacity building, including in planning, CLTS, supervision of works, and operation and maintenance (the latter two with the provincial directorate for public works). All district governments are in the process of recruiting these technicians to incorporate them in SDPI, which is a very positive indicator of their effectiveness.

78. Procurement. Tender launching and bid selection for water infrastructure are carried out by SDPIs, with support provided by PROGOAS. Contracts for construction/rehabilitation and for work supervision are signed by the District Administrator and implementation is monitored by SDPI, in association with relevant communities. Such an approach is in line with the Paris Declaration principles and is conducive to strengthening SDPI capacities.

79. In Cabo Delgado, three target districts launched one single tender in 2010 to create economies of scale and attract a larger number of constructing firms. The joint process also facilitated exchange of experience between the three SDPIs. It is however less conducive to having small, local entrepreneurs participating in the process, whereas the programme also aims at developing rural micro-enterprises in the field of water and sanitation. PROGOAS is planning to implement a similar approach in Nampula in 2011.

80. Payments are made directly by PROGOAS upon the request of the district administrator. This approach was adopted to avoid any possible misuse of funds by district administrations. Full alignment with district systems would have required

that funds be transferred to the district account and that appropriate monitoring and accountability systems be developed to ensure proper use of funds. Such an approach would also be better harmonized with the approach adopted with the Common Fund that is part of PRONASAR, which provides budget support to districts and hence is fully aligned with district systems. PRONASAR implementation started at Provincial and District levels only from October 2010.

81. **Implementation of works.** Table 6 indicates targets planned by PROGOAS and achievements so far.

Table 6 – Construction/rehabilitation of water infrastructure 2009-2010

District	2009	2010		TOTAL 2009-2010
		Planned	Achieved	
Ancuabe	7	13	13	20
Macomia	7	20	15	22
Mecufi	9	20	8	17
Total	23	53	36	59
Muecate	4	11	7	11
Nacarôa	6	8	7	13
Total	10	19	14	24
TOTAL	33	72	50	83

PROGOAS Coordination Unit, April 2011

82. Only about two-thirds of the works planned for 2010 was actually completed, and the balance was postponed to 2011. It appears that delays are mainly caused by the lack of harmonisation between district and programme planning¹⁴. Low availability of constructing firms (one tender had to be re-launched for this reason) and slow mobilisation also concur to this result. The majority of works consist in rehabilitation of existing boreholes. At the time of the mission, a total of 83 infrastructures had been completed or 42% of the total 200 planned by the programme. Part of them had not yet been formally transferred to communities.

83. **Operation and maintenance.** Promising models are being developed to ensure that local craftspeople (mechanicals and masons) are available to cater for major pump breakdowns and for other kinds of repairs or works on water and sanitation infrastructure. These include individual entrepreneurs and micro-enterprises that are either developed from scratch or out of existing associations. PROGOAS has outsourced this activity to the Local Development Agency for Nampula (ADELNA). Capacity building sessions were organised in 2010 for 49 local craftsmen, of which 14 women. One association was consequently legalised, a process that can take place only once a year. The association form is however not appropriate to carry out a commercial business, as demonstrated by the association met in Nacaraoa district. The association pre-existed PROGOAS, but the project had encouraged it to integrate mechanics to 'diversify sources of income'. Since then, there had been few business opportunities and all income had been

¹⁴ The programme claims that communities selected to benefit from water infrastructure in a given year are known only in July, which leaves too little time to tender and complete the works before the start of the rainy season in October. This however would not happen if the programme would align its programming on the district's, whereby the list of communities for a given year are normally known at the latest in September of the preceding year.

kept by the association. This setting, whereby craftsmen do not get any return for their work, is neither viable nor sustainable. While it may be appropriate to help existing associations to convert into profit-making entities, there is no justification for creating new associations as a transition status. The mission rather recommends directly promoting either individual entrepreneurs or micro-enterprises.

84. The new models still need consolidation, particularly with regard to ensuring profitability, clarifying possible institutional/legal models, and separating profit-making activities from those that are linked to the promotion of public goods. While the availability of mechanicals constitutes one of the key elements to ensure sustainability of water infrastructure, their development until they reach profitability and management autonomy is a time-consuming process, which most likely will need to be further continued in the course of a programme second phase.

85. **Spare parts.** The availability of spare parts is another key aspect to ensure sustainability of water infrastructure. So far the project has promoted linkages between CdAs and local traders willing to sell spare parts, but these are not available everywhere, due to perceived lack of profitability, as well as to the fact that traders have to purchase (and therefore finance) a stock of parts, without knowing when they will be able to sell them and get their money back. Alternative models should be explored, building on entrepreneurs and micro-enterprises (who could for example receive an initial stock of spare parts) as well as on SDPI technicians (who could have a facilitating role). It is unlikely however that this could be achieved during the current phase. In the new phase, the possibility of granting an initial allocation to support the constitution of the initial stock should be taken into consideration.

86. **Sanitation.** Activities in this area have developed at full speed only late 2010, once the programme strategy had been designed and related capacities had been acquired by the programme team. However some sanitation activities were already developed in 2009 (PHAST, construction of latrines in markets and schools and district-led sanitation campaigns). As noted by the programme team in the 2010 progress report, the implementation of the CLTS approach has produced fast results, with the construction of 5,693 traditional latrines in 54 communities over the last quarter of 2010, including both households and school latrines. This outcome has been facilitated by the involvement of project facilitators, traditional leaders and SDPI W&S technicians, as well as by a large use of theatre as a privileged tool for communication. However, only one community has yet been declared Open Defecation Free (ODF), which is CLTS main objective. The period for a community to be declared ODF after triggering normally varies from 1 week to 3 months, whereas programme activities have now been implemented for a longer time. In 2011, the programme team plans to extend CLTS to new communities and to apply PHAST as a complement. An implementation manual combining CLTS and PHAST is currently being prepared, which will provide guidance and support replication.

87. **Innovative use of theatre groups.** In the district of Nacaroa (Nampula), PROGOAS has contracted a theatre group based in the district capital, not only to carry out sanitation and hygiene messages through theatre pieces and songs, but also to promote CLTS and the construction of latrines in 12 communities. Such integrated approach is very effective as demonstrated by the doubling of the number of latrines in targeted communities in only three months, as well as by the

existence of one community that is already Open Defecation Free. A similar approach is being used with PRONANAC, a community-based organisation in Cabo Delgado.

88. **Demonstration Centres.** This activity is only starting, with the construction of one demonstration centre to be initiated soon in the district of Macomia. Given the lack of tangible results deriving from similar experiments in the country, PROGOAS should review such experiments and capitalise on lessons learnt, jointly with provincial directorates for public works and with the National Directorate for Water.

Weaknesses

89. **Budgeting.** In the current process, PROGOAS informed district governments of the amount of resources allocated for the construction and rehabilitation of water infrastructure over the total programme duration at programme start early 2009. These amounts were however not communicated to Provincial Directorates for Public Works¹⁵. Doing so would have improved transparency in the allocation of resources to target districts, by taking into account PROGOAS contribution in the district ceiling. It would also have been more in line with the objectives pursued by the National Rural Water Supply and Sanitation Common Fund, which also benefits from SDC financing. It seems that such an approach had already been implemented in SDC-financed PADIL project.

90. Furthermore, PROGOAS provides capacity building assistance for the programming and implementation of exclusively its own resources. Better alignment, in accordance with the Paris Declaration, would have consisted in providing capacity building support for the planning and implementation of district budget resources allocated to the sector of water and sanitation, including those provided by PROGOAS. This would have strengthened the development of institutional capacities at district level, particularly with regard to SDPI, and would also have allowed PROGOAS to strengthen the role of local councils, in connection with component 1.

91. Finally, PROGOAS resources are available only for the construction or rehabilitation of water boreholes. Other, less costly water infrastructure, could have complemented this offer (maintaining the same level of resources) for increased impact at community level, such as wells, water tanks and basins. Some districts are also interested in setting up small water supply systems, which the programme teams plans to accommodate in 2011.

92. **Insufficient coordination with DPOPH/DAS.** DPOPH is responsible for overall coordination and monitoring of the water and sanitation sector, for providing technical support to districts in the field of infrastructure, and, in the future, for implementing funds provided by the donor-financed Common Fund. Despite this important role, DPOPH is not involved in the project implementation framework, except through the meetings of the Programme Coordination Committee at provincial level. In either province, DPOPH regret that they have limited access to information about programme and that they are not associated in

¹⁵ DPOPH and DAS are members of PROGOAS Provincial Steering Committees but, according to the documents made available to the mission, it does not appear that detailed planning of resources per district is communicated on that occasion and, although they are members, they both expressed their dissatisfaction with regard to information flows and coordination with PROGOAS.

the supervision of works. The programme team had assumed, on the one hand, that SDPIs would have spontaneously taken the responsibility of involving DPOPH, particularly with regard to work supervision and, on the other hand, that DPOPH participation in PROGOAS provincial coordination committee would have secured sufficient linkages with the provincial level. Experience tends to indicate that explicit linkages (described in a mutually developed and agreed upon MoU) and clarification of responsibilities of the various stakeholders involved in the planning and implementation of PROGOAS- supported district investments would have been more effective.

93. Insufficient coordination between OLIPA and HAUPA. In the districts of Eriti and Mecuburi (Nampula), PROGOAS is only financing the governance component and relying on CARE's project HAUPA to carry out investments and capacity building in the water and sanitation sector. However, this was not materialised through a proper MoU detailing respective responsibilities as well as modalities for the coordination and harmonisation of activities. It therefore appears that there is a lack of coincidence between PROGOAS and HAUPA's areas of intervention, despite the fact that OLIPA is implementing both PROGOAS and HAUPA.

94. More sustainable sanitation technologies. According to PROGOAS strategy for sanitation, improved latrines are to be promoted in a second stage, once households have demonstrated their interest by adopting traditional ones. However in Cabo Delgado, technologies promoted by PROGOAS are not appropriate to sandy soils and deteriorate fast. The programme team has commissioned a consultant to help solving the problem in 2011.

3. PROGRAMME MANAGEMENT

3.1 Programme Concept

95. Programme structure. PROGOAS overall implementation is entrusted to Helvetas through a mandate agreement signed between SDC Berne and Helvetas Zurich. Funds are channelled through Helvetas headquarters. In Mozambique, the main responsibility for implementation falls on PROGOAS Programme Management Unit (PMU), which is run by Helvetas. The PMU includes a small coordination unit based in Nampula, which is headed by a coordinator and includes administrative, financial and logistics support staff, as well as a Monitoring and Evaluation (M&E) officer (since March 2010). The coordination unit is responsible for overall management, including planning, financial management, supervision and technical backstopping, monitoring and evaluation and transfer of knowledge. Logistics, financial and administrative services in Cabo Delgado are provided by Helvetas office in Pemba on a cost-share basis. In each target province, PROGOAS has a multidisciplinary team that is tasked with the implementation of activities and is composed of one Governance Manager, one W&S Manager and teams of community facilitators (one facilitator per component and per target district). As reported already, the implementation of the governance component was entrusted to two local NGOs, AMA in the districts of Ancuabe and Chiure (Cabo Delgado), and OLIPA in the districts of Eriti, Mecuburi and Muecate (Nampula). At the national level, a Supervision Committee reviews annual reports and validates annual plans. It is composed of the representatives of provincial directorates, DNA, PPFD, SDC, Helvetas, two representatives of civil society and senior programme team staff.

3.2 Programme Management

96. **Achievements.** Main achievements can be summarised as follows:

- *team building and coordination between provincial and sector programme teams:* the mission found that there was a very cohesive programme team, despite the fact that it is actually split between two provinces. There are regular coordination meetings organised between the two provincial teams, allowing exchanging information and harmonising approaches. Similarly, within each province, good collaboration between programme staff has partly offset the compartmentalisation of PROGOAS activities in two separate and unrelated components;
- *flexibility and innovation:* the programme team has demonstrated a good capacity for adapting programme methods to field reality, as demonstrated for example by the way it managed to offset some of the design weaknesses. It has also showed creativity and a good capacity for proposing innovative approaches, such as the use of community-based trainers (*animadores* and *assessores*), the use of theatre groups to promote SANTOLIC or the partnership with ADELNA to develop sustainable mechanisms for ensuring water pump maintenance;
- *effectiveness of Implementation Partners:* project indicators show that AMA and OLIPA were able to meet most of their targets. District administrators in Mecuburi and in Ancuabe were also satisfied with achievements with regard to building the capacities of CDCS and having them participate in Local Councils. Although delayed, the design of annual plans for institutional strengthening has helped in better structuring Helvetas support to Implementation Partners. These are satisfied of their partnership with Helvetas and of their integration into the programme team. It must be noted that Helvetas financing accounts only for a limited part of their financing (20% over two projects for OLIPA and 18% over two projects for AMA), which demonstrates a good capacity of fund-raising and management;
- *enlarged range of local implementation partners:* while the programme document had only identified AMA and OLIPA, PROGOAS has outsourced activities to a much larger number of local implementation partners(for example working with ADELNA, PRONANAC, local radios and theatre groups, also extending their intervention to capacity building), thereby contributing to creating synergies with local stakeholders and contributing to the building of their capacities;
- *monitoring and evaluation:* a comprehensive and participatory M&E system has been developed, which is based on the following elements: (i) detailed planning is prepared in association with the whole programme team on an annual and quarterly basis and is shared with district administrations; (ii) information for the monitoring of indicators is collected once a year by PROGOAS facilitators, by CDCs/CdAs (which is an effective way to support their empowerment) and by young theatre activists in the field of sanitation; (iii) biannual progress reports are shared with SDC, Helvetas and district administrations; (iv) annual self-assessments are carried out by CDCs and CdAs, with programme support; (v) a web of stakeholders' meetings to review programme performance and provide inputs for planning, including annual meetings of the supervision committee, annual coordination meetings (also involving representatives of districts, CDCs and CdAs), quarterly meetings of programme staff joining from both provinces. The inclusive M&E system has certainly contributed to the good team building. However it does not seem that it has been sufficient to convey

the level of information expected by provincial and national stakeholders. Weaker features are reviewed below.

97. **Weaknesses.** Certain weaknesses affect programme management as follows:

- *self-standing implementation model:* as noted before, there is limited integration of PROGOAS in district and provincial structures, with the management unit set as a self-standing structure that directly carries out a large portion of programme activities. This setting has several disadvantages: (i) the lack of integration in local institutional systems limits the prospect for capacity building of permanent structures at district and provincial level; (ii) direct implementation by Helvetas also limits the possibility of supporting the development of a competent set of NGOs and CBOs; (iii) as a result, the prospects for sustainability are also weaker. Integration of project staff in district and provincial structures (ETD, SDPI and EPAP) coupled with the outsourcing of all the field work to NGOs and CBOs and the provision of institutional support would constitute a more promising approach for creating local, sustainable capacities.
- *insufficient linkage with national policy level:* the mission found that there were limited connections between PROGOAS and the national policy-making level. Relevant national directorates state that they have incomplete (DNA/MOPH) or no information (DNPF/MPD) about PROGOAS achievements and approaches. However Helvetas participates in national GAS meetings and Aguasan has promoted exchange of experiences (ex. National GAS meeting and field trip in Cabo Delgado in September 2010);
- *monitoring and evaluation:* PROGOAS logframe includes only output indicators¹⁶, which are insufficient to assess the use that is being made of these outputs, or the quality of such outputs. Besides, the original logframe did not include any quantitative targets and many indicators are unspecific or unclear. While this was noted in the baseline study carried out in 2009, the logframe remained unchanged. Additionally, the baseline study was based on a limited sample and can therefore not be used as a programme baseline. In line with the programme logframe, planning (as reflected in the programme annual plan submitted to the Steering Committee) focuses on the attainment of output indicators, and not on the acquisition of new capacities. In reality, the programme team has some empirical appreciation of programme effects, and efforts have been made to gather a more qualitative assessment of programme performance, for example by introducing self-assessments and by carrying out a classification of CDCs¹⁷. However this information is not sufficient and does not enable the PMU to steer the programme strategically. The risk is that by the end of the project, while outputs (such as numbers of Local Councils supported, of district tenders launched or of micro-enterprises created) will most probably be attained, sustainability is not guaranteed. Strategic planning, linked to qualitative objectives and regular progress assessment, is needed to build sustainable capacities and to better adapt the type and range of activities to actual progress. Indicators do not lend themselves to gender disaggregation but

¹⁶ While indicators are shown for the two programme outcomes in the logical framework, these are not outcome indicators according to the commonly accepted terminology, i.e. indicators measuring the impact arising from the delivery of outputs. This is also reflected by the fact that identical indicators are mentioned in the logical framework to measure outputs and outcomes.

¹⁷ Also see footnote 14.

- some specific indicators monitor women participation in CDCs/CdAs. In contrast, the baseline study is almost gender void;
- *supervision*: SDC carries out regular supervision missions. These were useful to detect programme weaknesses (such as the lack of a sanitation strategy, or the lack of an institution building programme for Implementing Partners) and to propose remedial actions. Supervision missions could however enhance their positive impact by adopting a unified supervision framework (for example by systematically making reference to the programme logframe in supervision reports, by adopting a common report formatting and by monitoring the implementation of prior recommendations¹⁸).

3.3 Efficiency

98. The overall implementation rate for SDC contribution to PROGOAS by December 2010 is 59%. However there is a marked imbalance between running costs for the programme team and office, which altogether represent about 91% of the planned budget, and operating costs (i.e. costs involved in implementing activities excluding staff and other functioning costs) which reach a low 31%. Service costs (Helvetas management and monitoring costs) are at 60%.

99. The discrepancy between running and operational costs is due to a delay in implementing a number of activities, resulting from: (i) delays with tenders for water and sanitation because of un-matching PROGOAS and district planning cycles, and slow responses/mobilisation of entrepreneurs; and, to a lesser extent, (ii) delays in developing sanitation activities. While delays were affecting the disbursement of operational costs, programme staff already on the payroll had nevertheless to be paid, thereby increasing running costs. However since such delays were already affecting project spending, a faster reaction on behalf of the programme management could have been expected so as to reorganise its planning modalities and to speed up implementation in the second year.

100. The implementation rate for Helvetas funds (which finance water infrastructure exclusively) is 29% only. Because of delays incurred in tendering and implementing the water infrastructure programme, only 30% of the allocated amount of CHF 1.6 million have been spent so far. Spending the whole balance before the end of the year would mean that 2011 expenditure in this respect should represent more than three times annual amounts spent in 2009 and 2010, which certainly constitutes a major challenge to the programme team.

4. SUSTAINABILITY

101. **Overall strategy.** The programme document included strategic elements to support sustainability, which were partially implemented:

- *integration in local government systems and programmes*: this concern was to be balanced with the need to achieve fast results. In the W&S component, integration in SDPIs is commendable. However it is actually insufficient integration in district systems that led to delays in implementing infrastructure, as reviewed above (para. 81). Other areas where stronger integration would have comforted capacity building and sustainability include: integration in ETDs and EPAPs (para. 33 and 64); sustained linkages with the provincial level

¹⁸ Which was not encountered in the sample of supervision report that were made available to the mission.

- through detailed MoUs (para. 65); and provision of support to program all district resources in the W&S sector (para. 89);
- *the strengthening of local NGOs*, which is being implemented with AMA, OLIPA, and PRONANAC, but could have been applied at a much larger scale, with Helvetas retaining an overall coordination and management role, outsourcing most of the activities to local NGOs and CBOs, and providing them with institutional support;
 - *create a critical mass of CDCs*: as reviewed above, the number of CDCs getting programme support is insufficient to create such mass, and it is unlikely, given distances separating communities and the limited functioning of local councils, that it suffices to create emulation.

102. **Component 1.** The main challenge is to ensure that CDCs supported by the programme can survive and keep an active participation in local councils beyond programme completion, something that did not happen as planned after the termination of RDP. Many factors affect CDC sustainability, including illiteracy and the low level of education, lack of financial resources to facilitate transportation of CDC members, and limited political will. PROGOAS has developed a strategy to support CDC sustainability in March 2010, which rests on three main orientations: (i) capacity building; (ii) social recognition through linkages with traditional and local authorities; and (iii) access to tangible results. Important elements have been secured that will contribute to sustainability, including capacity building modules, *facilitadores and assessores*, inclusion of traditional authorities in CDC membership, the promotion of micro-regions. To further enhance sustainability, a more systemic approach needs to be developed, whereby, on the one hand, CDCs capacities should be strengthened based on detailed assessment capacities and tailor-made programmes. On the other hand, CDCs should be connected to a web of district stakeholders that can support them beyond project completion. Proposals in this respect are detailed in Chapter 5.

103. **Component 2.** The main challenge is to ensure that water infrastructure is properly maintained, so that communities can have continued access to water. This will be contingent, on the one hand, on the capacity of CdAs to carry out their operation and routine maintenance responsibilities over time. To such effect, an approach similar to what is recommended for CDCs should be applied to CdAs and is proposed below in Chapter 5, and linkages between CdAs and CDCs should be further strengthened as the latter have an important role in promoting participatory solutions to solve problems affecting communities. On the other hand, a sustainable, private-sector based system to ensure community access to technical skills and to spare parts has to be secured. Elements of such a system have been developed with support from ADELNA but it is unlikely that a full-fledged sustainable system can be in place by the end of 2011, due to the low development of private sector at district level and late start of activities. Proposals for orienting a second phase in this respect are detailed in the next chapter.

104. With regard to sanitation, the challenge is to ensure that a much larger number of communities can be declared Open Defecation Free and can have access to adequate latrines. To this effect, PROGOAS will have to support triggered communities by introducing 'PEC zonal', strengthen community leaders' role, promoting adapted and sustainable technologies and developing local mechanisms for promoting hygiene.

5. RECOMMENDATIONS

5.1 Proposals to Complete the Current Phase

105. **Challenge.** The challenge to address by the programme team until December 2011 is double. On the one hand, it is to ensure the sustainability of programme achievements so far, with regard both to governance and to access to water and sanitation. On the other hand it is to document good practices and methodological tools to pave the way for the implementation of a second phase. To this effect, programme activities should focus on five priorities:

- Prepare CDCs and CdAs to autonomy;
- Complete the construction/rehabilitation and equipment of planned water points for 2010 and 2011;
- Organise sustainable operation and maintenance of water points by securing access of target communities to spare parts and technical services;
- Achieve Open Defecation Free in all target communities;
- Strengthen knowledge management and document experience.

106. **Extension.** Activities relating to these five areas are developed below. The mission agrees with SDC suggestion that to achieve results, in accordance with the first phase objectives, it would be appropriate to extend the first phase by 4-5 months. This would enable the programme team to produce important results that could then serve as a basis upon which to develop the second phase.

Prepare CDCs and CdAs to autonomy

107. **CDCs.** CDCs must be informed that the programme is coming to an end in December 2011 and that they are expected to continue acting for the benefit of the community, with a particular focus on their involvement in Local Councils for the purpose of participating in the planning and monitoring of district plans. To this end, PROGOAS activities should concentrate on two main areas. On the hand, it will have to complete the building of CDCs capacities, by administering the remaining capacity building modules and ensuring that CDCs are in good command of their new capacities. On the other hand, it will assist CDCs so that they can rely on alternative sources of support once PROGOAS is over.

108. To facilitate the process and maximise chances for each of the target CDC to be prepared to become autonomous, it is recommended that PROGOAS community assistant set up a detailed *CDC Autonomy Action Plan* for and in collaboration with each participating CDC. The plan would build on CDC last self-assessment, which would be completed as appropriate based on: (i) identifying jointly with the CDC key missions and priority objectives to be durably achieved by the CDC once the project is completed; (ii) assessing jointly with the CDC its present status of capacity and its perceived ability to fulfil its projected mission – to this effect, assessment criteria should be attached to the objectives outlined for each of the capacity building modules, as discussed above, and they should be used to evaluate CDC current level of capacities; (iii) discussing and defining the roles of *animadores* and *assessores* beyond project completion; (iv) discussing and defining linkages to be developed with community leaders, local authorities and local councils. These (at the locality level) should be brought into the discussion at some point to review possible inter-action with them. An increased involvement of locality authorities in CDCs capacity building process would generate increased trust and proximity of CDCs and local authorities.

109. Against this background, the plan would specify actions to be carried out until the end of the year to bring the CDC up to the desired level of capacities, with a detailed timeframe and an explicit distribution of responsibilities between the CDC, *animadores* and the relevant community assistant, but also *assessores* and possibly even ETD (see below). Possible actions would include:

- *Capacity building sessions*: the full range of six capacity building modules should be administered in all of the CDCs. Assessments as described above may also bring to light areas relating to modules that were already applied to a CDC and that need refreshment or strengthening – this should also be included in the Autonomy Action Plan;
- *Strengthening of animadores' capacities*: the capacities of CDC *animadores* should be strengthened so that they can fulfil their roles as agreed in preparing the plan;
- *Linkage with local authorities*: CDCs (for example through *animadores* and *assessors*) should be put in contact with the *chefe de localidade* and *chefe de posto*. The possibility of delivering capacity building sessions at locality level for groups of CDCs and in collaboration with the *chefe de localidade* and the locality council should also be considered;
- *Linkages with traditional community leaders*: CDCs should work in close collaboration with community leaders and integrate them, as has already been implemented where feasible;
- *Exchange visits*: visits to successful CDCs and their communities could be organised within a district/administrative post/locality;
- *Joint CDC activities at the level of povoação (micro-region)*: joint CDC meetings could be organised to address issues related to sustainability and continued CDC action beyond project completion.

110. Additionally, capacity building manuals should be completed, but also reviewed to: (i) make them simpler (and shorter), with a similar structuring applying to every manual; (ii) include a table of contents and an evaluation of the training effectiveness at the end of each module; (iii) reflect recommendations of this report; (iv) improve the layout (using the services of a professional); (v) attach short and simple guidelines that could remain with the CDC. Furthermore, an Induction Manual would be very useful to: (i) describe overall objectives and approach (including the use of local facilitators and assessors – see below –, linkages to *povoação* (micro-region); and (ii) specify overall duration (which should be communicated upfront to participating communities to avoid the dependency syndrome) and scheduling of training.

111. To complement CDC Autonomy Action Plans, CDCs belonging to the same *povoação* should gather to review the role that they could play as a group to sustain CDC participation in local councils beyond project completion. This would involve:

- *Aligning micro-regions with 'povoações'*: the mission was informed that in most of the cases, micro-regions do match *povoações* (or localities in Cabo Delgado). Where this is not the case, adjustments should be made as soon as possible, so that CDC organisation and is fully integrated into territorial organisation;
- *Defining the role of assessores beyond project completion*.

112. Finally CDCs action beyond project completion should be supported by:

- *Providing them with an accessible version of capacity building modules*, i.e. a shortened version that would remain with the CDC as a resource book as outlined above;
- *Developing linkages with the District Technical Team (ETD)*: while it is recognised that ETDs will not have the possibility, nor is it their role, to follow-up on each single CDC, they do play a role in facilitating the operation of local councils and could facilitate CDCs increased integration in local councils at the various levels. To this effect, it is recommended that PROGOAS community assistants plan all the activities to be carried out until project completion jointly with ETD and associate it in implementing them, along the model adopted by OLIPA. It is also recommended to include one PROGOAS community assistants in the ETD and/or to designate a focal point for PROGOAS in the ETD and systematically associate him/her in capacity building sessions;
- *Developing guidelines* capitalising on PROGOAS experience with regard to building the capacities of local councils, that could be further used by the district administration and specifically the ETD.

113. **CdAs.** A similar approach as the one recommended for CDCDs should be adopted to ensure the sustainability of CdAs beyond project completion. This would involve:

- *Preparing a detailed CdA Autonomy Action Plan*, based on an assessment of CdA capacities and of the requirements to be met to ensure operation and maintenance of water points in the community. These would include not only CdA organisational and technical abilities, but also: (i) provisions for ensuring sustained collection of funds within the community to ensure operation and maintenance; (ii) access to spare parts; (iii) access to a skilled mechanic; (iv) modalities for liaising with CDC and capacity building of the CDC to connect with local authorities/SDPI in case of problem;
- *Completing capacity building*, based on identified weaknesses. This would include completing all the capacity building modules and providing additional support in identified areas. It would also include joint CdA-CDC definition of their respective roles in ensuring sustainable access to water and capacity building as appropriate (including establishing proper connections between CDC and local authorities/SDPI);
- *Assisting the CdA in refining the fund collection system* within the community as appropriate, in collaboration with the CDC;
- *Setting up sustainable systems for accessing spare parts and mechanic services* (see below);
- *Organising exchange visits* to successful CdAs;
- *Providing an accessible version of capacity building modules*, i.e. a shortened version that would remain with the CdA as a resource book.

114. The mission recommends that manuals for each of the capacity building modules be developed as has been the case for CDCDs, along a harmonised format. Short guidelines should also be developed to be left in the hands of CdAs so that they can a quick source of reference in case of problem.

Complete the construction/rehabilitation and equipment of planned water points

115. The construction/rehabilitation of all the water points planned for 2010 and 2011 and their equipment with pumps and concrete slabs must be completed, and

provisional acceptance of works must be granted by SDPI to the building company before the end of the year.

Organise sustainable operation and maintenance of water points

To ensure sustainable operation and maintenance of community water points (possibly including not only those that were constructed/rehabilitated by PROGOAS but all of the water points available in the community), the following elements (developed below) need to be secured: (i) CdAs capacities to design and implement an operation and maintenance plan should be developed; (ii) access to funds; (iii) access to spare parts and to mechanic services. Several models are being tried out in either provinces to secure access to spare parts and to the services of mechanics. Appropriate models need to be consolidated, not only with a view to document lessons learnt (see below), but more importantly, to ensure that CdAs have a reliable access to spare parts and services once the project is completed. The mission recognises that this cannot be achieved in the remaining months and that further consolidation will likely have to continue in the second phase.

116. **Capacity building on O&M.** CdAs should access capacity building support so that they can ensure routine maintenance of water infrastructures based on O&M plans.

117. **Access to funds.** As part of the building of capacities (above), CdAs should be supported to organise fund collection at the community level. They should also become knowledgeable about the type of expenses that are to be covered by those funds and be able to size the amount of funds to be collected accordingly. Besides, together with the CDC, they should be informed about the amount of funds included in the PESOD for water pump breakdowns, and how to proceed to make them available in case of major pump breakdown in the community.

118. **Access to spare parts.** Currently the selling of spare parts is mostly relying on interested local traders based either in the district or in the provincial capital. Other, possible outlets include organising access to spare parts through mechanics (either by having them constituting a small stock or by directing them to local traders in the provincial capital). Adapted solutions must be identified for each single CdAs jointly with SDPI and, in the province of Nampula, with ADELNA, and related implementation modalities need to be clarified and developed. These would include: (i) putting the CdA in contact with relevant traders, ensuring that cost of parts and of transportation are known and that funds are collected accordingly; (ii) reviewing with local traders specific constraints faced in making available a diversified range of spare parts and jointly finding solutions; (iii) setting up a system whereby mechanics would have access to an initial stock of spare parts.

119. **Access to mechanics' services.** A first, general recommendation is to ensure that only appropriate models for developing profit-making activities are further consolidated. This will require to separate non-profit and profit-making activities that are currently jointly carried out by associations, so that the latter can be developed under a more appropriate legal form, and to ensure that profits accrue to those actually performing the services. The advantages and disadvantages attached to each model (individual or micro-entreprise) should be clarified and explained to interested mechanics so that they can select the setting they find most appropriate. The next step would be the establishment of a business plan and the identification and provision of capacity building and/or other type of support (such as for example access to credit) needed. Support should be provided

not only to build the technical and management capacities of local mechanics, but also to help them in developing a profitable market, allowing them to earn an acceptable and sustainable income. To this effect, market studies should be carried out to appraise market potential at district level and support should be provided to individuals/micro-enterprises to develop business plans accordingly. Districts have a budget to cater for water pumps repairs and could therefore become steady clients of local mechanics. This however requires prior legalisation as an entrepreneur or an enterprise to acquire the capacity to tender and sign contracts with the district. Finally, CdAs will have to be put in contact with mechanics and be knowledgeable as to how they can have access to their services, for what kind of repairs, and what kind of costs. More serious breakdowns will have to be communicated to *chefes de posto/localidade* through community authorities/CDCs.

120. It is recommended that PROGOAS liaise with the WaterAid project, an SDC-financed project in the province of Niassa, to exchange experience and learn about WaterAid's experience with regard to O&M systems.

Achieve Open Defecation Free in all target communities

121. PROGOAS should ensure that a greater number of target communities become Open Defecation Free by the end of the project, using the CLTS approach and complementing it with PHAST. To this effect, the programme team should complete the sanitation strategy and produce the manual combining the use of both approaches, as planned. Furthermore following activities should be developed: (i) mobilizing CdAs, CDCs and community leaders; (ii) expanding theatre activities and linking them to further social mobilization as has been experienced in the district of Nacaroa (Nampula) and with PRONANAC in the district of Mecufi (Cabo Delgado); (iii) provide support to communities to adopt more sustainable technologies for the construction of latrines in accordance with soil characteristics.

Strengthen knowledge management and document experience

122. PROGOAS was conceived as a pilot project, which would test a number of approaches and innovative features to support local governance and promote access to water and sanitation. Results achieved so far tend to confirm that approaches developed by PROGOAS are successful to meet project objectives and that there is ample ground to justify replication at a larger scale, either within a new phase to be financed by SDC, or through other actors and modalities. To make it possible, PROGOAS experience needs to be documented and disseminated before programme completion. This will require:

- *to complete the current monitoring and evaluation system* to include a qualitative assessment of results achieved (in terms of impact and behavioural changes) and to inform indicators in the upper part of the programme logical framework, including with regard to client satisfaction. Furthermore, 'golden indicators' devised by DNA to monitor the implementation of PRONASAR should be included in the M&E system along modalities to be jointly agreed upon with Provincial Departments for Water and sanitation;
- *to identify good practices* and describe related processes, achievements, difficulties. This would include identifying factors of success determining CDC and CdAs sustainability;
- *to device and implement a dissemination strategy*, jointly with district and provincial authorities, participating radios and possibly national institutions and

SDC, which should identify target audiences and appropriate supports for disseminating information. The definition of such strategy could build on the organisation of two stakeholders workshops, one in each province, to present the programme's lessons learnt and best practices and engage dialogue as to how best they could be disseminated and replicated.

123. **Implementation.** It is recommended that an action plan for the remaining period (including the extension phase if approved by SDC) be prepared by Helvetas together with the programme team, to be shared with SDC and with PROGOAS stakeholders at the national, provincial and district level..

5.2 Proposals for a Second Phase

124. **Justification.** Like its predecessors, PROGOAS was conceived as a pilot project and had a limited geographical coverage, which in part covered the same communities that had been targeted by prior projects. The programme has been successful at both building on past successive achievements and developing innovative approaches. Further consolidation and documentation should take place until December 2011.

125. A second phase is now required to switch from piloting to replication and to demonstrate that such tools are appropriate for improving governance as well as sustainable, decentralised, participatory access to water and sanitation at a scale and pace that are compatible with the scale of district needs. There is a lot of interest on behalf both of provincial authorities (DPOPH and DPPF) and of district governments for a change in scale of SDC-Helvetas activities in Nampula and Cabo Delgado, so that larger sections of the rural population can access benefits that have been so far restricted to a small number of communities.

126. The second phase would complement PPFD efforts to develop district abilities to plan and implement public investment programmes, by focusing on building the capacities of civil society to participate in decentralised planning and monitoring of public investments and on developing productive relationships between civil society organisations and local authorities. This should be achieved by securing better coordination with and participation of local authorities in the capacity building process of CDCs and Local Councils, as discussed above¹⁹. The second phase would also consolidate PROGOAS efforts to develop a sustainable private sector offer to secure operation and maintenance of water points. Covering a larger area, it would also provide a more tangible contribution to achieving water and sanitation MDGs. It would be in line with the government's Strategic Plan for Rural Water and Sanitation, and particularly with objectives aiming at increasing coverage and sustainability, and at developing related capacities at district level. While centring on the water and sanitation sector, capacities built within SDPIs would actually benefit the programming, procurement and monitoring of public infrastructure in general.

127. Finally, a second phase would complement SDC's support to the development of a national policy framework for the water and sanitation sector through the AGUASAN project, by providing lessons learnt from the local level that could feed the national policy dialogue. It would assist participating districts and provinces to access financing from the Common Fund for Rural Water and Sanitation, which benefits from SDC co-financing. And it would contribute, through

¹⁹ See footnote 8.

SDC, to policy development in relation to sector decentralisation (PRONASAR) and to the National Decentralised Planning and Finance Programme (PNPFD).

128. **Objective.** PROGOAS II would promote good governance in the water and sanitation sector at the local level, with a focus on communities and districts, yet ensuring linkages with the provincial and national levels. The second phase would keep PROGOAS as an acronym, but the programme title would be slightly changed into '*Programa de Governação no Sector de Água e Saneamento*' or Programme for Governance in the Water and Sanitation Sector. Concentrating on the water and sanitation sector would help in better integrating governance and water and sanitation and in better focusing results. Good governance approaches and tools should have spill-over effect on other sectors as well. Programme activities should be integrated along four different levels of intervention, with the main focus on communities and districts:

- *at the community level:* it would build organisational capacities by helping in setting up CDCs able to participate in the planning and monitoring of district development actions, to establish collaborative relationships with local authorities and to represent communities in Local Councils. Building on lessons learnt in the first phase, support provided with regard to participation in Local Councils could focus on the administrative post level. The programme would also support the creation and strengthening of CdAs able to ensure the operation and maintenance of all public water points in the community, to strengthen community's leaders, to liaise with the CDC to jointly prevent disruptions in community access to water, and to mobilise families in improving sanitation and hygiene through CLTS and PHAST methodologies;
- *at district level:* it would provide support to three kinds of stakeholders: (i) it would build district government capacities to plan and implement water and sanitation infrastructure and to report back to civil society in the District Council; (ii) it would promote private sector operators to ensure operation and maintenance of water and sanitation infrastructure, and to participate in related district tenders; and (iii) it would support community-based organisations in the district to implement activities related to building the capacities of CDCs and CdAs;
- *at the provincial level:* the programme would not develop specific activities at this level, but it would develop relationships with DPOPH, DPPF and PNPFD to coordinate activities, harmonise approaches and develop complementarities. This would also include providing regular information on achievements, lessons learnt and good practices;
- *at the national level:* similarly, no specific activities would be developed at this level, but provisions would be made to ensure a regular flow of information from and to the programme team so that programme knowledge would be channelled to the policy level to feed into policy dialogue, and, conversely, that policy developments would be made accessible to orient and support programme implementation. To this effect, detailed provisions whereby this would happen would need to be developed with SDC and national stakeholders, to avoid the lack of sufficient linkages with the national level experienced both with RDP and with PROGOAS.

129. **Consolidation.** The new programme would consolidate achievements of the first phase mainly in two directions. On the one hand, it would establish a monitoring system of CDC performance and participation in local councils, based on community and other district stakeholders, including local authorities, local councils and *animadores* and *assessores*. The system should be coupled with the possibility for CDCs to access support from local authorities as a way to overcome problems

affecting community development, to build autonomy and independence from programme structure. A similar approach should be developed for CdAs. The other important area for consolidation is the development of a network of capable and profit-making mechanics that can offer services to communities and districts for ensuring maintenance and repairs of water pumps, coupled with reliable access to spare parts, along the lines developed above.

130. **Expansion.** The new programme would scale up first phase achievements and approaches and seek to reach a larger impact by:

- *expanding the programme target area*, by concentrating on the same districts but covering all or most of the district territory. The extent of the coverage would have to be appreciated in the formulation process. Criteria to take into account in this respect include: (i) demographic concentration (more likelihood to cover whole districts in Cabo Delgado where the population is less dispersed); (ii) past involvement with Helvetas programmes (districts having already received several phases of assistance should be entirely covered); (iii) existence of CBOs that could deliver capacity building support at community level; (iv) matching programme resources to support capacity development;
- *supporting the planning and implementation of all of the district financial resources* available for the water and sanitation sector, including district budget resources, PROGOAS resources and resources provided by other, interested development partners;
- *expanding the range of water infrastructure*, therefore including boreholes and wells, but also small piped systems for water supply, water tanks and water catchment, in accordance with needs, available resources and community capacities to sustain operation and maintenance;
- *introducing the PEC zonal approach* to expand Community Participation in Water and Sanitation as well as hygiene promotion activities covering large areas within the district.

131. **Integration.** PROGOAS II should promote a model of intervention based on alignment with existing institutional systems and procedures. This would involve:

- *Integration in district institutional mechanisms*: rather than setting up a separate structure parallel to the district government, programme implementation mechanisms should be integrated within the district administration (specifically the Technical District Team and the District Service for Planning and Infrastructure) and contribute to improving their performance by supporting district systems and procedures for participatory planning, budgeting, procurement, monitoring and accountability to citizens. Programme support would apply not only to PROGOAS resources but to the whole range of district resources available for water and sanitation infrastructure construction, rehabilitation, and maintenance. The programme would assist the district government in establishing a 3-year financing scenario for the water and sanitation sector, including PROGOAS resources, which would be annually revised and constitute the basis for the annual preparation of the district PESOD. A detailed MoU signed by the district administrator and PROGOAS should specify respective obligations, expected outputs and monitoring mechanisms;
- *Strengthening partnerships at provincial level*: explicit MoUs should be established between PROGOAS and, respectively, DPOPH and DPPF/PPFD (which could be co-signed by the provincial government if necessary), to ensure coordination and complementing activities (for example through joint

- planning/monitoring, provision of financial information, inclusion of SINAS indicators in PROGOAS monitoring and evaluation system...). PROGOAS provincial manager for governance should become a member of EPAP, as was the case in IFAD-financed and Helvetas implemented Civil Society Support Project (PASC). As in the first phase, PROGOAS should also be an active participant in the provincial GAS;
- *Partnering with local associative and project structures to implement programme activities:* PROGOAS should build on existing CBOs and local NGOs at district/provincial level to implement programme activities, combining outsourcing with institution building as it has done with AMA, OLIPA and PRONANAC in the first phase. Partnerships should also be established with other development projects, possibly through the district government, to ensure coordination and synergies. The possibility envisaged by Helvetas to organise animadores and assessors into associations that could be hired to provide capacity building as a CBO should also be explored.

132. In any event, partnerships should be defined and enforced through explicit agreements (memorandum of understanding or contract in case of outsourcing), detailing respective responsibilities and deliverables. Annual plans should be established where appropriate (at the least in the case of contracts).

133. **Innovation.** PROGOAS second phase should primarily aim at replicating pilot approaches developed in the first phase at a larger scale and building on existing local governance systems. While it would no longer be a pilot project, innovation should remain as a complementary objective, for example with regard to areas participatory approaches in the governance field, civil society capacity building, local accountability and sustainable access to spare parts and mechanics services in the area of water and sanitation. At any rate, knowledge management should underlie all programme activities to identify good practices and contribute to policy dialogue.

134. **Health.** PROGOAS should align on the recommendations of the recent evaluation of AGUASAN²⁰ to develop synergies between activities in the sectors of water and sanitation and health and education, through joint approaches and coordination of activities.

135. **Resources.** The ratio between programme resources allocated to investment or to support costs (including capacity building support) in PROGOAS I is 1 to 5. It could be desirable to increase resources available to investment. However, PROGOAS II could sort valuable impact even if maintaining the same level of investment financing, just by supporting the district water and sanitation sector as a whole, i.e. extending its assistance to cover all of the resources available to the district rather than focusing just on the programme's. Support would also be provided to facilitate district access to the resources of the Common Fund. Additional resources would however be required to increase programme's capacity to cover larger portions of district territories.

136. **Formulation process.** The organisation of the formulation of the new programme should ensure that there is no time gap between the end of PROGOAS and the start of the new phase. While Helvetas should take the lead in designing the second phase, as already planned, the mission recommends that it hire external expertise, particularly with regard to water and sanitation in a

²⁰ SDC/AGUASAN, Revisão interna do projecto, Relatório final, Outubro 2010.

decentralised framework. Finally it is recommended to include an identification of CBOs/NGOs in the future target districts as well as an assessment of their capacities as part of formulation process.

6. ANNEXES

6.1 Annex 1: Terms of reference

1. Background

The Swiss Cooperation Strategy for 2007 – 2011, envisions support to local governments in developing technical and administrative capacities and improving social service infrastructure, and to civil society in developing innovative social accountability and governance monitoring capacities. In this context, the ProGoAS project is focusing on building further the capacities of civil society in the decentralisation process, as well as, building capacities of service providers in water and sanitation. It is making use of the Rural Development Programme's experience and lessons learned in building the capacities of civil society at community level as well as Water And Sanitation Programme implemented by Helvetas and CARE International in the same provinces.

The project is working mainly at local level, but is making strong links with provincial services (government and civil society) and also offer an important complementary contribution to the Local Governance Domain providing SDC with first-hand field experience to support policy dialogue and to contribute to the move towards national decentralisation and donor coordination.

The longer term objective of ProGoAS is to enhance socio-economic development and poverty reduction through improved local governance and decentralized water and sanitation service provision in 8 rural districts of Nampula and Cabo Delgado Provinces.

Outcome 1: Rural citizens are organized and participate actively and in a well informed manner in transparent consultation and decision making processes which enhance, - on one hand self-reliant strategies at community level and, – on the other hand the effectiveness of the decentralized planning, implementation and financing of water and sanitation sector activities; (EMPOWERMENT)

Outputs:

1. Community Development Committees (CDCs) and Local Forums/CCLPs (group of CDCs) identify, discuss and plan development of their communities. Overall the project capacity building support will benefit CDCs in approx. 160 communities, and 90 Local Forums/CCLPs in 8 target districts.
2. Concerns of communities are actively discussed, and included in district plans (PDD, PESOD), with attention to the concerns of women and other vulnerable groups.
3. The annual and strategic district plans (PDD, PESOD) are monitored by communities through their Local Council representatives, in particular on water and sanitation issues.
4. Local Councils function at all levels (district, Administrative Post, Locality, sub-locality) on the basis of a legitimate representation of communities and interest groups. Overall, approx. 60 Local Councils at locality level (CLL) and 28 at Administrative Post level (CLPA) will benefit from the capacity building support of the project.
5. Women participate actively in decision-making in CDCs and Local Councils, articulate their concerns and monitor decisions taken.

Outcome 2: District governments, the local private sector and the communities provide and manage rural water and sanitation services assuming gradually their role and responsibilities in maintaining and extending service coverage, and – when required - seeking alternative solutions . (SERVICE DELIVERY)

Outputs:

1. District Water Commissions as well as community W&S Committees fulfill their defined functions, applying and practicing good governance principles.
2. District Government Infrastructure & Planning Services fulfill their defined functions in the field of rural water & sanitation service provision, following the processes and procedures of decentralised planning and finance.
3. Local private service providers have developed into rural micro-enterprises delivering an enlarged range of products and services suitable to improve access to safe water and environmental sanitation, to offer alternatives for maintenance management.
4. Affordable alternative sanitation technologies and products are available and used by rural communities and households.
5. Access to public water & sanitation infrastructure is improved and supported by effective hygiene and sanitation promotion. Overall, the project support will benefit directly approx. 120'000 people in terms of improved access to reliable water supply and sanitation facilities.

1.2. Setup of ProGoAS with PMU and IPs

In order to manage the ProGoAS, Helvetas Moçambique established a Programme Management Unit (PMU) in Nampula. In the current phase (January 2009 – December 2011) ProGoAS is working in four districts of Nampula province (Mecuburi, Muecate, Nacaroa and Eрати) and four districts of Cabo Delgado province (Chiure, Ancuabe, Macomia and Mecufi).

Programme Management Unit (PMU):

The overall objective for the programme management has been worded as follows: "To manage the programme in a way that assures an effective, efficient and goal oriented project execution by the implementing partners under a coherent overall programme, paying thereby special attention to the transversal themes of gender and HIV/AIDS."

To achieve this overall objective, the PMU had to focus on the following basic tasks:

- Lead, coordinate and supervise the implementation of ProGOAS,
- Monitor the programme performance including the implementing partners,
- Mainstream the transversal themes of gender and HIV/AIDS,
- Coach and train the implementing partners (capacity building),
- Facilitate the flow of information and the sharing of knowledge.

Implementing Partners (IPs):

SDC mandated Helvetas for management and implementation of the programme and the two national NGOs, namely AMA and OLIPA-ODES were selected by Helvetas. The project documents define the specific project objectives per working district and component for each partner organisation and are the base of the mandate agreements between Helvetas and the IPs.

The two components of ProGoAS are:

- 1. Community Empowerment and Participative District Planning**
- 2. Water and Sanitation Service Delivery**

Capacity Building of IPs (LNGOs, SDPIs, IPCCs etc...) and Transversal Themes as Gender and HIV/AIDS are considered as being fully integrated in both components mentioned above.

2. Context and purpose of the Review

The Swiss Cooperation Strategy (2007-2011) defined three domains of intervention:

1. Economic Development
2. Health
3. Local Governance

Gender and HIV/AIDS are included as transversal themes

Considering the top priority local communities attach to water, the long-standing SDC Water and Sanitation Program has been reoriented and became an integral and crucial component of the Local Governance Domain. Therefore, Switzerland continues to play a leading role in the WatSan sector policy dialogue, focusing on decentralisation and local governance issues.

ProGoAS is the result of this reorientation and is considered as the implementation component of this innovative strategy.

The purpose of the review is to evaluate the achievements of ProGoAS after 2 years of implementation, to give recommendations for the remaining period of the first phase of the Project (till the end of 2011) and to give a base for planning the following phase.

The **General objectives of the mission** are:

1. To evaluate the degree of progress of ProGoAS on the three programme's level:
 - i) Programme steering level (SDC, Helvetas, IP) and supervision (Government),
 - ii) Programme management level (PMU and the IPs)
 - iii) Programme implementation (Helvetas, IPs and beneficiaries) having as its point of reference the underlying document such as the SDCs Cooperation Strategy 2007 – 2011, the Programme Document (OPD) and the mandate agreements of the IPs with a particular focus on relevance, efficiency and effectiveness of the results achieved in the districts.
2. Analyse approaches, lessons learnt and activities of ProGoAS in order to give recommendations for the future.
3. Provide recommendations with regard to its future orientation in particular within the new framework of SDC's CS. This shall include suggestions for the necessary adjustments for the remaining period till end of 2011 as well as outlining options for the future.

3. Tasks and specific questions

The review should address the following questions:

3.1 Programme concept

- Is the program design relevant to meet the goal/objectives of the project, namely improved management and service delivery of government entities?
- Has the project contributed to reinforcement of good governance principles at the local level (access to information, transparency, accountability?)
- Effectiveness: a) has the project contributed to more effective state-citizen relation (increase in democratic and inclusive participation, empowering of civil society)? B) has the project contributed to more effective state services (improved public service delivery, improved use of resources through transparency and accountability, improved service through more competence and capacity at local level)?
- Sustainability: to what extent are results achieved sustainable or can be expected to prove sustainable?
- Does the project build management capacity in local service delivery, civil society and private sector and how?

3.2 Programme implementation (both components)

General questions

- To what extent are community concerns reflected in the district plans in the targeted districts?

- Are there any real linkages between the water committees and CDCs in the targeted districts?
- What has been the major contribution of ProGoAS to local governance process in the targeted districts and provinces?
- Is the chosen set-up, working through national and international NGOs managed by a PMU, appropriate for the programme implementation in Northern Mozambique?
- Is the chosen approach (by linking the CBOs through community empowerment with the district decentralisation process) relevant for the problems to be addressed?
- What aspects of local governance does the existing ProGoAS already include and how could these be further developed? Is the ProGoAS coherent with the current dynamics in participatory planning?

Relevance

- Are the program inputs defined appropriate to attain the expected output and outcomes?
- Are the levels of interventions relevant/efficient to attain the expected outputs and outcomes?
- Are the established partnerships relevant to attain the proposed objectives?
- Are the program objectives still consistent with the national sector strategy and policy?

Effectiveness

- To what extent have the constructed and rehabilitated water and sanitation infrastructures improved living conditions of the beneficiaries (one dimension: increase in the quality of the drinking water and its related health benefit for women and men)?
- Has the sanitation component been addressed and implemented as agreed?
- Has the water and sanitation infrastructures operational cost-efficiency improved over time? Have annual budgets for maintenance and economic/finance planning been established in each water point at community level?
- To what extent the established and trained CDCs are actively participating in the district planning process in the targeted districts?

Efficiency

- Are the program funds currently being used efficiently (cost-benefit analysis)?
- To what extent the establishment and training of CDCs and CdA have improved service delivery in water and sanitation?
- Is the supervision work provided by SDC during the implementation efficient?

Sustainability

- To what extent have/will the equipments and water committees brought about/bring about a sustainable improvement in operational, financial and managerial capacity and a viable development of the water and sanitation services?
- How sustainable are the established and trained CDCs and CdAs in the targeted districts?

3.3 Partners Capacity Building and Development Component

- Assess the appropriateness and effectiveness of ProGoAS engagement with decentralised structures of government within the framework of relevant national policies e.g. the National Water Policy and LOLE;
- Assess partners' ability to implement integrated water, sanitation and hygiene promotion projects in a sustainable and cost-effective manner including their operation and maintenance;

- Assess partners' ability to formulate organisational strategies, prepare fundable projects and raise funds for WatSan projects without undue reliance on long term Helvetas and other donor support;
- Assess partners' ability to develop institutional learning through documentation and dissemination of their own and others' experiences, and adopting good practice in order to improve the way they plan and implement projects;
- Assess partners' ability to engage the local private sector in water and sanitation contracts, manage them and effectively enforce such contracts;
- Are the form and dynamics of partnership satisfactory for all parties?

3.4 Transversal Themes

1. Does the baseline of the activity gives information about gender inequalities in access to resources, roles, needs, and control over assets?
2. Are the data used for the design of the activity disaggregated by sex?
3. Have output indicators been developed that refer to gender equality and equity?
4. Have outcome indicators been established that refer to gender equality and equity?
5. Is there a reference to the gender specific information in the baseline that enables the measurement of the outputs/outcomes of the intervention for women and men separately?
6. Is gender integrated into the evaluation according to the baseline and indicators?
7. Does the reporting system incorporate information on the monitoring of GE?

3.5 Programme Management

Management of the ProGoAS

- Assess the effectiveness and efficiency of the management of the programme and the mechanisms of coordination and collaboration which have been established (coordination among IPs with PMU, PMU with SDC, ProGoAS Steering Group Meeting and district coordination meetings).
- Assess the performance of the Programme Management Unit in particular and its impact on the improvement of implementing partner's capacity.

4. Procedure

4.1. Make-up of the Team

The gender-balanced team shall be composed of 2 consultants, one Mozambican consultant and one international consultant as team leader and will be assisted by the National Programme Officers of SDC. The members should have several years of relevant experience and cover the following profile:

- Institutional and Organizational Development
- Knowledge of Decentralization Planning Process at district level (Public sector development processes / decentralization and district planning)
- To be familiar with National Water Policy and Water (Sanitation Service Promotion through community participation and demand in Mozambique)
- With some experience on how to link regional Program as ProGoAS with National Water and Sanitation Programs such as PRONASAR
- Knowledge of the Mozambican context and fluency in Portuguese and English.

4.2. Work Methodology

The review should be conducted in a participative way, permitting the sounding out of all relevant stakeholders (from beneficiary level up to the programme management, the Government and other relevant stakeholders), ensuring in this way the full benefit from the experience gained during the two years of implementation.

As the professional staff of Helvetas Programme Management Unit, the Implementing Partner Organisations and other stakeholders involved day-to-day constitute the main knowledge base on the process of implementation of ProGoAS, it is crucial that these persons and organizations have a preponderant voice on the vision of the way ahead.

For the review the experience and opinions of persons of all the following groups involved in the implementation of ProGoAS shall be collected;

- The staff contracted by Helvetas for the Programme Management Unit (upper-level and middle-level technical staff based in Nampula and Pemba) as well as the Programme Director in Maputo.
- The staff of the Implementing Partner Organisations (upper-level and middle-level technical staff based in Nampula and Cabo Delgado, as well on lower-level technical staff in the district).
- Representatives of the public institutions (Provincial Directorate of Planning and Finance focusing on PPFD, Provincial Directorate of Public Work and Housing, focusing on DAS, Provincial Secretary's office both in Nampula and Cabo Delgado provinces).
- Representatives of the public institutions at district level (District Administrators, District Services such as: Planning and Infrastructure, Health, Education, ETD – District Technical Team etc.).
- Specific beneficiaries at all level of ProGoAS components:
 - Representatives of non-public organizations (SDPIs, all involved NGOs (AMA and OLIPA_Odes) and private sector (local artisans, local traders);
 - Members and stakeholders of IPCCs (Instituições da Participação e Consulta Comunitária) and CBOs/CDCs/Forum Locais at community, locality, administrative post and district level and WatSan committees.
- SDC/Coof staff such as head of Local Governance and Health Domain, Aguasan Coordinator

4.3. Work Methods

The Review Team shall apply different working methods to ensure that all the issues get taken up in the best possible way:

- Literature review of the documentation drawn up in the context of ProGoAS and other documentation as is deemed pertinent. The extensive set of studies shall be consulted which has been carried out by SDC, by PMU or Implementing Partners and by other institutions, in such a way as to avoid unnecessary duplications;
- Interviews with the above mentioned stakeholder and representatives of other similar or related programmes.
- Field visit

4.4. Time and Duration of the Work

The review will have a duration of approx. 4 weeks incl. a 2-week field visit to Nampula and Cabo Delgado provinces and with a briefing to take place in Maputo,. A work schedule will be established, involving the SDC National Programme Officers.

The review shall start April 17..

The following timetable tentatively indicates the phases of the team's work, as well as the time needed for each phase:

TASKS	Weeks			
	1	2	3	4
Constitution of the team	x			
Preparation, review of documents	xxx			
Visiting Nampula and Cabo Delgado provinces, with field visits and data collection	xx	xxxxx	xxx	
Preliminary Consolidation			xxxxx	
Meeting with PMU, IPs and SDC / draft report			xxxxx	
Finalizing of Report			xx	xxxxx

5. Reporting

A close and regular contact with the responsible NPO of the Coof is indispensable. The draft report shall be presented for discussion to representatives of the various intervening parties and stakeholders in Maputo in plenary based.

The final report of max. 30 pages (plus annexes) is expected latest 12 May 2011. It shall have to following structure:

1. 3-4 page summary with the main conclusions
2. Review procedure
3. Analysis, according the ToR
4. *Assessment*: Options and suggestions with regard to the intended future orientation, recommendations and open questions.
5. *Annexes*: ToR, list persons met and interviewed, programme of work, etc.

6. Documentation

The following documents should be consulted:

- ProGoAs Prodoc
- Mandate agreement between SDC and Helvetas for ProGoAS
- Programme reports by Helvetas
- PROGOAS Supervisory Board minutes
- Baseline Study 2009
- National Water Policy
- ProGoAS Sanitation Strategy
- LOLE (Lei 8/2003)
- Regulamento da LOLE (Decreto 11/2005)
- Guião sobre organização e funcionamento dos conselhos locais
- PROGOAS publications (CDC Best practices, training materials)
- Radio shows

6.2 Annex 2: Persons met

In Maputo

Mr. Marc De Tollenaere	Head of Governance, SDC, Embassy of Switzerland
Mr. Pierre-Olivier Henry	Water and Sanitation Advisor, SDC
Mr. Fernando Pililão	Senior Programme Officer, SDC
Mr. Salvador Forquilha	Senior Programme Officer, SDC
Ms. Suzana Saranga Loforte	Deputy National Director, National Directorate of Water, Ministry of Public Works and Housing
Ms. Karin Füeg	Director, Helvetas Mozambique

In Nampula

Ms. Nina Blid	Coordinator, PROGOAS
Mr. Francisco Sumbane	Governance Manager, PROGOAS
Mr. Horácio Quembo	Water and Sanitation Manager, PROGOAS
Ms. Inês Domingos	M&E Officer
Ms. Patrícia Cafure	Advisor, Institutional Support
Ms. Zita Jaime	Community Assistant, District of Mecuburi, PROGOAS
Mr. Tomás Armando Nhane	Director, DPPF
Mr. Vicente Paulo	PPFD
Mr.	Water and Sanitation Department, DPOPH
Mr. Fayzal Raino	Programme Director, Radio Encontro
Ms. Nerina Jone Bustani	District Administrator, Mecuburi
Ms. Alicia Da Costa	Director of Health, Mecuburi District
Mr. Carlos	Director of Planning, Mecuburi District
Mr.	District Administrator, Nacaroa
Mr. Jôao Chauque	Executive Director, OLIPA-ODES
Mr. José Santana	Manager for PROGOAS, OLIPA-ODES
Mr. Leonardo Caetano	Head, ADELNA
Mr. Ernesto A. Berthon Sanchez	Advisor, ADELNA
Mr. Daud Abdul	ADELNA
Ms. Maria Celestina Eusebio	District Administrator, Ancuabe
Mr.	District Administrator, Mecufi

In Cabo Delgado

Mr. Ferraz Fai Sufo	Governance Manager, PROGOAS
Mr. António Vasco	Former Water and Sanitation Manager, PROGOAS
Mr.	Water and Sanitation Manager, PROGOAS
Mr. Dino Coutinho	Director, DPOPH
Mr. Latif Rufino	DAS, DPOPH
Mr. Alberto Jonas Sumaile	DAS, DPOPH
Mr. Samuel	DAS, DPOPH
Mr. Zé Cahuacate	Head, Rural Development Department, DPPF
Mr. António Macarriz	Advisor, PPFD
Mr. Omar Said	PPFD
Mr. Antonio Daniel	PPFD
Mr. João Correio	PPFD
Mr. Vivaldino Banze	Executive Coordinator, AMA
Mr. Dionisio Agostino	Manager for PROGOAS, AMA
Mr. Antoninho Cheia Inglês	FOCADE
Ms. Elsa Semo	FOCADE

6.3 Annex 4: Mission's programme of work

18 April	Briefing with SDC Meeting with National Directorate of Water Meeting with Planning Department and PPF (MPD) Briefing with Helvetas
19 April	Travel to Nampula Meeting with programme team Meeting with <i>Rede dos Parceiros</i>
20 April	Meeting with DPOPH and DAS Meeting with DPPF and PPF Meeting with Radio Encontro Meeting with OLIPA-ODES
21 April	Visit to Mecuburi district: meeting with district administration, members of district council, visit to Popue and CDCs of micro-region,
22 April	Visit to Nacaroa district: meeting with district administration, members of district council, visit to Namirrupa and micro-region
23 April	Debriefing of Nampula team Travel to Pemba
24 April	Reading and analysis of collected information
25 April	Meeting with programme team Meeting with DPOPH and DAS Meeting with DPPF and PPF Meeting with AMA
26 April	Visit to Ancuabe district: meeting with district administration, members of district council, visit to Nangumi and micro-region, meeting with PRONANAC
27 April	Visit to Mecuvi district: meeting with district administration, members of district council, visit to Sambene and micro-region
28 April	Analysis of information and preparation of debriefing
29 April	Debriefing of Cabo Delgado stakeholders and PROGOAS team Travel to Maputo
30 April	Consolidation of information and preparation of debriefing
1 May	Consolidation of information and preparation of debriefing
2 May	Consolidation of information and preparation of debriefing
3 May	Debriefing at SDC