



GOVERNANCE, WATER AND SANITATION PROGRAMME (PROGOAS) IN MOZAMBIQUE

Experiences and Lessons Learnt

Em memória da Fátima e do Kabuela

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This document was written during an internship by Sabrina Bispo.

EXECUTIVE SUMMARY

The main objective of the Programme for Governance, Water and Sanitation (PROGOAS) was to improve the living conditions and health of rural populations in the provinces of Cabo Delgado and Nampula, Mozambique. The project aimed to ensure the participation of men and women in local governance systems as well as the provision of responsive and sustainable quality water and sanitation services.

PROGOAS was funded by the Swiss Agency for Development and Cooperation and implemented by HELVETAS Swiss Intercooperation (HELVETAS). The project was implemented in eight districts of two provinces in northern Mozambique (Nampula and Cabo Delgado) and was carried out in three separate phases between March 2009 and June 2018.

This document outlines the experiences, lessons learnt and best practices of PROGOAS.

The project evolved over nine years and successfully transferred instruments to the local government system including: Planning Fairs, Public Hearings and Post-Open Defecation Free (post-ODF) intervention:

1. The Planning Fair is an instrument which aims to strengthen community involvement in the district planning process. It was transferred to the government as a tool to ensure systematic district planning while also maintaining accountability and transparency.
2. Public Hearings, held during and after the construction of water infrastructure, strengthen transparency of public works, develop local ownership of the infrastructure and ensure an active dialogue with the community.
3. Post-ODF intervention aims to sustain the number of households who actively use and maintain their latrine after being declared 'open defecation free'. The strategy was elaborated based on the results of a behavioural analysis (RANAS)¹. As a form of social and emotional persuasion from other members of the community, households who continue to maintain and use their latrine are rewarded with a flag which serves as a visual reminder that the household is post-ODF. This encourages other households to do the same, therefore contributing to the wider community's reduction of open defecation.

In order to avoid donor dependency, PROGOAS was able to negotiate certain conditions with the district governments. The district governments agreed to allocate 30 per cent of their District Investment Fund (FID) to the water and sanitation sector. Sustainability of water points was improved with the development of an 'Entrepreneurship Strategy' in which local artisans organized themselves into associations who would be contracted by the responsible district technical service known as the District Planning and Infrastructure Service (SDPI). By increasing their capacities and ensuring the supervision of the handpumps and the Water and Sanitation Committee (CAS), the service provision in the water sector was strengthened by reducing the breakdown duration.

A challenge in collaborating with local organizations was to ensure that their knowledge capacities and functioning was maintained. A self-evaluation tool was developed, introduced and regularly used to ensure the functionality of community bodies (CAS and consultative councils). This evaluation results in an action plan which the members of the organization implement themselves.

The implementation of the project activities evolved over the duration of the programme. At the beginning, HELVETAS partially implemented the project activities directly with a focus at the community level, whereas by completion, local partners were responsible for implementation which had also been scaled-up to the district level.

¹ <https://www.ranamosler.com/>

TABLE OF CONTENTS

ACKNOWLEDGEMENTS	3
EXECUTIVE SUMMARY	4
INTRODUCTION	7
I. GOVERNANCE	11
A. COMMUNITY DEVELOPMENT COUNCIL (CDC): A Project-Specific Body for Local Governance	12
B. PLANNING FAIR: An Affordable Instrument of Participative Planning and Accountability for Local Government	17
C. PUBLIC HEARING: An Instrument for Transparency, Control and Ownership	23
D. SELF-EVALUATION: An Instrument to Systematically Deepen Capacities of Local Governance Institutions	27
II. WATER AND SANITATION	30
E. FINANCING WATER AND SANITATION: Avoiding Donor Dependency in the Water and Sanitation Sector	31
F. WORKING WITH THE PRIVATE SECTOR: Strengthening the Entrepreneurial Spirit of the Private Sector for Improved WASH Services	34
G. PUBLIC PRIVATE PARTNERSHIP FOR SUSTAINABILITY: Preventive Maintenance, Monitoring of Functionality and Cost-Sharing for Major Repairs	37
H. A FLAG FOR SUSTAINABLE SANITATION: Improving CLTS with Post-ODF Intervention	41
III. PROJECT IMPLEMENTATION:	46
Partnering and Systemic Approach	

ABBREVIATIONS

AMA	Associação do Meio Ambiente (Implementing Partner)	ODF	Open Defecation Free (LIFECA in Portuguese)
AMASI	Associação dos educadores e consumidores de água (Implementing Partner)	PEDD	Plano Estratégico de Desenvolvimento Distrital Strategic Plan of the District Development
CAS	Comité de Água e Saneamento Water and Sanitation Committee	PESOD	Plano Económico e Social e Orçamento Distrital District Socio-Economic Plan and Budget
CBO	Community Based Organization	PNPFD /PPFD	Programa Nacional de Planificação e Finanças Descentralizadas/ Programa Planificação e Finanças Distrital National Programme of Decentralized Planning and Finance / District Planning and Financing Programme
CCD	Conselho Consultivo do Distrito Consultative Council of the District	PPP	Public Private Partnership
CCL	Conselho Consultivo da Localidade Consultative Council of the Locality	PROGOAS	Programa de Governação, Água e Saneamento Programme for Governance, Water and Sanitation
CCM	Conselho Cristão do Moçambique Christian Council of Mozambique	RANAS	Risks, Attitudes, Normes, Abilities, Self-regulation
CCP	Conselho Consultivo da Povoação Consultative Council of Village	RDP	Programa de desenvolvimento rural Rural Development Programme
CCPA	Conselho Consultivo do Posto Administrativo Consultative Council of the Administrative Post	SANTOLIC	Saneamento Total Liderado pela Comunidade (CLTS)
CDC	Conselhos de Desenvolvimento Comunitário Community Development Councils	SDC	Swiss Agency for Development and Cooperation
CEGOV	Centro de Formação em Administração Pública, Governação Local e Autárquica Centre for Training in Public Administration, Local Governance and Local Authorities	SDPI	Serviço distrital de Planeamento e Infraestruturas District Planning and Infrastructure Service
CLTS	Community-Led Total Sanitation (SANTOLIC in Portuguese)	WASH	Water, Hygiene and Sanitation
CTD	Conselho Técnico Distrital District Technical Council	WIN	Water Integrity Network
DPEF	Direcção Provincial de Economia e Finanças Provincial Directorate of Economy and Finance		
DPOPHRH	Direcção Provincial de Obras Públicas, Habitação e Recursos Hídricos Provincial Directorate of Public Works, Housing and Water Resources		
DPPF	Direcção Provincial de Plano e Finanças Provincial Directorate of Planning and Finance		
FDD	Fundo de Desenvolvimento Distrital District Development Funds (a form of public microcredit system)		
FID	Fundo de Investimento Distrital District Investment Fund		
LIFECA	Livre de Fecalismo a Ceu Aberto Open-Defecation Free (ODF)		
LOLE	Lei dos Órgãos Locais do Estado Law on State Administration		
M4P	Making markets work for the poor		
MoU	Memorandum of Understanding		
O&M	Operation and Maintenance		

INTRODUCTION

The Programme for Governance, Water and Sanitation (PROGOAS) was implemented in the districts of two provinces in northern Mozambique: Nampula and Cabo Delgado. The project was carried out from March 2009 until June 2018 and was split into three phases. PROGOAS was a Swiss Agency for Development and Cooperation (SDC) financed project implemented by HELVETAS Swiss Intercooperation (HELVETAS). The objective of the project was to improve the living conditions and health of rural populations in a sustainable manner through the participation of men and women in the local governance system to ensure the provision of responsive and sustainable quality water and sanitation services. This document gathers the experiences, lessons learnt and best practices of PROGOAS.

Objectives of PROGOAS Phase III

Outcome 1: in the target districts, gender equitable community priorities are reflected in local development plans and budgets and their implementation is monitored by men and women actively participating in consultative councils at all levels and accountable towards their constituencies

Outcome 2: in the target districts, district services, gender-balanced community-based committees and local artisans jointly secure sustainable use of water and of sanitation and hygiene facilities by rural families;

Outcome 3: systems, processes and tools used to support (a) citizen's participation in the planning and monitoring of public resources and (b) sustainable community use of water and sanitation, are documented, disseminated and used to secure sustainability at the district level and to influence policies and projects at the provincial and national level

How to read this report: This report is organized into three main chapters: Governance, Water and Sanitation and Project Implementation. The first two chapters are structured as follows: Introduction, Problem, Approach, Conclusions and Lessons Learnt as well as Recommendations. The third chapter concentrates on Conclusions, Lessons Learnt and Recommendations. The reader is free to guide themselves to the points most interesting to them.

Project context. Prior to PROGOAS, HELVETAS managed the Rural Development Programme (2005–2007) in the North of Mozambique. This project had a component which aimed to strengthen participation of rural communities in local development initiatives and district planning. To reach this goal a Community Based Organization (CBO) called the Community Development Council (CDC) was established. At the same time, HELVETAS was testing and implementing new approaches in the frame of the National Water Policy in a water project that commenced in 2005. A review of this project recommended putting an emphasis on the training of Water and Sanitation Committees (CAS) and local artisan associations in establishing a sustainable supply chain for spare parts and on the interlinkage of the Water and Sanitation Committees (CAS) with the Community Development Councils (CDC). The review also recommended strengthening the thematic WASH subgroup members in the Consultative Council of the District (CCD)². With these recommendations in mind, PROGOAS was designed in 2008 as a project focusing on both local governance and water and sanitation. On the one hand it would work on the demand side by empowering civil society from grass root to the district level and, on the other hand, by strengthening the supply side, i.e. the service providers of drinking water and sanitation.

Implementation of PROGOAS. Phase one (PROGOAS I) started in 2009 by engaging with CDCs to support them in elaborating their community plan and implementing activities which did not necessitate external support. Activities which required funds were directed to the district government. This proved to be difficult as the CDC had no foreseen legal mandate and was not recognized by the government.

The linkage between the district planning process and the local councils was strengthened in the second phase (PROGOAS II) which started in April 2012. As a result of the mid-term review, the CDCs were discontinued as their sustainability could not be guaranteed following completion of the project. The second phase started to work more with the local councils, mainly at Locality level (CCL) and focussed on building their capacities. The instrument of a Planning Fair (Chapter B) was piloted as well as Public Hearings for overseeing water infrastructure projects (Chapter C).

PROGOAS III was marked by a transfer of responsibility for the realization of the Planning Fairs (Chapter B) and Public Hearings (Chapter H) to the local government. Furthermore, the local private sector was organized to be

² See below on the graph and Chapter B for explanation

able to ensure the maintenance and availability of spare parts for water points.

PROGOAS I–III financed the construction of water infrastructure with HELVETAS’ financial support. HELVETAS initially paid the constructors directly but from the second phase the funds were transferred to the district government who started to pay the constructors. In the sanitation sector, the shift was from a classic Community-Led Total Sanitation (CLTS) approach to the introduction of a post-ODF method to ensure a longer lasting intervention method.

During the implementation of the project, the project evolved from a partially direct implementation to a completely indirect implementation through local NGOs (see Figure 1). The participation of PROGOAS in the provincial governance and water and sanitation networks permitted a harmonization of capacity building strategies and technical assistance to the communities while also respecting interaction with the government, thus strengthening the existing partnerships.

Over the nine years of project implementation, PROGOAS has supported the development of various good governance tools and ensured the project shifted towards a systemic approach in order to guarantee sustainability.

PROGOAS I and PROGOAS II operated in eight districts (Cabo Delgado Province: Mecufi, Ancuabe, Macomia and Chiúre; Nampula Province: Erati, Mecuburi, Muecate and Nacarôa). To be able to cover the whole district territory to ensure a more systemic implementation, the districts were reduced to four at the beginning of the third phase: Mecufi, Chiúre, Nacarôa and Mecuburi continued to be partners of PROGOAS during the last phase.

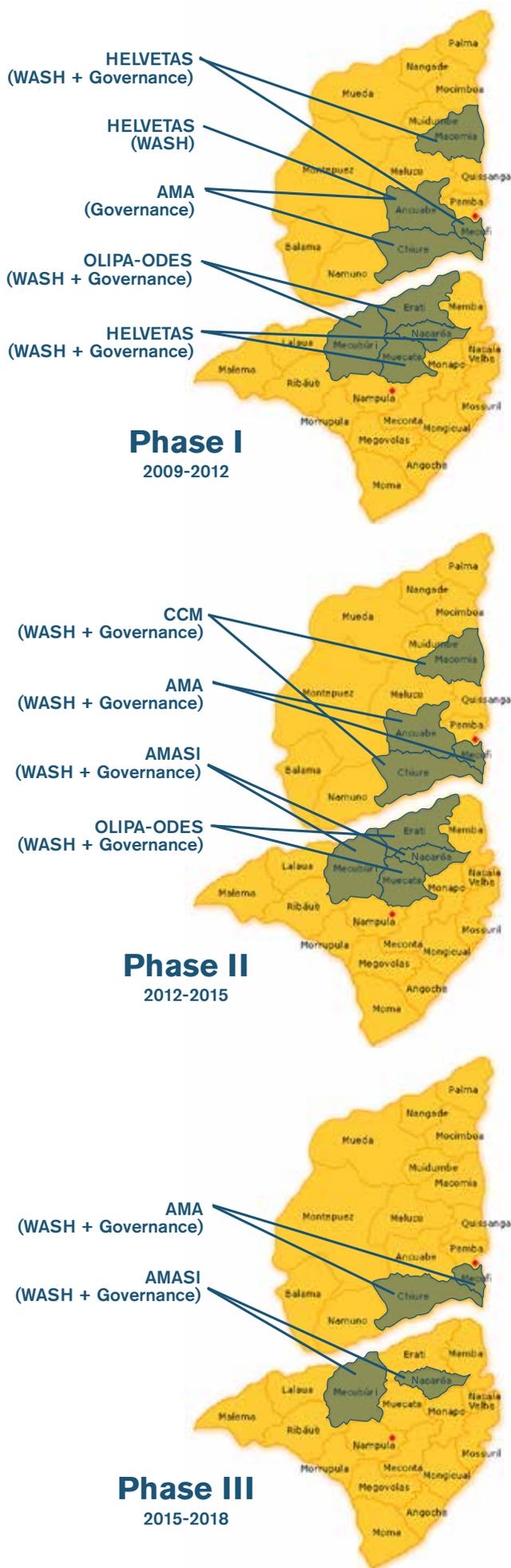


Figure 1: Evolution of the implementation

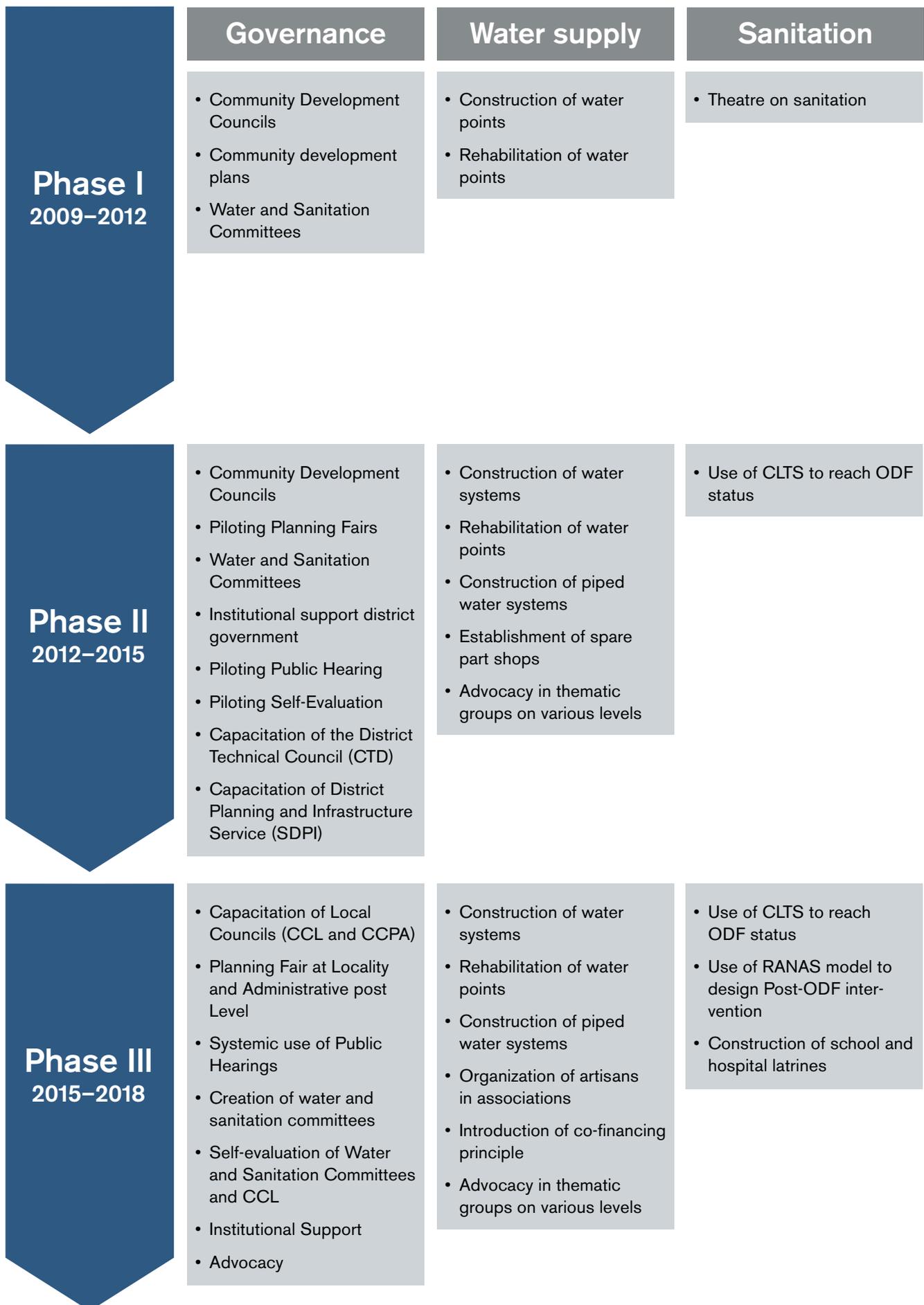


Figure 2: Simplified overview of the three phases

Overview of Administrative Units. Mozambique is organized into ten provinces and one capital city with provincial status. The provinces are divided into municipalities for urban territories and districts for rural territories. Districts are divided into Administrative Posts, Localities and Villages (see Figure 3).

Each layer of administration has different responsibilities concerning the development of the country. The Law on State Administration (in Portuguese, Lei dos Órgãos Locais do Estado (LOLE)) was enacted in 2005. LOLE initiated the decentralization process in Mozambique by defining the governance structure and establishing principles such as citizen participation. The central tenet of LOLE is that communities must be integrated into the local government system through the Consultative Councils. PROGOAS aimed to strengthen this process.

Methodology. The goal of this document is to understand how and why activities were implemented in the project and what were the consequences of the different interventions. The report aims to extract the learning and experiences gathered over nine years of project implementation, outline the best practices and give recommendations for future interventions in similar projects.

The information presented in this document resulted from 17 individual interviews with previous and current staff members, beneficiaries, implementing partners and the district government and technical services. A one-day seminar with the implementing partners (ama and AMASI) was organized to gather success and failures of PROGOAS over the three phases. Moreover, a three-day capitalization seminar was held with the key stakeholders. This capitalization seminar was structured into one day for each phase with staff from HELVETAS and implementation partners as well as beneficiaries and district technical services (CTD and SDPI) representatives who were involved in the respective phases. Furthermore, the author of this report supported the main activities of PROGOAS III during her internship which included multiple field visits and meetings involving district governments.

Level	Authority	Representation	Technical services	
			WASH	Governance
Province	Governor	Province Assembly	DPOPHRH	DPEF
District	Administrator	Consultative Council	SDPI	CTD
Administrative Post	Chief	Consultative Council		
Locality	Chief	Consultative Council		
Village	Leader	Consultative Council		

Figure 3: Administrative Units of the different decentralized levels

I. GOVERNANCE



In the area of governance, PROGOAS focussed on integrating communities into the planning processes of the district and enhancing transparency of government interventions. During PROGOAS I and II the **Community Development Councils (CDCs)** were created, capacitated and assisted (Chapter A). This body has proven to be a good approach to strengthen citizenship but the project faced challenges in embedding the CDCs into existing local government structures. Therefore, the **Planning Fair** (Chapter B) was adapted to fit into the existing government structure. As a means to promote transparency and ownership of water infrastructure projects, a **Public Hearing** (Chapter C) was introduced while the capacities of Water and Sanitation Committees and Local Consultative Councils were consolidated through a **Self-Evaluation Tool** (Chapter D).

A. COMMUNITY DEVELOPMENT COUNCIL

(CDC): A PROJECT-SPECIFIC BODY FOR LOCAL GOVERNANCE

INTRODUCTION

The Law on State Administration (LOLE)³ was approved on the 10 June 2005.⁴ The Law reinforces decentralization and gives the district governments the responsibility of the planning process while ensuring citizen participation. The LOLE created the Consultative Council of the Locality (CCL) which are the main bodies linking citizens and the local government (see Chapter B).

Since the 1990s, NGOs supported the strengthening of participatory planning at the community level through the creation of community bodies. The district of Mecuburi (in the Province of Nampula) was used as a laboratory to pilot new governance models.⁵

Based on these earlier interventions, PROGOAS I focussed on Community Development Councils (CDCs) as an entry point to strengthen participatory planning. These CDCs were not foreseen by the LOLE and this community based body was not linked to any of the administrative units of the district (see Figure 3).

THE PROBLEM

No clear methodology to handle the decentralized annual planning process was foreseen by the law. Moreover, the law was not put into practice in most of the districts. The citizens were not consulted during the planning process and the State could not be held accountable as the spaces for dialogue and participation were not effective.

Other hindering factors which made active citizenship difficult included: a high level of poverty and illiteracy, difficult access to information in the rural communities, and low level of knowledge about the responsibilities of local government in terms of service provision and accountability.

Women especially suffer from exclusion in decision making practices due to cultural barriers which emphasize male responsibility in governing the community. Women fear being stigmatized if they speak out in mixed groups or they are perceived as being a 'disobedient wife' if they

express a diverging opinion from men. Furthermore, due to the gender power imbalance, women's opinions are often not considered in decision making practices, even when they do share their concerns.

OUR APPROACH

The entry point of PROGOAS I was at the community level through the Community Development Council (CDC). The CDC was created to enable active citizenship for participative planning, social mobilization and the efficient implementation of local projects.

A CDC is formed by different interest groups (e.g. religious leaders, representatives of women and youth, farmer organizations) incorporated through a voting process.⁶ Together with the local leader, the elected members choose a management board consisting of a president, a vice-president and a secretary. The local leader is charged with managing any conflict that could potentially arise within the group.

Community Plan. To strengthen community planning, the CDC elaborated a community plan which contained projects they could implement themselves, such as building a school out of local material, as well as infrastructure projects (water points, health centres, etc) which had to be financed by the government. These plans were presented at the lowest administrative entity⁷: the Locality.⁸

Training Curriculum. The CDC received training on several aspects including leadership and conflict management, decentralized planning, monitoring and evaluation, gender and local governance, elaboration of community plans, transversal topics (such as HIV/AIDS awareness) and management of natural resources. During the first phase, the literacy of CDC members was developed in literacy centres of another HELVETAS project.

Gender mainstreaming evolved while working with the CDCs. This involved engaging with gender in a broader range of governance issues as well as the more specific examples of female leadership and exchange visits organized with other CDCs where women already had an active role as citizens.

Radio. The transmission of radio programmes was another instrument that was used. The production focussed on transmitting good practices through an "open microphone", where community members shared their updates

3 Lei n° 8/2003 (law)

4 Decreto n° 11/2005 (decree)

5 Previous projects were Moz44 and RDP. More information can be obtained from HELVETAS.

6 Every interest group has the right to vote for their own representative.

7 In 2018, the "povoação" consultative council is not yet in place in all districts.

8 Localidade in Portuguese.

on their own activities, e.g. building a covered shelter for the market. Listening to success stories and good practices aimed to motivate the CDCs so that they would copy these activities in their own community. Other programmes explained the role and tasks of the CDC and the importance of district planning with community participation. Public listening was also organized in the communities with radios from the project. Between 2010 and 2011, 50 thirty-minute radio programmes were produced.

Cascade Training. In PROGOAS I, the CDCs were trained using a cascade system covering more than 200 CDCs in the 8 districts of the project. The districts were divided into micro-regions to implement the system. A micro-region consisted of around seven neighbouring villages with a centrally accessible village. This was the meeting point where the implementation partners trained two elected committee members of every CDC (the 'facilitators'). The elected committee members were trained to give trainings to the other CDC members and were paid depending on the number of trainings carried out. Among all the facilitators, a group of assessors was chosen to capacitate and supervise the facilitators. The assessors received a small subsidy, a bicycle and a radio to perform their duties. The implementation partners led the training of the assessors and facilitators, which meant that they organized the logistics and offered catering. On the lower level, i.e. the trainings organized by the facilitator, nothing was offered which caused conflicts as the facilitators were accused of "keeping the funds to fill their own stomachs". Despite reinforcing the control and supervision, the situation did not improve enough to change this negative perception. The different benefits between assessors, facilitators and other members of CDC led to conflicts. Cascade training was abandoned prior to the start of the second phase due to its inefficiencies.

Evaluation of CDC. Each of the CDCs were evaluated and grouped into categories to show their ability or not to subsist without project support: A: Can subsist; B: Limited chances to subsist; C: Cannot subsist. In the second phase, the project only worked with CDCs that were either A or B and discontinued with C level to create a maximum number of sustainable CDCs.

THE RESULTS

The CDC allowed the community to develop through its own means by, for example, building covered shelters for meetings, classrooms and public latrines. Moreover, they advocated for their needs at the Locality level even when their success was very limited. When all the local councils (CCD, CCPA and CCL) were revitalized (see Chapter B), the members of CDCs were motivated to become members of those councils.

Ofelia Rodrigues Pavia lives in a village located in the district of Nacarôa. In 2009, Ofelia Pavia decided to apply to be the president of her local CDC: she never imagined how important this choice would be for her community. Nowadays, more women participate and take decisions in the public meetings.

"My greatest motivation was to play a role in developing my community and, today, I am really happy because we have improved waterpoints, people are using latrines and we are building a new classroom for the school. All these are fruits of the CDC."

Ofelia Rodrigues Paiva,
31 years old, Nacarôa.

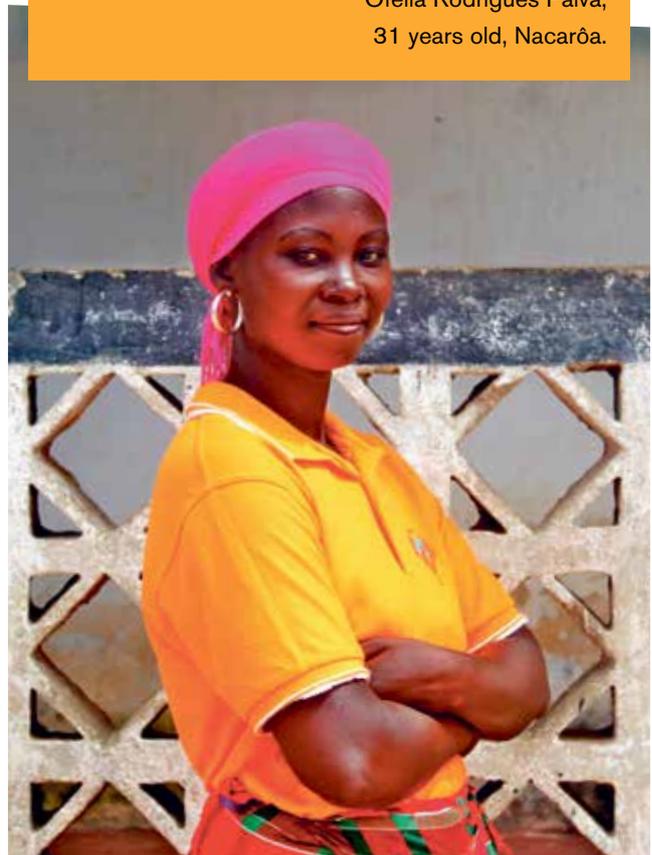


Figure 4: Ofélia Paiva, President of CDC

By the end of PROGOAS I, 204 CDCs had been established, whereas only 14% of these would have subsisted without project support. PROGOAS II reached 112 ongoing CDCs as 40% were evaluated to be capable to subsist without further project support.

Strength	Weaknesses
<p>CDCs build a foundation for citizenship and motivate local residents to develop their community.</p> <p>The efforts in gender equity promotion (gender and governance module, female leadership examples, experience exchange) benefited from the participation of women in the CDCs' decision making.</p> <p>Thematic broad capacitation, including the literacy programmes, strengthened overall capacities in the community.</p> <p>The Community Plans included activities which did not necessitate funding and advanced the community as empowered citizens.</p>	<p>Low level of realization of activities due to difficulties in mobilising public funds.</p> <p>Time consuming to ensure that all communities have a CDC.</p> <p>A leader/charismatic personality is needed to make sure a CDC is functional without external support.</p> <p>CDCs were not recognized as an official planning entity by the government and thus did not have any clear role in the planning process.</p> <p>Conflict between CDC members and local leaders often occurred due to leadership competition.</p>

CONCLUSIONS AND LESSONS LEARNT

The problem of cascade capacity building and benefits for members

While the cascade method ensured training to over 200 CDCs, knowledge was lost at each level of the cascade system. Another factor that influenced the low quality in some communities is that they felt excluded from the benefits assessors and facilitators received and therefore deliberately did not attend the trainings. Facilitators also complained about their benefits compared to the assessors', thus influencing their commitment and motivation.

LESSON LEARNT

A.1 Cascade training failed to provide sustainable capacity building. Moreover, unequal benefits caused conflicts in the community. It is recommended to reduce the entities which should be capacitated rather than introducing cascade training. Furthermore, a clear strategy on how to handle benefits should be elaborated in a participatory and transparent way.

Using radio programmes for the diffusion of good practices and the problem of coverage

The radio programmes were appreciated in the com-

munities. The success stories of other communities encouraged the CDCs to implement similar projects. The project experienced difficulties with transmission. It was not possible to ensure the coverage of all communities nor the maintenance of radios based in the communities. Meanwhile, although the radio programmes were useful for sharing information they were not necessarily successful in sensitizing listeners on certain topics such as hygiene and HIV prevention as shown by the results of an evaluation of the impact of these broadcasts.

LESSON LEARNT

A.2 Radio programmes are a useful tool to share good practices and information and allow for good practices to be replicated in other communities. Nevertheless, they are only useful when the target audience can be reached: the coverage of the radio and the maintenance of the radios which are distributed in the community therefore have to be guaranteed.

CDC in conflict with local leaders

The CDCs were formed with the communities and included the participation of the local leaders of the community appointed by the central government. Nevertheless, in some cases, conflicts between the representatives of

the CDC and the local community leaders arose. Such conflicts are considered normal in processes of strengthening citizenship where questions arise that begin to challenge older structures and leaders. Some community leaders felt threatened and feared losing their power even though they got the position of the advisor in the CDC. Others felt that they should be taking on the role of facilitators or president of the CDC.

LESSON LEARNT

A.3 To ensure the appropriation of the CDC in the community and to ensure that the conflicts are handled well it is important to sensitize the local leaders about their role and facilitate the module on conflict management right at the beginning. There is a need to emphasize the importance of the CDC and its role in developing the community as a complement to existing bodies.

CDCs: an artificial institution for local governance

The CDCs were created with the aim to be the lowest level body for participative planning. Unfortunately, the CDCs were outside the legal framework and were perceived to be solely a project instrument rather than being embedded in local governance systems. Giving continuation to the community plans was, therefore, very difficult as they almost never received public funding. Furthermore, it was difficult to cover the whole territory of a district with CDCs. Even after 6 years, the project was not able to create and train all the needed CDCs. Moreover, the CDC is a resource intensive body which needs dynamic local leadership.

LESSON LEARNT

A.4 Creating project dependent bodies outside the legal framework is risky in terms of sustainability. This should be avoided when the objective is to strengthen good governance.

LESSON LEARNT

A.5 If no existing body can assume the responsibilities expected by a project, the creation of a new body should be driven by an analysis of the existing financial and technical capacities of the actors with whom this body will be attached. A reflection on the large-scale replication of such a body should be conducted from the onset of the project to avoid the creation of a structure disconnected from local realities.

LESSON LEARNT

A.6 Even though CDCs have their strengths (see below). The CDC model is costly, time consuming and dependent on local leadership. Covering a wide area with this body is a huge undertaking. It is not a manageable body to cover the whole district area and therefore not relevant for participative planning. Furthermore, creation and training of CDCs by the government is not possible due to the lack of resources.

CDC: a body to promote communitarian citizenship and women's empowerment

The broad training modules which the CDC members received assisted in creating active citizenship. The capacity of the body to strengthen women's participation, even if there were a change of gender power relations, remained difficult.

LESSON LEARNT

A.7 CDCs enable the community members to become active citizens and empower women's participation. CDCs have proven to be capable of encouraging active citizens in the communities and to be a space where dynamics of the community can flourish, rather than a body for participative planning at the district level.

LESSON LEARNT

A.8 CDCs have the advantage to offer a space where the community can think about their challenges but also their possibilities to improve the livelihood in their village through own means which does not necessitate external funding.

RECOMMENDATIONS

Cascade training should be avoided as the quality of training suffers and the transfer of knowledge cannot be closely assisted. A mechanism is needed to ensure efficient knowledge transfers between each level or group of persons and to minimize these levels or transfers as much as possible by concentrating on a key group of individuals.

Before introducing any subsidies consider evaluating the social consequences. (See lessons learnt A.1)

Radio programmes can be used for specific reasons, e.g. sharing of good practices, but are less beneficial for other aspects, e.g. sensitization. It is important to guarantee the transmission of the programs by ensuring radios are maintained and transmission covers the entire implementation area. (See lesson learnt A.2)

Be careful not to create artificial bodies which are only project-linked and have no foundation in the law and cannot be incorporated into existing governance structures. (See lesson learnt A.4)

If such a new body must be created, it should be discussed at an early stage with the primary stakeholder, in this case the district government, to identify the expectations but also the limits of local capacities. (See Lesson Learnt 5)

If you are looking for ways to strengthen active citizenship and gender equity, community councils, such as CDCs, can be a useful local governance mechanism. (See lesson learnt A.7 and A.8)

B. PLANNING FAIR: AN AFFORDABLE INSTRUMENT OF PARTICIPATIVE PLANNING AND ACCOUNTABILITY FOR LOCAL GOVERNMENT

INTRODUCTION

The mid-term evaluation of PROGOAS II concluded that supporting CDCs without involving existing local government structures hindered their chances of acquiring funds and affected the long-term sustainability of the project after its completion. Therefore, the strategy in the third phase was focused on the introduction of a participative planning mechanism that would fit with the existing local government mechanisms.

Planning District Level. The district government is responsible for developing the District Socio-Economic Plan and Budget (PESOD) every year and the Strategic Plan of the District Development (PEDD) every five years⁹. The District Technical Council (CTD), composed of public officials from different district services, is responsible for coordinating the planning process, involving the local councils at all levels (CCD, CCPA and CCL) which exist on the different administrative levels of the district (see table below), and elaborating the plans.

<p>Village (Povoação)¹⁰ Consultative Councils of Village (CCP) 5 to 10 members</p>
<p>Locality Consultative Councils of Locality (CCL) 10 to 20 members</p>
<p>Administrative Post Consultative Councils of Administrative Post (CCPA) 20 to 40 members</p>
<p>District Consultative Councils of District (CCD) 30 to 50 members</p>

⁹ The development of the PEDD is foreseen to be every 10 years from 2018.
¹⁰ Villages were created in Nampula and do not yet exist in Cabo Delgado.

The guidelines on the organization and functionality of the local councils were established in 2008. In 2009 and 2010, the Province of Nampula was chosen to pilot the creation of such local councils prior to the National Program for Decentralized Planning and Finance¹¹ formed the local councils in the whole country in 2011. A revitalization of these councils was conducted in 2015.

These councils (CCD, CCPA and CCL) are a body which are consulted by the local authorities on community matters and issues that affect their everyday life. Their tasks are to:

- Collect and transmit requests of the communities to the responsible department of the district government;
- Assist the planning process and monitor the realization of the PESOD;
- Collaborate with the local authorities to share information about the local development, project plans from NGOs and from the private sector;
- Assist government with the distribution and enforcement of the District Development Fund (FDD)¹².

As defined in the law, the local councils must be composed of not less than 30% female members, 40% local leaders and 20% young people. Civil Society Organizations must also be represented. The selection process starts at Locality level (CCL). The members are not elected but rather appointed during a meeting directed by the chief of the Administrative Post. Each group (women, leader, youth, civil society) should choose a representative within their own group. Two to three members are then nominated to become members of the Consultative Council of the Administrative Post (CCPA). The Chief of the Locality is one of the representatives who will always participate at the next administrative level (CCPA). The same process is done at the Administrative Post level to choose the CCD members.

Self-assessment of Local Governance. The Self-Assessment of Local Governance tool was used in PROGOAS I. The members of the district governments, together with civil society members¹³, met to evaluate the realization of every activity in the different sectors¹⁴ during a secret vote. The results of both the district government and civil society were debated and discussed until a consensus was found. This instrument was abandoned due to a negative perception formed by the government who felt like they were being judged by members of the

¹¹ Known as PPF and PNPFD (See Abbreviation)

¹² The FDD is known by the population as «the seven million». The fund is used as loans for community members for small scale projects. Most of the loans are never reimbursed.

¹³ The members of the CDC and local councils were invited to a meeting with the Administrator, Permanent Secretary and the CTD.

¹⁴ The sectors were: Education, Infrastructure, Health and Economic Activities

community. This meant that the social audit and return of information had to be ensured through different means.

The Planning Fair was introduced in the second phase as a governance tool for the CDC. The tool had promising results. In the third phase, it was adapted to provide a participative planning instrument for the district authorities (CTD). A social audit aspect was also introduced during the fair through the presentation of the simplified matrix of the PESOD. This matrix summarizes the ongoing progress of the different works financed by the District Investment Fund (FID). To upscale the use of this instrument, PROGOAS developed a specific curriculum with the governmental training centre, CEGOV¹⁵. A manual and a didactic video have been produced for this purpose.

THE PROBLEM

The implementation of participative planning as defined by the LOLE does not foresee a systematic approach on how to put it into practice. Every district implements the law differently but, as a diagnostic carried out by the CEGOV revealed, most of them do not consult local councils during the planning process and instead gather information about community needs in different ways. Moreover, the district government expects the CCD members to relay the information to the Locality through the different levels of consultative councils (CCPA and CCL). This rarely happens, however, because of a lack of clear methodology for the social audit and the down streaming of information from district authorities to communities.

A main issue is the lack of competences of the District Technical Council (CTD). The CTD is responsible for the planning process but does not have sufficient skills to lead a proper participatory process.

OUR APPROACH

PROGOAS III made use of the revitalization of the local councils at all levels (CCD, CCPA and CCL) in 2015 to capacitate the representative bodies and promote the membership of CDC members in these councils. At the same time, the Planning Fair was introduced as a prerequisite for continuation of project support. In the first project cycle (2015), the District Technicians Councils (CTDs) were capacitated and assisted the Planning Fair while the implementation partner facilitated the fairs. The objective was to gradually pass the instrument to the CTD.

Therefore, in the second year (2016), the CTD co-facilitated the process and in the third year (2017) the district government became responsible for the whole process. The implementation partner involvement decreased during the same period, ending with only advice and sporadic involvement. There was also a financial transition, which resulted in the district government covering the planning costs in the third year of PROGOAS III.

The project introduced Planning Fairs at the Locality and Administrative Post level. There was also a pilot at the district level which was unfortunately ineffective because the presence of the District Administrator tended to prevent open debate due to his or her position. The way Consultative Councils are established avoided the representation of opposition leaders. Members of the CCD would then never contradict the political chief. It was then decided that the CTD would use the plan of the Administrative Post as a basis to elaborate the district plan (PESOD).

The concept of the Planning Fair is linked to what is foreseen in the law (LOLE) and engages with the existing structures of the local councils (CCD, CCPA and CCL). The process can be simplified as follows:

¹⁵ The Centre for the trainings in Public Administration, Local Governance and Local Authorities.



STEP 1
The CTD train the CCL members on collecting community needs

STEP 2
The members of the Consultative Council of the Locality (CCL) realize meetings and discussions with their community to collect the needs

STEP 3
The CTD lead the Planning Fair of the Locality which starts with the presentation of the **simplified matrix of the PESOD**. The CCL members can comment and ask questions about the realization or not of the planned activities. They then present the gathered needs from the communities which are prioritised by sector. **A Plan of the Locality** is finally elaborated.

STEP 4
All the Plans of the Localities are brought to the Planning Fair of the Administrative Post by CCL representatives. The CTD facilitates the process where the Consultative Council does a second prioritization to elaborate the harmonised **Plan of the Administrative Post**. The CTD collects all the Plans of different Administrative Posts.

STEP 5
The CTD elaborates the **PESOD** considering the Plans of the Administrative Post and presents it at the Session of the Consultative Council of the District for validation before the submission to Provincial Government.

Figure 5: The five steps of the planning process using the Planning Fairs

To transfer the instrument and the skills to the local government, pedagogic material has been produced such as a practical manual and a didactical video. Through the partnership with the CEGOV, PROGOAS developed a curriculum on participatory planning to institutionalize the knowledge and ensure its replication in other districts and provinces.

THE RESULTS

Number of Planning Fairs realized

Year	Locality	Administrative Post	District
2015	43	14	4
2016	45	15	0
2017	45	15	0

To ensure knowledge transfer, a simplified guide was provided to the implementing partners and CTD members. This guide was used to elaborate, together with the CEGOV, the practical manual. To complete this manual, but also to advocate for the instrument, a film¹⁶ was produced which documents the whole process of the Planning Fair and gives a voice to local actors justifying the need of such a tool. This video has been integrated in the training module developed with the CEGOV and also shared within HELVETAS to stimulate the introduction of such participatory mechanisms.

¹⁶ <https://www.helvetas.org/en/mozambique>

The members of the Consultative Council of the Locality (CCL) of Nacopo in the district of Nacarôa put pressure on the district authorities during a Planning Fair to ensure the conclusion of the construction of the administrative office. The contractor had left the works unfinished despite having received all the funds for its realization. The CCL is now proud of its role in ensuring the building was finished.

“With this administrative office, the population’s life improved in this locality. We can now solve administrative issues here and there is no need to go to the town (Nacarôa) anymore, which is quite far from here.”

Maurício António,
deputy president of the CCL of Nacopo.



Figure 6: Members of the CCL of Nacopo, District of Nacarôa

Strength	Weaknesses
<p>The needs of the communities are prioritized by the representatives of the communities. These representatives gain recognition with this new responsibility when concrete actions are implemented by the local government.</p> <p>The citizens get the return of information about what was realized (technically and financially) during the last planning cycle and are given space for dialogue with the district government to share their concerns and ask for clarification.</p> <p>The process can cover the whole district at an affordable cost for the local government.</p> <p>Capacitating all the Local Councils on gathering community's needs can be done by the CTD.</p> <p>The needs of the communities are acknowledged by the government.</p>	<p>The minimum female quota of 30 per cent is irrelevant in cases when women feel that they are unable to participate because of social pressure.</p> <p>Yearly planning causes frustration as only few planned activities are realized due to the reduced availability of public funds.</p> <p>CCL representatives failing to act with integrity (i.e. acting with transparency, accountability, participatory and being uncorrupted) can exclude some members of community and their needs from the process</p> <p>Cannot ensure that needs are included in the PESOD by the CTD members</p>

CONCLUSIONS AND LESSONS LEARNT

Planning Fair as an instrument for participative planning and return of information which can be managed by the district government

Working together with the local councils and introducing Planning Fairs has shown to be an adapted instrument to ensure participation of the citizens and accountability of the district government. Yearly planning is foreseen by the law. Moreover, the Planning Fair is not only recognized by the CTD and the district governments to be a good instrument to guarantee participation and to prioritize necessities but also to promote downstream communication. During the Planning Fair, the government has space to present its progress, therefore the community representatives have to return information and hold the government accountable as well as question activities. Both district government and local council members gain recognition from the community with this improvement of transparency. The Planning Fair is an affordable instrument for the district and can be executed with their own human resources.

LESSON LEARNT

B.1 Introducing an instrument for participative planning works when it is integrated into the existing legal framework and at an affordable cost. Planning Fairs are a manageable and recognized instrument for local authorities to put the LOLE into practice and offer a space to provide return of information. Such tools increase the recognition of government and community representatives.

Self-Assessment Local Governance vs. Simplified Matrix of the PESOD

The instrument of Self-Assessment of Local Governance used during PROGOAS I caused tension. The government, not used to such activities, felt that they were being judged and left them feeling exposed. Nevertheless, there were positive aspects as the pressure from the civil society on the members of the administration, in some cases, resulted in better performance of the district technicians. In the third phase of the project, the social audit instrument was integrated in the Planning Fair by presenting the simplified matrix of the PESOD. The presentation holds the government accountable for their activities and gives the opportunity for interaction with the civil society.

LESSON LEARNT

B.2 It is important to use social audit instruments which are accepted by the local authorities and to involve the government during the creation of such instruments in order to ensure that they are introduced successfully. The tool can be misunderstood leading to its rejection if it is too advanced compared to the level of political culture. It proved easier to integrate the simplified matrix of the PESOD because the matrix was already used at district level. Nevertheless, the presentation opens a door for a space of dialogue and questioning of the Consultative Council (representing the civil society). It represents a first step toward accountability

Having a clear strategy when giving subsidies for the participation in activities

Before transferring the Planning Fair to the government, the implementation partners were in charge of its realization. They received funds to organize the planning process and pay foreseen subsidies (transport and catering) to the members of the local councils. In the third project cycle, the district government covered all expenses. In some Localities, members of the CCL did not understand the reduction of subsidies as the change was not well communicated.

LESSON LEARNT

B.3 When introducing an instrument which should be handed over to a local actor, it is important to consider which incentives are granted before this handover and ensure that these are harmonized according to local rules. Creating high expectations can cause conflicts later when the local actors cannot fulfil them. Therefore, a clear strategy must be adopted or otherwise, subsidies should be foregone. (See also lesson learnt A.1)

Planning Fairs on the district level did not work out

In the first two project cycles, PROGOAS tried to introduce the Planning Fair at the district level. During this Fair, the Administrator and/or the Permanent Secretary is always present. Their presence reduces the possibility of debate because the status of this level of leader hinders members of the Consultative Councils to defend contradictory points of view in public. Therefore, it was better to focus on the other levels and use the session of the Consultative Council of the District to present the elaborated PESOD as the Administration was already used to do so.

LESSON LEARNT

B.4 It is important to be able to adapt the instruments introduced to the realities found on the ground and evaluate how citizenship can be best promoted. Therefore, it is better to aim a little less high and change the next level with sufficient time to change mentality.

RECOMMENDATIONS

While introducing an instrument in an existing system, it is important that actors within this system are able to claim ownership and replicate it. Therefore, the instrument should be advocated and relations established with institutional partners to ensure continuation beyond project completion. (See B.1)

Giving subsidies for the participation of events must be strategically outlined clearly. It may be better to lose participants by not paying any subsidies but being more sustainable when handing over the process to local actors. (See B.3)

It is worth seeing if CCL members would commit to the implementation of activities which do not necessitate funding. This could act as a driving motor for their own development if they were held accountable for their own planning.

C. PUBLIC HEARING: AN INSTRUMENT FOR TRANSPARENCY, CONTROL AND OWNERSHIP

INTRODUCTION

In northern Mozambique, no clear ruling for the announcement of water infrastructure works is put into practice. This results in a low flow of information. The citizens are often not consulted on the construction of infrastructure – even for the locating of a borehole in their own village. Announcements are made on a board in the office of the district secretary for large-scale works, therefore illiterate and communities far away from the district capital are not able to access the information. Small-scale works are normally not announced even though legal obligations highlight that this should be done.

In the second phase of PROGOAS, a public audit was successfully tested. It was introduced systematically during the third phase to strengthen the appropriation of water infrastructure by the communities.

THE PROBLEM

The missing announcement, consultation and involvement of the beneficiaries of the proposed infrastructure works results in a lack of community ownership and instead the communities see the infrastructure as owned by the project. This results in a lack of responsibility for the operation and maintenance (O&M) of the infrastructure.

The factor of missing transparency and systematic building inspection reinforces the missing ownership and makes it difficult to guarantee sustainability of water points. Furthermore, there is no space for dialogue where the community could share their viewpoint on, for example, the location of the water point or give feedback on the construction process.

The missing transparency can result in a deviation of the place where to build the infrastructure by some community members and cause conflicts in the community.

OUR APPROACH

The Public Hearing instrument was introduced to ensure transparency during the construction of water points. The focus is to ensure the community is consulted and involved throughout the whole process. The Public Hearing is split into three meetings with the community (see Figure 7): pre-construction, provisional delivery, and definitive delivery. During the whole process, the District Planning and Infrastructure Service (SDPI), the building contractor, the works supervisor and the facilitator of the social area are involved. When this tool was introduced, the implementation partner facilitated the process. The responsibility of the realization of the Public Hearing was gradually passed over to the SDPI. In the last phase, the SDPI facilitated all the Public Hearings, the partners were only involved with small coaching interventions.

«The constructor did not use the proper sand to make concrete, now it is already falling apart»

Community member during a Public Audit in Macaia, Chiure

Furthermore, the local artisans receive a space to promote their services (see Chapter F and G) and introduce themselves to the community. In cases of urgency, (spare parts, important repairs) the community will know who to contact.

1. PRE-CONSTRUCTION

The SDPI informs the community about the water infrastructure project and the specific apportionment of the costs and presents the building contractor and the supervisor. Furthermore, they explain why their community has been chosen to benefit from the infrastructure.



2. PROVISIONAL DELIVERY

During the provisional delivery, the community has the chance to comment on the construction process and the quality of the infrastructure. After doing a financial report, the SDPI officially hands over the responsibilities for O&M to the community and the building contractor gives a set of spare parts to the water committee (CAS). The form of the provisional delivery is read and signed by the SDPI, building contractor, local leader and CAS president.



3. FINAL DELIVERY

A year later the warranty expires. An evaluation of the satisfaction of the user for the service provided by the water point is conducted. For such exercise, the SDPI uses the community score card or other voting process adapted for illiterate persons. The SDPI presents the final delivery forms and all parties sign.



Figure 7: The three steps of the Public Hearing

THE RESULTS

Through the Public Hearings, the community is informed in a transparent manner about the water infrastructure they will receive in their community. Early on, the Public Hearings were realized only for the construction of new boreholes. It was then systematized for all works, including public latrines and piped water supply systems. If the realization of the first step was sometimes cancelled due to the difficulties to mobilize the private companies, the second step was always organized as it occurred during the provisory delivery. The SDPI appreciated the tool as a manner to formally give the responsibility to the community for the operation and maintenance of the handpumps. The graph (see Figure 8) shows the number of Public Hearings conducted during the second and third phase of PROGOAS.

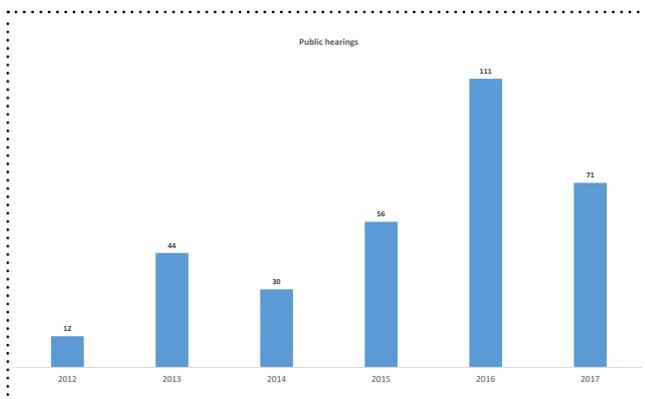


Figure 8: Number of Public Hearings conducted during PROGOAS II and III

During a Public Hearing in 2016 in the village of Nongica, Chiúre District, it became apparent that the population were not satisfied with a borehole due to the poor quality and low quantity of water. Aside from the issues with the water, the residents refused to receive the source because the constructor had drilled the borehole in a place that had not been agreed to by the residents of the village. The situation was reported to the district government, who assured the residents that the problem would be resolved as soon as possible.

At the end of last year (2017), the leadership of the village returned to write a letter to the district government communicating the situation, however, so far they have not had a satisfactory answer. "The water coming out of the pump is not sufficient and worse still, the quality is not suitable for drinking", said Victorino Napau Cabral, the President of the CAS of Nongica, having added that the population uses water to make blocks for home building and other activities.



Figure 9: Members of the CAS of Nongica beside the problematic handpump

Strength	Weaknesses
<p>The Public Hearing guarantees financial transparency.</p> <p>The district government officially hands over responsibilities to the community.</p> <p>The Public Hearing establishes a space for dialogue and feedback.</p> <p>Public Hearings are easy to use and affordable for District Planning and Infrastructure Service (SDPI).</p> <p>There is an opportunity to link CAS with the local artisans to facilitate further support.</p>	<p>The start of the process is often delayed as the presence of the constructor and works supervisor is difficult to guarantee.</p> <p>As there are structured guidelines, the information provided depends on the SDPI which often do not meet the expectations of the population.</p>

CONCLUSIONS AND LESSONS LEARNT

Promotion of ownership, social audit and transparency

Public Hearings as a social audit instrument aim to ensure that construction in relation to water infrastructure is carried out in a transparent manner and with the participation of the local community. Informing the community and making a link to the planning process increases responsibility and ownership. The community understand that the water point is part of a long process and therefore appreciate its value and the efforts needed to keep it functional. As a result, the community assumes responsibility which they were denied before as the infrastructure was perceived to be owned by the project.

LESSON LEARNT

C.1 Public Hearings are an instrument which do not only offer a transparent process but also strengthen understandings about responsibilities and ownership of the community.

A control mechanism for infrastructures

Initiating the Public Hearing before the construction work starts was found to be important to define the roles of different stakeholders. The Public Hearing helped the SDPI understand their role as owner of the future infrastructure by supervising and informing the community about the process and also assisting the community to take control of its responsibilities. The community supervised the work of the constructor and could share it in the Public Hearing.

LESSON LEARNT

C.2 Dedicate a clear space to inform the community on the supervision of the instrument and also where the community can share their observation results in a community-based, control mechanism.

RECOMMENDATIONS

A contract clause should mention the obligation for a works supervisor and contractor to be present during the Public Hearing. A small payment could be made for this.

Offer space to the artisan to ensure that the CAS know where to find assistance and supplies for spare parts.

A checklist should be provided to the District Planning and Infrastructures Service (SDPI) to ensure a good realization of the exercise.

There is potential to advocate for replication and systematic use of the instrument in the whole province, and even nation-wide, including piped water supply systems and institutional sanitation infrastructures.

D. SELF-EVALUATION: AN INSTRUMENT TO SYSTEMATICALLY DEEPEN CAPACITIES OF LOCAL GOVERNANCE INSTITUTIONS

INTRODUCTION

At the end of the second phase of PROGOAS, a self-evaluation tool was developed to strengthen the capacities of Water and Sanitation Committees (CAS) and Consultative Councils of the Locality (CCL). CAS and CCL are the lower bodies of local governance.

CAS. Every water point should have a functioning village-based committee for its operation and maintenance. As recommended in the National Water Strategy, the committee is constituted by twelve members; i.e. six women and six men as the gender should be balanced. CAS have three working groups: Hygiene and Sanitation, Management Board as well as Operation and Maintenance (see Chapter G for more details). The CAS together with the community establishes a contribution mechanism for the water service (per month or per volume) to ensure maintenance and reparation if a breakdown occurs and define opening-hours to maintain a certain control.

CCL. The CCL is a committee at the Locality level, an administrative unit of the district, and has 10 to 20 members, of which 30% are female (see Chapter B). They are responsible to collect the needs for the district planning in the community and to manage District Development Funds from the government (FDD). Furthermore, they should share the information they receive from the government with the community.

THE PROBLEM

While strengthening CAS and CCL, it was found that short trainings are not sufficient to ensure lasting capacities. The limited results of these trainings can be explained with the low level of education of the participants as most of them are illiterate.

A main challenge is to ensure the accountability and integrity of the bodies. The CAS shows deficiencies to use the accounting books correctly. Moreover, gender issues are striking: few women are found in leadership positions and changing the gender power relations remains challenging. Another issue is when members must be replaced (because of moving away or death) resulting in vacancies or arrival of new members without knowledge.

OUR APPROACH

To ensure the long-term functionality of CAS and CCL and to promote good internal governance of these bodies, a self-evaluation tool has been developed and introduced by PROGOAS. This tool allows the bodies to evaluate themselves and their functionality in a discussion animated by an external facilitator. The debate is oriented by specific questions such as the organization and regularity of meetings, bylaws, knowledge about their tasks and capacities, etc. The questions also reflect gender issues and methods to figure out gender imbalance (e.g. separating men from women when answering specific questions). Every question can be evaluated from 1 to 3 (3 = very good).

The identified weak points get translated into an action plan aiming to improve the functionality of the body. This action plan must be implemented without external support.

The results of the evaluation can also be used to monitor and classify the bodies between functioning and non-functioning ones. The results can also be used as guidance to define specific training to be conducted.

After the evaluation of the body, the results are presented to the community. This is important to see if the results reflect the perception of the population that the body should serve and to ensure the implementation of the action plan, as the members of the bodies commit themselves in a transparent manner.

THE RESULTS

The first year (2015) was dedicated to piloting the use of the tool and training the implementing partners for its use. Some modifications have been made, especially in relation to the simplification of the questions to reduce the duration of the exercise and make it easier to use for the partners. It was also useful to clarify that the tool, used to classify the CAS in order to evaluate their functionality, was not an indirect way of assessing the quality of the implementing partner also in charge of the training of the CAS. This misperception explains partially the reason why the classification was more positive in the first year than in the further ones.

The complexity of the tool and its duration influenced the number of self-evaluations carried out per year by the implementing partners. The two implementing partners facilitated the self-evaluation of an average of 20 CCL and 50 CAS each year.

The level of functioning of these local bodies was strengthened through continuous assessment. In 2017 and 2018, the implementing partners received the orientation to facilitate the process only for the CCL that were not considered as functional, based on the former year self-evaluation exercise. The reduction from 29 to 14 between 2017 and 2018 shows the effectiveness of the tool as a complement of the training to ensure the functionality of such bodies.

Self-Evaluation of CCL

Year	Number Evaluated
2015 (Pilot)	4
2016	18
2017	29
2018	14

Self-Evaluation of CAS

Year	Number Evaluated	Level A	Level B	Level C
2015	46	22 %	53 %	25 %
2016	61	17 %	48 %	35 %
2017	46	16 %	51 %	33 %
2018	42	16 %	53 %	31 %

Strength	Weaknesses
<p>The tool guarantees an holistic evaluation of the governance issues of the respective institution.</p> <p>The actions to be taken for the improvement of the body do not need external support.</p> <p>Opportunity for accountability of the body to the community.</p> <p>The tool can be used indirectly for developing a needs assessment for capacity building.</p>	<p>It is complicated for committee members to use the instrument when their education is low. Therefore, it needs an external partner for the implementation.</p> <p>The duration of the assessment is a critical point that needs to be clarified from the outset to the members of the institution.</p>

CONCLUSIONS AND LESSONS LEARNT

Successive capacity building tool for tailored strengthening of local bodies

The self-assessment of the CCL and the CAS provides an opportunity for the members to reflect on their responsibilities and improve their understanding of why and how they should function. The instrument allows for the monitoring and allocation of resources effectively by the implementing partner. The instrument is, therefore, too complex and time intensive for a local actor.

LESSON LEARNT

D.1 The training of local bodies needs a follow-up self-assessment to strengthen their self-awareness as a body and to better their functioning. Self-evaluation is a training tool which ensures continuation and this needs to be done regularly.

An effective tool to ensure members understand the purpose of the committee

The self-assessment is useful in ensuring that the committee members understand the purpose of their role and the role of the committee per se. During the creation of the committees and the initial trainings, the members understood how the committee should work as well as their individual roles but in most cases missed the fundamental reason or purpose why the body was established. Questioning deeply the way the body should work during the self-assessment makes the members realize why it has been created.

LESSON LEARNT

D.2 The training of such community bodies does not provide the necessary inputs to give the opportunity of the members to understand the fundamental objective of the body. They are too focused on understanding how it should work and what they should do. Implementing a process of introspection helps the members to understand the purpose of the local governance institution.

RECOMMENDATIONS

Self-evaluation should be used as complementary tool to train local organizations and strengthen knowledge about their task and their functioning.

Self-evaluation can also be used to monitor local government bodies and to design their capacity-building plan.

It is important to clarify the tasks of each member (facilitator, secretary, etc.) from the beginning of the exercise so that they understand properly that it is an internal exercise despite the presence of an external agent.

The presentation of the results of the self-evaluation to the population is crucial to ensure the execution of the action plan for improvement.

To give a voice to disadvantaged people, it is important that for the purpose of the evaluation, groups are separated for certain questions and then later discussed in a plenary to highlight differing viewpoints.

II. WATER AND SANITATION



To ensure sustainable water service provision and improvement of the sanitation situation, the project introduced several mechanisms: **co-financing of water infrastructure by the project** (Chapter E), **strengthening entrepreneurship in the local private sector** (Chapter F), improvement of rural water supply service through a **public-private partnership** (Chapter G). After analysing the relevant behavioural aspects in relation to use and maintenance of latrines, a **post-ODF strategy** was introduced (Chapter H) to promote sustainable sanitation improvement.

E. FINANCING WATER AND SANITATION: AVOIDING DONOR DEPENDENCY IN THE WATER AND SANITATION SECTOR

INTRODUCTION

During PROGOAS I, the government initiated the procurement process for the construction of water infrastructure while HELVETAS signed the contract with the building contractor and paid them directly. In the second phase, the investment funds were transferred to the district that oversaw all processes: procurement, signature of contract and payment of the service. The transfer of responsibilities was successful and maintained in the third phase. The shift in responsibilities ensured closer relationship between the project and the government. This rapprochement strengthened as the project entered the third phase and the number of districts was reduced from eight to four.

During the second phase, only four districts out of the eight received investment funds each year. This was to ensure enough construction works could be carried out to be attractive for the building companies. There were no financial contributions from district government for the works during the first two years. In order to initiate the district's participation, HELVETAS decided to introduce the principle of a competition as a means to access financial support. This competition was organized at the province level. The objective was to ensure public financing would reach at least 15% of the overall investment costs. The competition went well in Nampula: two out of four districts presented a proposal and Mecuburi District won with a contribution of 35% of the total infrastructure costs. In Cabo Delgado, all four districts, by consensus, refused to participate, and requested for an equitable allocation of funds within the four districts. They stated that the competition was not justified as they represent one province and were not in competition with each other.

In the last phase, HELVETAS introduced the principle of co-financing the construction of infrastructure for WASH. The project financial support was allocated based on the efforts made by the district to prioritize its own District Investment Fund (FID) for the sector. The more the district allocated its FID for the WASH sector, the more additional funds the district received from PROGOAS. A target of 30% of the FID was defined in the MoU signed in 2015. At the same time, lobbying at Province and National level has ensured the integration of the 30% principle in to normal practices.

THE PROBLEM

Budget allocations by the districts for water and sanitation are insufficient and do not cover the needs of the population. The situation gets worse when the district benefits from donor support in this sector resulting in reallocation of the funds for other sectors. This creates a funding gap when external support ends. Instead of reinforcing the sector, donors can, through their assistance, create a dependency thereby reducing the mid-term investment and the quality of the service.

OUR APPROACH

To overcome donor-dependency in the WASH sector, HELVETAS introduced a condition to access financial support of PROGOAS in the third phase. The principle of allocating 30% of the District Investment Fund (FID) to the water and sanitation sector was included in the Memorandum of Understanding (MoU) signed between HELVETAS and all the four districts at the beginning of the third phase. The aim of the MoU was to introduce general principles such as transparency and co-financing of activities to guide the collaboration and also anticipate the end of the project. To strengthen its negotiation position, HELVETAS allied with SDC and the Provincial Directorate of Public Works, Housing and Water Resources (DPOPHRH) and the Provincial Directorate of Planning and Finance (DPPF) to sensitize the district governments early on about the importance of fixing a minimum annual investment for WASH due to the existing needs. The strategy worked out and the four districts signed the MoU with this principle included.

The principle of fixing minimum annual investment for WASH was put into practice in a participatory way. Early in the year, a meeting was organized with representatives of the four districts (usually the directors of SDPI). Each participant presented his annual budget and the amount the district decided to allocate to the sector. HELVETAS presented its contribution divided fairly between the districts based on their population and size. The financial support for the districts who do not reach the 30% threshold was reduced and distributed to the ones who comply. This reallocation of the project investment funds was done by the district representatives themselves, with HELVETAS guaranteeing that the process remained fair. Usually the directors of SDPI wanted to cut down an important amount of the project's financial support, HELVETAS' intervention was therefore to keep this amount reasonable to keep the mechanism as an incentive rather as a punishment. The results were then communicated to all the district authorities, the provincial Department of

Public Works and the SDC to ensure transparency and avoid any complaints afterwards.

THE RESULTS

The FID is a grant given annually by the central government to the districts. The grant is based on the needs expressed in the development plan (PESOD), but limited by the available budget at national level as the FID is adopted by the national assembly. The average amount of the FID is between 10 and 15 million meticaís (or CHF 175'000 and CHF 260'000 with 2018 exchange rate) but can differ a lot between one district and the other, mainly because of its size and population but also for political reasons.

A significant part of the FID is already earmarked by the central government for the maintenance of the roads, but the district keeps the control of the majority of the funds it receives. The distribution of the FID within the four technical services representing all the sectors is done by the District Administrator in a participatory process. Most of the funds are managed by the SDPI who oversees all the works in the district.

As illustrated in the graph, the amount of the FID allocated to the WASH sector increased and then decreased. This was due to the debt crisis that resulted in the reduction of the national budget from 2017. Despite this reduction, the part of the district investment for the water and sanitation sector increased gradually during the three years. Only the district of Chiure did not reach the 30% by 2017, but efforts were made to reach 26%. The case of Nacarôa is also specific as the part of the annual budget for the WASH sector reached 50% in 2017 as it was less than 10% in 2015. This is thanks to the efforts made by the District Administrator who considered WASH a crucial sector for Nacarôa. The Province Governor had also an influence since he defined the orientation of the districts in making specific efforts for the WASH sector.

The districts accepted this procedure, no major complaints were registered as was the case during the competition organized in the second phase. The reactions from the district representatives were all constructive, with them agreeing to do their best the year after to avoid such a reduction.

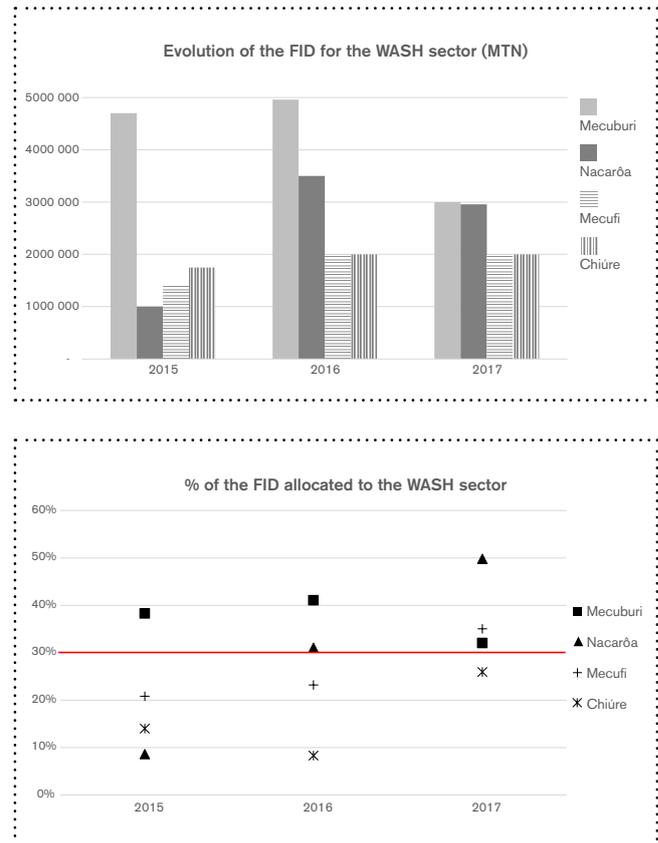


Figure 10: Evolution of the allocation of the FID for the WASH sector during PROGOAS III

CONCLUSIONS AND LESSONS LEARNT

More budget allocation in the sector of water and sanitation through sensitization and advocacy

While the introduction of a competition was unsuccessful in Cabo Delgado due to a misunderstanding of the principles, the way the co-financing condition was introduced showed good results in terms of acceptance and execution. Successful results have been reached thanks to the collaboration with the higher levels of the district, the province Departments of Public Works and of Economy and Finances (DPEF), as well as the support of SDC, principal donor of the project.

LESSON LEARNT

E.1 Introducing conditional access to financial support, such as a competition between districts, can be problematic when communication is unclear and not enough time is provided for negotiation or to clarify the process.

LESSON LEARNT

E.2 Introducing conditions to access external funding is important to avoid donor dependency and its corollary: the reallocation of public funds due to the presence of a partner. Key factors for a successful introduction are: sensitization early on, advocacy with strategic partners from higher political hierarchies and use of momentum. If the conditions are not met, it is important to communicate well and give time to all stakeholders to incorporate the idea before going for the final negotiation.

RECOMMENDATIONS

To avoid donor dependency and the reallocation of funds it is important to introduce conditions for funding right from the outset. Therefore, it is important to search and build strategic partnerships early on and to be consistent in assuming the consequences of its implementation.

It is also crucial to have several partners to ensure activities continue even in the case of one partner not reaching the condition.

An external agent needs to position himself to avoid creating financial dependency. From a sustainability perspective, a project should always anticipate its ending by establishing a condition for a smooth transition and avoiding an investment gap after its completion.

F. WORKING WITH THE PRIVATE SECTOR: STRENGTHENING THE ENTREPRENEURIAL SPIRIT OF THE PRIVATE SECTOR FOR IMPROVED WASH SERVICES

INTRODUCTION

The private sector in the area where the project was implemented consists largely of low-skilled artisans. In some cases, the artisans are organized into associations arising from specific support provided by other projects. Usually, even for small reparations, the district contracts private companies from the provincial capital.

During PROGOAS I, the artisans, as individuals, were trained on enterprise management, reparation and maintenance of water points and the production of concrete slabs. In the second phase of PROGOAS, activities were implemented in Cabo Delgado to involve the artisans in the local sale of spare parts for hand pumps. Three spare part shops have opened with the support of PROGOAS and the SDPI. The spare part shops in the districts of Ancuabe and Chiúre are still functioning in 2018, although they face difficulties. The cash flow is low, the supply to restock is only available in Nampula and the artisans often close the shop if they need to pursue other activities, such as farming. In the third phase of PROGOAS, the project used a market approach (M4P¹⁷ adapted for the WASH sector) for strengthening this private sector.

THE PROBLEM

The artisans are scattered around the district and often only work when they have free time, where as they are engaged in farming the rest of the time. They usually don't have enough trade to dedicate most of their time to their technical activity. Moreover, they have a limited knowledge about entrepreneurship and lack access to financial mechanisms, making it difficult to improve their business. In some cases, due to misunderstood external support, the artisans show a "project oriented" spirit, being in a position of waiting for support or solicitation rather than looking at opportunities and how to improve their own business. Added to this, the local authorities usually do not offer them opportunities for public tenders, arguing that they don't comply with legal requirements.

This situation tends to lower the contribution of the local private sector in the WASH sector.

OUR APPROACH

With its intervention, PROGOAS tried to reinforce the involvement of the local private sector in the WASH sector. The artisans should provide services to ensure the functionality of water points and to incentivize communities in the usage of concrete slabs to improve their latrine. The project tackled the two major constraints: shifting towards an entrepreneurial spirit of the local artisans and creating the conditions for them to access public tenders.

Since the beginning of the implementation of the M4P approach, HELVETAS clearly stated that it will not provide direct funding to the artisans. During the reinforcement process, the artisans were incentivized to prioritize internal solutions rather than asking for support. Even so, the project gave technical assistance for the elaboration of the association's business plan.

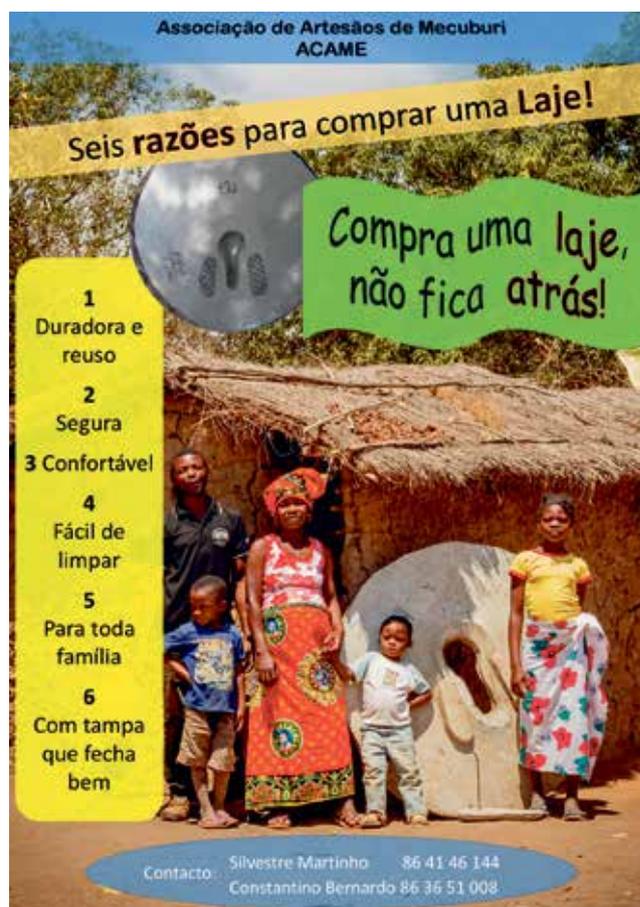


Figure 11: Example of a promotion poster produced by the project and used by the association in Mecuburi

As an incentive and model, artisans received some support for marketing material (see Figure 11). The business plan was split into monthly goals which were monitored. They found spaces during the Public Hearing (Chapter C) and the post-ODF evaluation (Chapter H) where they could promote their business.

17 Making markets work for the poor.

Through the financial support of the district, the artisans received a first stock of spare parts to launch this component of the business. They were asked to regularly present the stock situation to SDPI, as it was considered a public investment.

On the other side, the artisans received support to organize themselves into a legally recognized entity (association). This allowed them to participate in small scale public tenders. The creation of associations assists the artisans in finding their own means to drive their businesses and use synergies within the members.

Exchange visits were also organized to promote the peer learning between the artisans of different districts.

THE RESULTS

Mecuburi's association of artisans was created before the start of PROGOAS and it is still working thanks to a good relationship with SDPI who gave them the opportunity to implement public works (rehabilitation of hand pumps, construction of public buildings, etc). The project did not invest time to reinforce their institutional position. This association has been used to pilot innovative approaches before their replication in the other project during the third phase but also as a reference for the artisans and the SDPI of the other districts. Similar associations were established in Nacarôa and Chiure but the project failed to create one in Mecufi since most of the artisans trained in the first two phases had moved to the town of Pemba to find work. Those two associations are now recognized by the district authorities as a service provider in the WASH sector eligible for public tender.

The implementation of the business plan in the three districts has achieved various concrete results. In the three associations, the members contribute with a membership fee. In Mecuburi they also have to give part of their profits to the association (10%) when they win a contract because of the association. In Nacarôa, they were able to build their own workshop and produce simple marketing products to make their association known. Finally, in Mecuburi they organized trainings among each other to teach new members on technical aspects, such as how to make a concrete slab.

For the specific activity of hand pump spare parts sales, the association of Mecuburi established a functional system. They did not open a proper shop but informed the water committees (CAS) that they do have them and at which price. In each administrative post, a member is given responsibility to manage a small stock of spare parts

(the more demanded ones). This shortens the reaction time in case of a breakdown.

The associations are now capable of operating without assistance from the project but continue to face multiple challenges. Some members need to travel a lot for meetings in the district capital, making it hard to organize regular assemblies. The stock management of spare parts is not yet fully understood: further support and follow-up is needed to ensure proper monitoring and a timely restock of the most demanded supplies. Moreover, a detailed business plan has to be elaborated to guarantee cash-flow.

A positive observation was that the members shifted their mind from project dependency to an entrepreneurial spirit.

CONCLUSIONS AND LESSONS LEARNT

Challenges faced by spare part shops

During PROGOAS II, spare part shops managed by artisans were promoted. Two out of three shops eventually closed because they were not profitable enough and did not provide an availability of the spare parts in the whole district area. First, the shops were not open regularly which created difficulties for community members who had to travel far to reach the shop and had no knowledge if it were open or not. Secondly, it is rather inefficient to have an artisan sitting in a shop all day. Thirdly, it is difficult for the shop to be financially sustainable as some spare parts have a low turnover, thus requiring the shop to offer other products with higher turnover.

LESSON LEARNT

F.1 Establishing shops created difficulties due to the low turnover when selling spare parts and irregular opening times. Alternative concepts have to be considered, such as the association established in the District of Mecuburi which consists of geographically spread members who are less location-dependent and are able to share the financial risks.

Focussing on technical assistance to promote entrepreneurial spirit of private sector

To promote the entrepreneurial spirit of the artisans it was crucial to focus on technical assistance only and to avoid any project dependency. Even if the principles are shared early on, it is important to regularly remind the artisans to always try to find an internal solution instead

of looking for assistance when a problem occurs. This motivated the association to find their own market and work together to create benefits. Nevertheless, strategic assistance is needed.

LESSON LEARNT

F.2 Key to strengthening associations is to offer strategic assistance to the local artisans on producing their own business plan. The shift from support dependency to self-management must be done early enough and maintained constantly by avoiding direct support. The time factor is crucial. The external facilitator must always accept the local timeframe. The deadlines, milestones and availability of technicians must be defined accordingly. It is also important to let the artisans make mistakes in order to give them an opportunity to learn from them.

RECOMMENDATIONS

In projects aiming to reinforce the local private sector, the starting point is the promotion of the entrepreneurial spirit. Not everybody can be an entrepreneur. It is therefore beneficial to identify artisans with the proper mindset so that they can be reinforced as an individual enterprise or used as a motor for a group, such as an association. Such an approach is time consuming and expected results of the project must be defined accordingly.

Such a project must accept failures and avoid the artificial creation of small enterprises that work because of project-related financial input. Financial support, apart from initial starting capital in certain conditions, should be avoided as they are often not related to local economic conditions and thus are not sustainable after project completion.

G. PUBLIC PRIVATE PARTNERSHIP FOR SUSTAINABILITY: PREVENTIVE MAINTENANCE, MONITORING OF FUNCTIONALITY AND COST-SHARING FOR MAJOR REPAIRS

INTRODUCTION

The Mozambique National Water Policy foresees that the Water and Sanitation Committees (CAS) are responsible for the management as well as operation and maintenance of the water points. The community ensures that if the water point breaks down, the spare parts can be bought and the artisan can be paid to fix it out from local (community and government) funding.

Since the beginning of PROGOAS, the creation and training of water committees was included in every construction or rehabilitation of water point. This inclusion was not only to follow the national framework, but aimed to ensure the sustainability of the water point and to ensure the quality of the water service. Water committees were also involved in sanitation promotion. In order to tackle the challenge of the effectiveness of these committees, HELVETAS imagined several ways of strengthening the CAS. Starting with a regular follow up based on a categorization of the CAS linked to their functionality, these efforts ended with the use of the self-evaluation tool (see Chapter D) and the establishment of a Public Private Partnership (PPP) for their supervision as described in this chapter.

THE PROBLEM

As in many African countries, the rate of dysfunctional water points is high in rural areas of Mozambique.¹⁸ Water committees have highlighted their limits for major repairs, leaving the water point badly broken in such a way that only rehabilitation can solve the problem. On the other side, the District Planning and Infrastructure Service (SDPI) do not have the technical and logistical resources to guarantee the complementary maintenance. An involvement of the local private sector can be a solution to fill the gap.

This lack of involvement of water committees can be explained by several factors:

¹⁸ The central government estimates that 12% of handpumps are broken but this number is an underestimate caused by the difficulties for the SDPI to properly control the functionality of the water points.

In the first phase, the private companies contracted for the works were directly paid by HELVETAS. The newly built or rehabilitated water point was seen by the community as a 'HELVETAS pump' and the CAS did not own the water point and did not feel responsible for its maintenance. In many cases, the community was waiting for external support even for minor repairs.

The local water committees demonstrated their limits for repairing complex breakdowns. Added to this situation, rural families have problems and sometimes are reluctant to regularly pay a water fee in order to have funding when an intervention is needed.

In rural parts of the districts, it is difficult to access the spare parts. There is also a limited offer of technical support (skilled artisans are mainly based in the main town of the districts) when the breakdown is beyond the competencies of the CAS.

OUR APPROACH

Various measures have been taken to improve the sustainability of the water points. Since the beginning of the project, CAS have been created, trained, monitored and assisted by the implementing partners.

Since the second phase, the project started to strengthen the local private sector through trainings and coaching, making them known in the communities and ensuring the availability of spare parts (See Chapter F).

In the last phase, a Self-Evaluation Tool (See Chapter D) was introduced to ensure the functioning of CAS.



Figure 12: Veronica Mateus, member of the CAS of Mecuburi Chico, working on the maintenance of a handpump in the District of Nacarôa.

The responsibility for the operation and maintenance of the water point are formally transferred to the CAS through the Public Hearing (see Chapter C) to reinforce the ownership and emphasize its commitment.

In addition, in the third phase, PROGOAS supported the establishment of result-based contracts between artisans and SDPI of a pilot district, Mecuburi. This PPP aimed to concretize the supervision of water points. Preventive visits were made by artisans to the water point to check the functionality of the hand pump and to identify mechanical dysfunctions and pre-empting any serious breakdowns that may occur. The artisan in charge of the supervision also controlled how the CAS maintains the pump and the surrounding area, manages the funds from the user's contributions and if regular meetings are organized for transparency and accountability. A form is filled and signed by the CAS, the local leader and the artisan. This form is given to the SDPI as proof of the work realized.

When an artisan is solicited by a CAS, the artisan intervenes promptly to fix the breakdown. Another form is used by the artisan where the repair is described and all the costs listed (spare parts and manpower). The amount the CAS could pay out of the total cost of the intervention is mentioned so the artisan can claim the difference to the SDPI while giving the form.

In this partnership, the SDPI pays for supervision of the CAS (defined fee based on the distance to the water point) and contributes to the reparation of the water points, completing the amount the CAS could not pay to the artisan.

This approach gives an answer to many of the recurrent problems. First, a regular follow up of the CAS is done, keeping the motivation to the CAS member in doing their job. Major breakdowns can be anticipated and, if they occur, fixed properly by a skilled person. The cost of the major breakdown is not a reason to leave the pump non-functional as the local government can support the CAS. Finally, the SDPI can use the forms to update its data base.

THE RESULTS

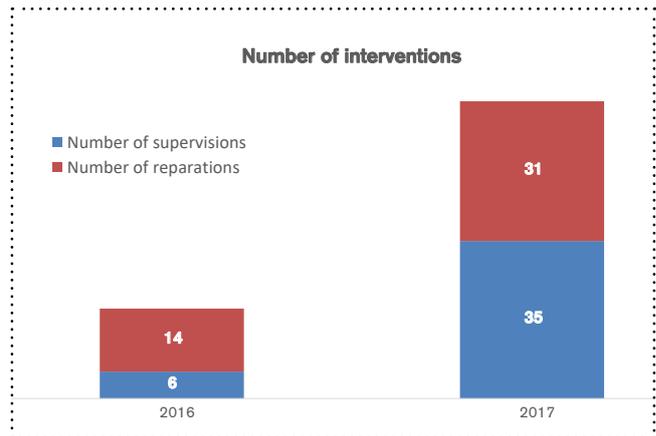


Figure 13: Number of interventions realized by the artisans in Mecuburi District

Helvetas started this approach in Mecuburi in August 2016, leaving only five months remaining for the intervention to occur. In total, 20 interventions were realized by the artisans: 14 visits to repair hand pumps and six visits for the supervision of the water point and CAS. The overall cost was less than USD 1'200 from which only USD 41 (3%) was required for supervision. The average cost of the reparation was USD 82, with the SDPI covering 78% of the cost. As a pilot phase, PROGOAS supported all the costs through its institutional support to the district.

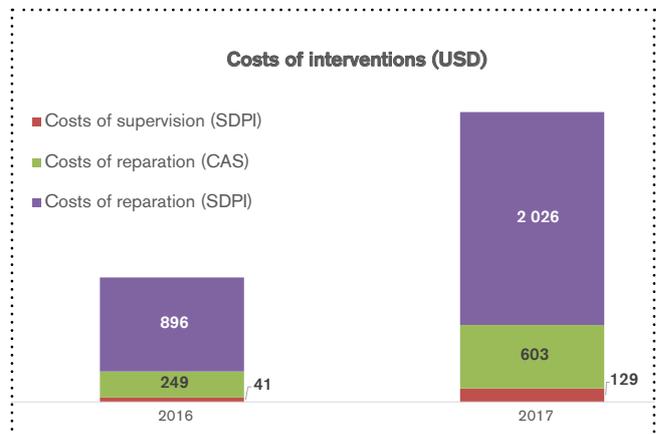


Figure 14: Cost of the intervention realized by the artisans in Mecuburi District.

In 2017, the interventions started early in the year, just after the end of the rainy season in May. The artisans managed to supervise 35 water points and CAS and repair 31 hand pumps. The annual cost was USD 2'750 from which less than USD 130 (5%) was for supervision. The average cost and the part covered by SDPI remained the same, respectively USD 85 and 77%. During the second year, PROGOAS did not continue its financial support and the local government assumed all the costs.

Due to the financial crisis of the central government, it was not possible for the SDPI to pay all the bills to the artisans which made it difficult for them to rebuy the spare parts they used. Despite this critical situation, the artisans kept their trust and contracts have been signed in 2018.

Based on the positive results observed in Mecuburi, HELVETAS managed to convince two other districts to start the same approach in 2018.

A documentary film has been produced about this approach.¹⁹ The video has been used to promote the approach in several meetings at the provincial and national levels. It has been also shared within HELVETAS to stimulate the introduction of such partnerships.



“Nowadays, the population is aware of the need to financially contribute to the operation and maintenance of the hand-pumps. The district also makes efforts to ensure the artisans are paid for the supervision and the cost of reparation when the CAS does not have enough money for the spare parts. This initiative already demonstrated its functionality and pertinency and we will then continue to implement this in the coming years. We are also convinced that other districts will replicate it”.

Lourenço Xavier,
Director of SDPI, Mecuburi

Figure 15: Lourenço Xavier, director of SDPI Mecuburi

CONCLUSIONS AND LESSONS LEARNT

Functionality of water points depends on the involvement of several actors

To ensure the supervision and the functioning of the water infrastructure, a systematic process needs to be introduced. Low costs, availability and the complementarity of local actors are key factors for a sustainable water supply service for rural communities. As the district infrastructure service does not have sufficient resources to cover the whole territory, engaging with the local private sector and establishing results-based contracts is a win-win situation to guarantee the supervision and maintenance of water points.

LESSON LEARNT

G.1 To guarantee the supervision of water points, the local actors have to be engaged. In this case the project proved that the local government is willing to establish service provision contracts with the artisans to ensure the maintenance of water points and the supervision of CAS.

Community management of water points has to be questioned but not totally excluded

The high rate of broken handpumps in Mozambique and in other African countries raises questions on the effectiveness of community management. Private management is proposed as a solution to the problem. The reduced and seasonal financial capacities of the rural communities and the widely spread distribution of the handpumps can be challenging for the fully private business model. An appropriate mix of private (for major repairs and supervision) and community (for community funds mobilization, operation and small repairs) management could be a more sustainable solution.

LESSON LEARNT

G.2 To guarantee the technical and financial sustainability of the water service in remote rural villages, an adequate balance of community, public and private management is needed. The responsibilities and the costs can be distributed within the local actors.

¹⁹ <https://www.helvetas.org/en/mozambique>

RECOMMENDATIONS

To establish a mechanism for long term operation and maintenance of water points, it is important to tackle the three main factors: technical skills, financial capacities and legitimacy.

In remote rural areas, it is usually hard to find trained people close to the infrastructure, therefore a collaborative solution may be the better option. The technical skills cannot be only created at community level (CAS). The involvement of higher skilled people (artisans) is needed.

Farmers typically have irregular and insecure incomes. It is important to take this specificity into account when setting up a financial mechanism. Users have to contribute to the service which they benefit from, but as a basic service, water supply costs cannot be 100% supported by them. The government, through its local representation can be a viable solution to fill the funding gap.

The responsibility for infrastructure maintenance can be defined in the law and regulations but nothing is more powerful than a formal transfer from local authorities to the community (see Chapter C). As an external actor, a project should avoid, as far as possible, to be viewed as the owner of the infrastructure it finances. Reinforcing the legitimacy of the local actors is crucial to establish a framework for the sustainable use of the infrastructure, especially for a water supply system.

The choice of a technical option influences not only investment costs but principally long-term operation and maintenance costs. The dilemma is often between a robust expensive solution and a more affordable but also more fragile one. The criteria to choose between the two could be the availability of spare parts and the complexity of technical maintenance linked to the available human resources.

H. A FLAG FOR SUSTAINABLE SANITATION: IMPROVING CLTS WITH POST-ODF INTERVENTION

INTRODUCTION

The coverage of basic sanitation infrastructure in rural parts of Northern Mozambique is far lower than the water supply and consequently most families practise open defecation in the surrounding areas of the village. This situation creates several sanitary and social difficulties. The prevalence of some waterborne diseases is directly linked to the presence of faeces near to the households. Women and girls are especially affected by this as it gives them little privacy, thus obliging them to wait until night time, which comes with added safety issues.

PROGOAS promoted the construction of latrines in the communities following the national guidelines by implementing CLTS (Community-Led Total Sanitation).²⁰ Implemented first in Bangladesh, this approach has spread throughout the world. The CLTS method is based on the principle that change of behaviour cannot be forced by external intervention and must be self-motivated. To foster the members of the community to build their own latrines without any subsidy, the facilitator must trigger the need for improved sanitation by using several techniques such as the 'walk of shame' in the defecation area of the community, or the visual demonstration of a fly switching from faeces to a food plate.

When all the households have built their latrines, the community is declared Open Defecation Free (ODF). Almost one hundred communities have been declared ODF during the nine years of PROGOAS. The major challenge of using this method is achieving sustainable results. Built with local material and using local techniques, most of the latrines are partially or totally destroyed during the rainy season. Only a few families made the efforts to rebuild them.

THE PROBLEM

From the second phase of PROGOAS, the implementing partners managed to dominate the implementation of the CLTS approach, increasing the percentage of communities declared ODF. Another issue gradually appeared: when monitoring the ODF communities several months after the intervention, no more than 30% of the families

still had a latrine in a good, working condition meaning a lot of families returned to open defecation practices.

While analysing the situation, several factors have been identified: the latrines were built with local material making them vulnerable to the heavy rains occurring during the rainy season and not all the family members were using the latrines.

OUR APPROACH

At the end of the second phase, Helvetas decided to test an innovative method to analyse the factors that influence the behaviour of using and maintaining a latrine: the **RANAS methodology**.

RANAS is an approach aiming to identify the factors which influence a specific target behaviour. A behaviour is a product of psychological processes; therefore, the analysis focusses on 5 major psychological factors which can influence the behavioural change. The analysis is done on the (1) perception the families have on the **risks**, what (2) **attitude** is dominant, which (3) social and family **norms** exist, if they have the (4) **ability** to perform the new behaviour and if they have the capacity to (5) self-regulate their behaviour.²¹ The analysis of the results is done comparing those who practice the desired behaviour and those who do not. This division is made based on the results of a combination of questions and observations.

In 2015, PROGOAS made a RANAS study in the four districts of the third phase, interviewing more than 500 families from 33 communities. Some interesting results came out of this study. There was no difference between those who practice the desired behaviour and those who do not in terms of the perception of risk. This means that the risk factor (for example, explaining the cause of contamination) does not seem to produce positive results to ensure that people change their habits. The two factors which were found to have a greater influence were the norms and the self-regulation. Normative factors comprise the descriptive norms (perceptions of those behaviour that are typically performed by others) and the injunctive norms (perceptions of those behaviour that are typically approved or disapproved by important others). Self-regulation factors refer to aspects of putting a behaviour into practice and maintaining it. Also, to consistently practice a behaviour, the person has to be reminded at critical moments.

20 Known as Santolic in Mozambique, for more information please visit: <http://www.communityledtotalsanitation.org/page/clts-approach>

21 www.eawag.ch/fileadmin/Domain1/Abteilungen/ess/schwerpunkte/ehtpsy/RANAS_Methodological_Fact_Sheets.pdf

The results of this study have been presented to all PROGOAS partners, especially to our implementing partners who showed a great interest to improve the way they promote behavioural change. A decision was taken to design a **post-ODF approach**. The idea was to focus on group level interventions using the power of peer-control (social norms) with an aim to strengthen self-regulation in terms of using and maintaining the latrines. The interventions had to be based on a better quality of the infrastructure and encouragement of practitioners. To do so, a recognition-system was introduced. Those who practiced the desired behaviour received a yellow flag which could be fixed on top of the latrine (it has been observed that all the families did it the same day they received the flag) while the other families did not receive one. The visual identification should lead to peer-pressure to improve the use and maintenance of the latrines by those neighbouring families who also want to be part of the “happy few” with a yellow flag.

The post-ODF procedure is based on two steps:

1. Making a commitment

During the ODF evaluation of the community, the inhabitants are called to a meeting where the evaluation team (district services of health, education and infrastructures, eventually a facilitation partner) emphasizes the benefits of having and using a latrine in the household. The families get asked to make a commitment to use and maintain the latrines (infrastructure) for a long period of time (at least 6 months).

This commitment is formalized through a signature on a list with a copy remaining in the community and the other one with the evaluation team.

2. Evaluation of the post-ODF: Recognition of practitioners with a flag

As the evaluation of ODF takes place before the rainy season, the post-ODF is done afterwards (between 4 and 6 months after the ODF declaration). The same evaluation team returns to the community to identify the families that use and maintain their latrine. To receive recognition (a flag) the latrine has to fulfil basic standards: being used and clean, having a lid, ensuring privacy and a washing system (tippy-tap or other) and soap or ash. All the households must be visited.

The distribution of flags is done during a plenary. This event can also be used by the health and education representatives to bring sensitization messages and by the local artisan to promote his business of concrete slabs.



Figure 16: Evaluators visiting a latrine in Nacaôa District

A group of persons from the community is given responsibility to pursue the control and evaluation of the latrines. They receive a stock of flags for the families who will rebuild and maintain their latrine afterwards and also have the responsibility to take off a flag in cases where a family stops maintaining or using its latrine. The choice of these persons is crucial to maintain the behavioural value of the flags. More important than their position within the society, the person must be chosen based on their behaviour in relation to sanitation and hygiene and the quality of their latrines.

THE RESULTS

A first analysis carried out in Autumn 2017²² showed that the approach adopted by HELVETAS increased the number of families still having and using properly their latrine one year after the ODF declaration compared to communities where this approach had not been implemented. If only slightly more than a quarter of the families still have a latrine in good condition after one year in those communities, this percentage rises to almost 50% in the communities where the post-ODF intervention was applied.

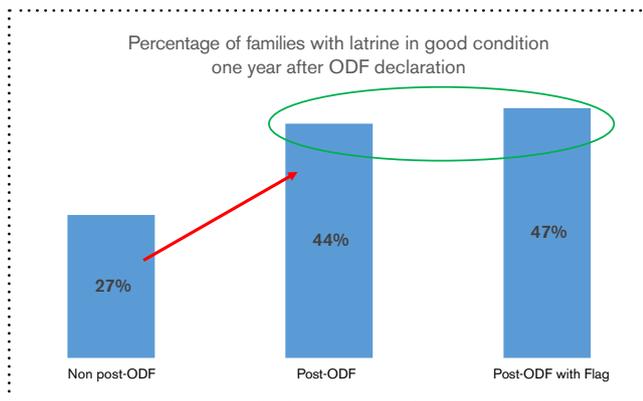


Figure 17: Influence of post-ODF intervention on latrine maintenance.

²² Based on a brief analysis made in Autumn 2017 of the state and use of the latrines in 12 ODF and 18 post-ODF communities, where 3137 households were visited. 1220 of them had a flag.

Another interesting point is the fact that there is no significant difference between the families with flags and the overall families in the communities, showing that the flag works as an incentive not only for the families who receive it but also for all the families of the community.

It is important to say that a main change of this post-ODF approach is that the shifting dynamic in the ODF community is inverted i.e. the number of families with latrines in good condition is now increasing with time.

A documentary film²³ has been produced about this approach. The video has been used to promote the approach in several meetings at provincial and national level. It has been possible to advocate for the integration in the new national sanitation strategy (2018–2023) of the necessity of a post-ODF intervention in all sanitation programmes.

²³ <https://www.helvetas.org/en/mozambique>

When the rains fall, the families in communities declared Open Defecation Free (ODF) are challenged as their latrines are damaged. Some people come back to build their latrines, while others simply drop out, especially when they are women and single women. Rosa João is a different woman. She rebuilt the latrine after it was destroyed. "I do everything alone, dig the hole and get sticks and grass. Building my own latrine alone motivated other families to have latrines in their homes, even my sons follow my example of building latrines in their homes," she says and adds that she also built a toilet for her mother. Therefore, Rosa notes that she will continue to rebuild her toilet in case of collapse because, on the one hand, it is safe and hygienic, on the other, offers greater privacy.



Figure 18: Rosa João standing in front of her latrine she built on her own.

Strength	Weaknesses
<p>The approach is easy to implement by the local actors as a complement of the CLTS approach.</p> <p>The costs are limited: cheap flags and little assistance is needed.</p> <p>The approach can also have an impact in neighbouring communities where no CLTS has been implemented.</p>	<p>The long-term control of families with a flag and the possibility to lose the flag is not guaranteed (this must be monitored in the long run).</p> <p>The further recognition of the families which demonstrate the behavioural change must also be confirmed in the long run.</p> <p>Climbing the sanitation ladder is still the main challenge in remote villages where the cost of a concrete slab is prohibitive.</p>

CONCLUSIONS AND LESSONS LEARNT

Clear communication with the community to avoid misperception

During the first introductory phase of the post-ODF intervention, the families who received a flag also received a voucher to get a promotional price for a concrete slab. The voucher led to a misperception because the families awaited to receive the slab from the project for free and did not understand the meaning of a promotional price.

LESSON LEARNT

H.1 Complex award systems should not be introduced. The difficulty to communicate properly increases the complexity of the issue. To have the same perception, the message has to be simple. Therefore, it is better to avoid vouchers and awards completely as it also avoids creating expectations and that can obfuscate the initial objective of the flag: recognition.

Distribution of Water Containers for Tippy-Tap does not provide a Sustainable Handwashing System

As part of the CLTS process, water containers are distributed to help families build their own improved handwashing system (tippy-tap). The containers are often used for other purposes e.g. for watering plants in the field. Almost none of them were being used during the post-ODF evaluation, with the families preferring to use other ways to wash their hands.



Figure 19: User washing hands with a Tippy-tap

LESSON LEARNT

H.3 Using a handwashing system based on a plastic container proved to be unsustainable. Either the ODF status is granted without a handwashing system or an alternative handwashing system has to be introduced which is based on local material e.g. dried pericarp.

Remaining Challenges to Climb the Sanitation Ladder: Focussing on the relevant factors to influence behavioural change

Using RANAS enabled finding the relevant behavioural factors which needed to be influenced. Post-ODF intervention showed that norms and self-regulation can be influenced effectively by using peer-pressure through a reward system. Nevertheless, climbing the sanitation ladder faces various challenges. In Northern Mozambique, the added value is questioned as concrete slabs are expensive in comparison to local income. Even when the population receive slabs for free they are often misused due to the limited understanding on how to use them. The approach of working together with artisans has revealed initial signs of success and should be continued.

LESSON LEARNT

H.4 To promote slabs it is important to start by promoting the understanding of their benefits and the way they must be used. Efforts must be done for marketing and communication. Cheaper options should be developed to find innovative solutions which are affordable for the rural families.

Overcoming resistant families

Reaching ODF in a community is not a smooth process. Sometimes leaders do not support the construction of latrines in their communities and encourage families in the village not to build them. Common practice in the project was to leave resistant communities and invest the resources in another community. The ODF status is given when 100% of the families in the community build a latrine. This means that the resistant families need to be convinced or forced to do so. The implementing partner often engages with the local chief to ensure that the resistant families build their latrines. Deals are made e.g. payment with produce so that other community members build the latrine for them instead.

LESSON LEARNT

H.4 It is better to avoid engaging with resistant communities, especially when local leaders are reluctant to support the process, and rather invest the limited resources in a community which is more open to change. Even in motivated communities, a lot of effort is required to convince resistant families. In that sense, involving the local leaders showed to have success when entering in a dialogue with the resistant family.

RECOMMENDATIONS

RANAS is an important tool to evaluate behavioural factors and should be used to design any behavioural change strategy, whether it is linked or not to CLTS.

When giving rewards, it is important to have simple and clear messages to avoid misconceptions. Giving vouchers should be avoided as they are too complex to explain in a simple message.

If the strategy is based on recognition, it is better to avoid any valuable price to not create expectation and reduce the value of the recognition symbol.

To ensure the continuation of peer pressure in the long run, a local system needs to be introduced which ensures continuing supervision of the families and thus maintaining the value of the recognition symbol (e.g. the flag).

It is important to advocate for post-ODF intervention and to work together with the local government to take new measures to ensure sustainable sanitation. Therefore, the ODF status within the CLTS strategy cannot be an ending point for sanitation but rather a starting point towards better and more sustainable sanitation.

III. PROJECT IMPLEMENTATION:

PARTNERING AND SYSTEMIC APPROACH

PROGOAS I and PROGOAS II operated in eight districts (Cabo Delgado Province: Mecufi, Ancuabe, Macomia and Chiúre; Nampula Province: Erati, Mecuburi, Muecate and Nacarôa). PROGOAS III operated in four districts (Cabo Delgado Province: Mecufi and Chiúre; Nampula Province: Mecuburi and Nacarôa). A shift occurred during the three project phases, from direct implementation to implementation through local partners and adopting a systemic approach.

In PROGOAS I, HELVETAS directly implemented in Macomia, Mecufi, Muecate and Nacarôa and with local NGOs implementing in the other districts. By the time PROGOAS II started, HELVETAS shifted fully to an indirect implementation approach by focusing on improving the capacities of local NGOs to ensure the long-term sustainability of the project. This strategy improved not only the know-how of the local NGO (e.g. such as introducing the post-ODF approach, see Chapter H) but also provides an opportunity for HELVETAS to gain knowledge about instruments and tools used by the local actors. The Planning Fair, for example, was an instrument which the local partner ama had already used previously and which was adapted to serve the requirements of PROGOAS.

HELVETAS applies a systemic approach based on the Making Markets Work for Poor (M4P) principles. The whole system has to be analysed (in our case the system is the district) to identify all actors involved in the mechanisms (planning process or water and sanitation services) divided into demand and supply side. Strengths and weaknesses of these stakeholders and bottlenecks in their interactions are used to design the external support with a vision of strengthening the system and avoiding direct intervention of the project. The project also tries to influence the enabling environment through lobby and advocacy.

PROGOAS III operated with a clearer systemic approach. In doing so, the project reduced the number of districts where the activities were implemented from eight to four. This allowed for the development of closer relationships between the district government and widened the coverage of intervention to the whole territory of each district. The collaborating districts were chosen following an evaluation of the potential to develop a closer and constructive relationship with the district government.

PROGOAS III strengthened the actors within the district system by improving their capacities and the interlinkages through better institutional processes. The knowledge formerly in the hands of the implementing partners was gradually transferred to the public services (CTD and SDPI). They received coaching and institutional support e.g. motorbikes, computers, etc. Moreover, the District Planning and Infrastructure Service (SDPI) received capacity buildings for their work in the water and sanitation area and supervision of constructing water infrastructure. The District Technical Council (CTD) have been trained to do participatory planning by using the Planning Fair tool and for this, have been trained in event facilitation and gender issues.

The relationship between the project implementation unit (HELVETAS and its partners) and the district government improved during the third phase for a variety of reasons: the districts accepted the importance of the governance component of the project; regular meetings were introduced between implementation partners and district technical services, with or without HELVETAS; a memorandum of understanding establishing the partnership principles has been signed between HELVETAS and the districts promoting transparency and collaboration; strategic partnerships were developed with certain organizations (e.g. the government training centre, the CEGOV) and political institutions of the province (see Chapter E).

The financial mechanisms also changed with the start of the last phase. A co-financing principle was introduced and integrated in the MoU and the management of the investment funds by the district was confirmed with a stronger follow up of the accountability. The districts gradually financed their counterpart (see Chapter E) and improved their accountability compared to the second phase where the deadlines were not respected.

Closer collaboration with the local actors has enabled the project to continue beyond the donor funding as key instruments and practices have been sustained including the Planning Fairs (Chapter B) and Public Hearings (Chapter C), supervision and maintenance of water points (Chapters C, F and G), ear-marking funds for the WASH sector (Chapter E) and a post-ODF strategy (Chapter H). Transferring these instruments and practices was only possible by changing to a systemic approach which introduced hands-on solutions to the local actors to be implemented in a long-term perspective by themselves.

The strategy to focus on system actors and local NGOs brings not only valuable synergies but also many challenges: corruption, poor implementation quality as well as false perception of the instrument and delays. This can only be tackled with close guidance, various capacity building methods and regular supervision.

During PROGOAS II, HELVETAS tried to improve the performance of the implementation partners through competitions. This was counterproductive as the NGOs saw each other as competitors and neither wished to collaborate with each other nor share information, thus negatively affecting project synergies and results.

During PROGOAS III, not only were the districts reduced (see introduction and Chapter B), but also the number of implementing partners were reduced to two. These two implementation partners took on a facilitatory role in close collaboration with the district government. Until phase three, local NGOs were organized based on their knowledge area, resulting in two NGOs per district, one for WASH and another for governance. In the last phase, the two local NGOs were split between the two provinces and trained in the other area of knowledge (AMASI for governance, ama for WASH). This mode of operation was more resource efficient as it required direct communication with only two partners and was more comprehensive for the local government. On the other hand, the learning of the new topic was not as easy as expected. Despite specific training, regular joint workshops to share experiences and methodologies, and exchange visits, some difficulties in implementing specific approaches appeared. The use of the CLTS was not so easy for the technician of ama to understand, and the learning by doing strategy revealed its limits.

The transition from implementation to facilitation partner was difficult for the local NGOs. It was hard to accept at first because the implementation by the government technician brought some loss of quality and delays due to limited skilled people available and heavy administrative procedures within the district government. The financial crisis in 2016 worsened the situation although the collaboration improved with a common goal and project spirit with shared values. The implementing NGOs were seen as a partner by the government in the third phase due to the efforts made to transfer the knowledge following the time frame of the district and not the one of the project. In the former phases, the activities of the implementation partners were questioned rather than supported by the district authorities.

CONCLUSIONS AND LESSONS LEARNT

Avoiding competition between partners, promote knowledge exchange and use of synergies

During PROGOAS II the implementation partners were in competition with each other as HELVETAS offered prizes for the best semester report, annual report, best success story and project implementation practices. Therefore, the partners did not share the information nor collaborate with each other.

LESSON LEARNT

1 To benefit from synergies and better quality of implementation, competition between partners are counterproductive. Therefore, it is better to promote knowledge sharing and to combine achievements as one success.

Implementations partners are more effective when split into geographical areas and not knowledge areas. In PROGOAS II the implementation partners were split into knowledge areas – governance and WASH – resulting in two actors per district. This led to duplications and the requirement to travel long distances for both organizations. Therefore, in PROGOAS III, two implementation partners were chosen, one per province. The local NGOs were trained in the unknown thematic area and experience exchanges were organized between the NGOs.

LESSON LEARNT

2 It is better to focus on a limited number of partners and to separate the activities geographically rather than on their thematic know-how. Therefore, it is important to foresee some time to train and adapt as well as provide space to share experiences.

Systemic approach project logic for a sustainable change

A main achievement of the project was to shift from a project to a systemic approach. This is especially important for the governance areas as the tools developed should comply with the local cultural as well as political and financial conditions. The CDC were not adaptable for the local government as a body. With the shift to the Planning Fair (see Chapter B), Public Hearing (see Chapter C) as well as post-ODF (see Chapter H), it was possible to transfer to the instruments to the local government.

LESSON LEARNT

3 To strengthen local actors and improve the living conditions of the disadvantaged citizens in a long-term perspective an implementation through a system approach is the best way to guarantee sustainability.

Focussing on good relations and clear communication with local government

While working with local governments during PRO-GOAS some key factors for a good collaboration with the government were detected through trial and error.

LESSON LEARNT

4 It is important to communicate clear and in an understandable manner the goals of the project. The governance part in particular needs to be clearly presented to avoid misconception by the local government. The actors need to be informed about the activities. Regular courtesy visits are important to formalize the relationship with the district governments. The implementing partners have to be presented at the early beginning to ensure a good working relationship with the local government.

RECOMMENDATIONS

While working with local partners it is important that the implementing/facilitating NGO has a clear communication strategy and outlined terms of collaboration with the local government. Therefore, the cooperation has to ensure a good collaboration between local NGOs and the local government.

It is important to avoid competitions between implementation partners and rather use co-training as well as experience sharing to harmonize the implementation and to build synergies. The results achieved are much better and allows learning from local NGO experiences in others project.

It is important to design a project approach in a systemic way. It is then easier to ask the local actors (local government, private sector and civil society) to assume their responsibilities and ensures that implementing the exit strategy is straightforward.

In a systemic approach, the time factor is crucial. Project intervention must be planned in accordance with the local actors' agendas. Some loss of time at the beginning can ultimately become a huge gain in terms of acceptance, ownership and sustainability of the project inputs.



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