



## LESSONS LEARNT FROM 9 YEARS' SUPPORTING GOOD GOVERNANCE PRACTICES AND PROMOTING SUSTAINABILITY OF WATER AND SANITATION SERVICES

### INTRODUCTION

This document presents the main results and lessons learnt of the [Governance, Water and Sanitation Programme \(PROGOAS\)](#). The programme has helped improve the living conditions and health of rural populations in the northern provinces of [Cabo Delgado](#) and [Nampula](#). The programme has promoted the participation of men and women in the local governance system and improved the delivery of responsive and sustainable water and sanitation services .

The three-phase programme was funded by the [Swiss Agency for Development and Cooperation](#) and [HELVETAS Swiss Intercooperation \(HELVETAS\)](#). [HELVETAS](#) implemented the project in eight districts between March 2009 and June 2018. The implementation evolved from direct to indirect implementation by engaging the local government and non-governmental organisations (NGOs). This shift permitted the piloting of innovative approaches before being taken up and perpetuated by local actors.

PROGOAS has created **access to potable water** for more than 200,000 people by building and rehabilitation of 465 boreholes and 2 small piped systems (*see Table 1*). The programme's capacity building activities on managing and repairing water points have reached 140 artisans and 11,000 water and sanitation committee members (47% of whom were women).

Around 460,000 people gained **access to improved sanitation** via individual and institutional latrines.

The programme supported 316 community development councils and 121 consultative councils with regard to, for example, participatory planning skills and community representation (*see Table 2*) and organised training for more than 10,000 socially engaged citizens, of which 39% were women, on **participation in planning and accountability processes**, both introduced by PROGOAS.

	Phase I 2009-2011	Phase II 2012-2015	Phase III 2015-2018	Total 2009-2018
<b>Water supply (infrastructure)</b>				
Boreholes built	23	75	62	160
Boreholes rehabilitated	141	59	105	305
<b>Total boreholes</b>	<b>164</b>	<b>134</b>	<b>167</b>	<b>465</b>
<b>Target boreholes</b>	<b>200</b>	<b>60</b>	<b>205</b>	<b>465</b>
<b>Small piped systems</b>	-	-	2	2
<i>People gained access to water (boreholes)<sup>1</sup></i>	82,000	67,000	50,100	199,100
<i>People gained access to water (small systems)<sup>2</sup></i>	-	-	4,800	4,800
<b>Total number of people who gained access to water</b>	<b>82,000</b>	<b>67,000</b>	<b>54,900</b>	<b>203,900</b>
<b>Target number of people who gained access to water</b>	<b>100,000</b>	<b>30,000</b>	<b>61,500</b>	<b>191,500</b>
<b>Water supply (management)</b>				
Artisans trained	60	29	50	139
Water and sanitation committees trained	154	191	597	942
<i>Committees members trained :</i>				
<i>Women</i>	882	1,161	3,122	5,165
<i>Men</i>	956	1,208	3,601	5,765
<b>Number of water committees members trained</b>	<b>1,838</b>	<b>2,369</b>	<b>6,723</b>	<b>10,930</b>
<b>Sanitation</b>				
Total communities declared open defecation free	-	41	58	99
Target open defecation free communities	-	-	60	60
Total individual latrines built	57,027	28,481	5,418	90,926
Target individual latrines built	-	2,000	5,000	7,000
Total institutional latrines built	9	-	44	53
Target institutional latrines built	225	-	66	291
<b>Total number of people who gained access to sanitation</b>	<b>286,035</b>	<b>142,405</b>	<b>31,490</b>	<b>459,930</b>
Target number of people who gained access to sanitation	22,500	10,000	31,600	64,100

**Table 1.** Direct beneficiaries of PROGOAS' interventions in water and sanitation

<sup>1</sup> In 2015 the national planning standard of 500 persons per borehole was reduced to 300.

<sup>2</sup> Each small piped system is composed of 4 public tap stands, each one with 2 taps (counting 300 persons/tap).

	Phase I 2009-2011	Phase II 2012-2015	Phase III 2015-2018	Total 2009-2018
<b>Governance</b>				
<b>Total community development councils established and functional</b>	<b>204</b>	<b>112</b>	<b>-</b>	<b>316</b>
Target community development councils established and functional	200	180	-	380
<b>Total consultative councils trained</b>	<b>19</b>	<b>56</b>	<b>46</b>	<b>121</b>
Target consultative councils trained	60	50	46	156
<i>Council members trained :</i>				
<i>Women</i>	<i>2,086</i>	<i>1,686</i>	<i>439</i>	<i>4,211</i>
<i>Men</i>	<i>3,434</i>	<i>2,427</i>	<i>1,192</i>	<i>7,053</i>
<b>Total number of council members trained</b>	<b>5,520</b>	<b>4,113</b>	<b>1,631</b>	<b>11,264</b>

**Table 2.** Direct beneficiaries of PROGOAS' interventions in governance

## PARTICIPATORY PLANNING PROCESS

During the first two phases PROGOAS developed several tools to improve the governance of community development councils and water and sanitation committees. One such tool, the *Planning Fair*, enabled community members to participate in the yearly planning process. It also enabled community development councils to make action plans. Some of the needs of the community relied, however, on external support to be answered. Unfortunately, the project was unable to find a way to effectively raise these community needs at the district level.

*An effective new mechanism to improve local governance requires a design that matches legal requirements and is adapted to the technical and financial capacities of local actors.*

The mid-term evaluation of the second phase concluded that, to ensure sustainability, the entry point of the governance component of the programme should shift from the community to the Locality. The Locality is the first level of the consultative councils before the Administrative Post and finally the District.

This shift was implemented in the third phase. The tool was adapted for the district technical teams in charge of the annual planning process realised through the consultative councils (*see Figure 1*).

The accountability component of the *Planning Fair* ensures the district government informs the consultative councils about projects executed by the government. All *Planning Fairs* start with a report of the activities of the previous year and a presentation of the planned activities for the current year. This gives community representatives the opportunity to ask questions about specific issues.

The government was quick to realise that *Planning Fairs* could help improve the downstream information flow from district to community level.

They also appreciated the tool's ability to prepare more realistic annual plans. In the third year of implementation, the four districts which used the tool supported most of the costs of the participatory planning process, while the district of Chiúre covered *all* the costs. Meeting these costs was an especially worthwhile achievement in the third year given the significant budget cuts caused by the debt crisis.

The *Planning Fairs* had therefore adapted to the financial capacities of the district while responding to the district's needs of ensuring information is channelled to the communities. The sense of ownership among districts ensures the long-term sustainability of *Planning Fairs*.

In order to expand the application of this tool to other districts and provinces, PROGOAS teamed up with the Centre for Training in Public Administration, Local Governance and Local Authorities (CEGOV) in Nampula Province.

This resulted in a practical guide (<https://www.helvetas.org/Publications-PDFs/Africa/Mozambique/Progoas/Manual Pratico Planificacao Participativa Distrital.pdf>) and educational video (<https://youtu.be/erO2PAnb8MI>) for the training module developed with CEGOV and the University of Lurio.

## REINFORCEMENT OF PUBLIC INVESTMENT IN WATER AND SANITATION

During the first phase of PROGOAS, the investment funds were managed by HELVETAS. The tenders for the water point construction and rehabilitation were organised by the district technical service, but private companies were paid directly by HELVETAS.

This procedure made it difficult for the district technical service to cooperate with the private companies, which saw HELVETAS as the owner of the works.

*Building a long-lasting and trustful relationship with local authorities is required to reinforce their position as owner of water infrastructures and force them to take responsibility and not rely on external support.*

It also created confusion at the local level as communities saw HELVETAS as the owner of the water points instead of the district government. PROGOAS staff were solicited to financially support the maintenance of the handpumps. In many participating districts, the local authorities reduced the part of the annual investment fund they received from the central government for the water and sanitation sector.



Figure 1. Participatory processes at different levels of consultative councils

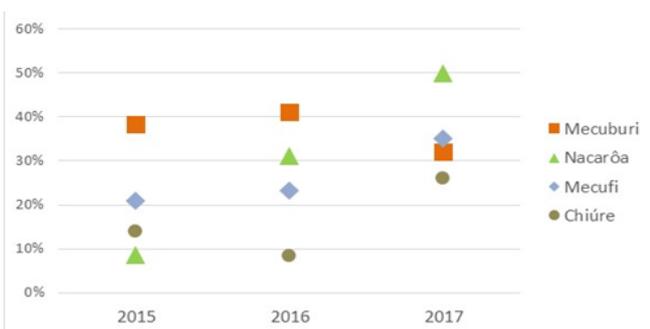


In the second phase funds were directly transferred to the districts. The district government opened a dedicated bank account for the funds. The districts started to organise the tender, sign the contracts and pay the private companies.

## SUSTAINABLE WATER POINT MANAGEMENT

HELVETAS closely monitored the funds which were disbursed in instalments. There was a radical change in the way the private companies communicated with the district authorities. No misuse of funds was noticed during the 5 years of implementation of this approach and the quality of the works remained the same as before.

To reinforce this new sense of ownership of the water point at the community level, the programme introduced **public hearings**. The hearings help increase transparency by informing the community at the start of a project about the duration, costs and private companies involved. At completion, during another public meeting the district technical service reports on the works and asks the community to share their concerns and ask questions. The district representative then officially transfers the responsibility of operation and maintenance to the water and sanitation committee. One year later a final meeting evaluates the service quality using the community score cards method.



**Figure 2.** Evolution of district investment funds for the water and sanitation sector councils

Memorandum of Understanding with the four districts to clearly define the terms of collaboration. A co-investment principle in the water and sanitation sector was also introduced.

The districts were asked to allocate at least 30% of their annual investment fund to water and sanitation. Those who failed to allocate 30% saw their financial support reduced. As shown in **Figure 2**, during the first year only one district allocated more than 30% to water and sanitation. In the third phase, HELVETAS introduced a new collaboration framework based on principles of transparency and accountability. HELVETAS signed a The percentage gradually increased in the districts in the following two years, with three districts allocating more than 30% and one 26%.

The sustainability of the rural water service is directly linked to the capacities of local actors to maintain the hand pumps and make sure they keep working. Based on the guidelines of the National Directorate for Water and Sanitation, rural hand pumps must be managed by the community-based water and sanitation committees. They are responsible for them and can raise money from the community for maintenance and simple repairs. Despite satisfactory results for these two main activities in most of the communities, the committees have limited financial resources and technical skills with negatively impacts the duration of breakdowns.

The local government, who remains the owner of all water infrastructure, is responsible for controlling and guaranteeing the service. Due to limited human and logistic resources, however, they struggle to supervise all the water points in their district<sup>3</sup>.

All districts have skilled artisans working in the private sector. Thanks to the support from several participating NGOs during the last years, these artisans received training on technical competences for all kinds of interventions on hand pumps, from installation to rehabilitation. In some districts they operate as an association, which means they can be contracted by the local government. PROGOAS developed a **Public Private Partnership** approach based on the collaboration of these three local actors. The artisans are contracted by the local government through the district technical service to regularly oversee the water points and to undertake major reparation works. Supervision consists of visiting water points to control the functionality of the hand pump and also the effectiveness of the water and sanitation committee in terms of good governance and small maintenance tasks. Repairs are done following requests submitted by the community or via the technical service.

For each type of intervention, the artisans fill in a specific form that also serves as an invoice. The district government covers all supervision costs, but the community is asked to contribute, where possible, to the repair costs, with the district covering the rest. During the first year of implementation (2016) in the pilot district of Mecuburi, only 6 supervisions and 14 reparations were realised and financed by the programme.

<sup>3</sup> An average district has 300 hand pumps distributed in 4'000 km<sup>2</sup>



During the second year, the district used its own budget for this activity. It conducted 35 supervisions and repaired 31 hand pumps for a total amount of USD 2,700, with the district covering three quarters. During the last year of PROGOAS, this model was replicated in the districts of Nacarôa and Chiúre which also have associations of artisans. Different approaches were considered to find a way to use the forms to update the district water database, but no consistent results were achieved before the closing of the project. Watch a short video (<https://youtu.be/Z0ALzPf1ek0>) explaining the approach.

*Community handpump management has its limits. It requires suitable technical and financial support from the local government and private sector.*

To achieve such a result, PROGOAS had to first strengthen the capacities of all three actors. Through its implementing partners, the water and sanitation committees were trained on fundamental topics such as a general introduction of the national water policy, basic finance management, small repair skills and increased sanitation awareness. After 6 months, the implementing partners organised a follow-up in the form of a facilitated **self-evaluation** of the committee to help its members identify and solve internal governance challenges.

HELVETAS gave the artisans business-oriented support and helped them setting up an association (there was only one association, in the district of Mecuburi). PROGOAS supported the artisans to make business plans, which included water and sanitation activities. During the implementation of their business plans, they received advice and technical support from HELVETAS, but no financial support. They had access to a stock of spare parts provided by the district (but financed by PROGOAS) to help them pre-finance repairs.

The district technical service received support from the beginning of the project. The team benefited from several trainings on various topics (e.g. technical and administrative skills), but also office material (e.g. furniture and computers) and motorbikes.

## SUSTAINABLE BEHAVIOUR CHANGE IN SANITATION

The Mozambican National Sanitation Policy requires the use of Community Lead Total Sanitation (CLTS) for the promotion of sanitation in rural areas. After many years of implementation, the sustainability has been questioned in many countries leading to the conclusion of the need for complementary approaches and **post-ODF intervention**<sup>4</sup>.

HELVETAS used the RANAS model<sup>5</sup> to identify which psycho-sociological factors have an influence on changing sanitation behaviour in northern Mozambique. The conclusion highlighted that *social norms* play an important role as well as the importance of having a latrine in good condition. The perception of *risks* associated with open defecation did not seem to have any influence on the use of a latrine, confirming the limits of approaches focusing on disease transmission.

To address social norms, HELVETAS and its implementing partners developed a post-ODF intervention based on visual recognition in the form of a flag that is put on top of the latrines of families who properly use and maintain them.

The intervention starts during the ODF declaration event, when the evaluation commission asks the community to commit themselves to using and maintaining their latrines. The commission, composed of representatives of district technical services (infrastructures, health and education), returns after 6 to 9 months, usually after the rainy season when most of the latrines are partially or totally degraded. They do a house-to-house survey to identify families with latrines in use which meet the requirements for improved sanitation, such as secured slabs with lids and privacy. They then organise a meeting to award the flags. Some additional flags are left with the local leader in order to give the opportunity to the families who did not pass the inspection to receive a flag

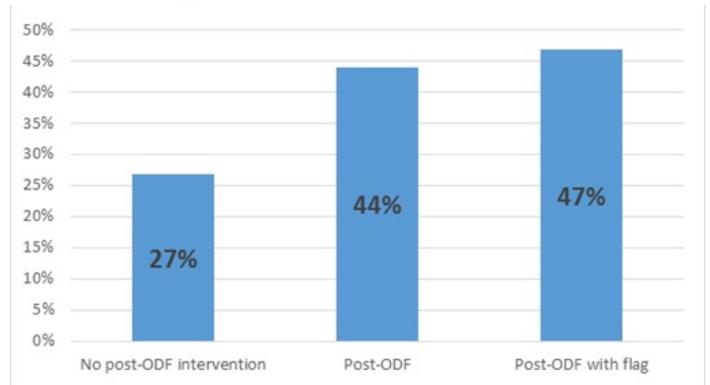
<sup>4</sup>Open Defecation Free

<sup>5</sup><https://www.ranasmosler.com/>

once they have rebuilt their latrine. Influential community members are put in charge of checking the latrines and, if needed, take down a flag if a family no longer uses and maintains their latrine.

The idea behind the approach is to create peer pressure on latrine use and promote the use of latrines within families. The results show that this strategy is effective: most of the families that were not recognised made an effort to rebuild their latrine, receive the flag and avoid “*being disregarded by families with flags*”. **Figure 3** shows the influence of the post-ODF approach in terms of the proper use and maintenance of latrines. Interestingly, the graphic shows that there is almost no difference between the overall percentage of latrine use and the percentage of latrine use within families with flags. This shows that the flags influence *all* members of the community, including families who did not receive one.

*It is important to properly understand the social context of a project before designing a behaviour change strategy.*



**Figure 3.** Families using a latrine in good conditions 2 years after being declared ODF

In order to support the climb of the sanitation ladder, PROGOAS helped the local artisans promote concrete slabs. The artisans already had the required technical skills, so the support focused on social marketing, such as promotional materials, advertising methods and promotional events. The results were not convincing, because it proved impossible to set up a subsidy mechanism with the district authorities. Additionally, rural families did not have the financial resources to buy slabs. Watch a short video (<https://youtu.be/jKNoseyZ9-8>) about this approach.





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