



UNITED NATIONS
CAPITAL DEVELOPMENT
FUND

URT/99/C01: Support to Good
Local Governance

FINAL MID TERM
EVALUATION REPORT

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EXECUTIVE SUMMARY

Background

UNCDF in partnership with UNDP, the Government of Tanzania, and more recently NORAD, has been involved since 1997 in a Support to Decentralisation Programme in Mwanza Region (SDP), which is made up of the Rehabilitation and Maintenance of District and Feeder Roads project (DFR) and the Local Development Fund (LDF). Both projects aim at promoting economic development and alleviating poverty in the six rural districts of the Mwanza region by strengthening the capacities of the local government authorities (LGAs) and empowering the rural communities through development planning.

In 1999, the Support to Good Local Governance Programme (SGLG) was introduced as an umbrella programme with the intent to optimize the operation and outputs of the SDP, to widen its scope to rural access and, in partnership with district councils, to improve accountability and mainstreaming of cross-cutting issues such as gender, poverty reduction and the protection of the environment and to strengthen the linkage between the SDP and national policy processes, namely the Local Government Reform Programme (LGRP).

This Executive Summary presents the key findings and recommendations resulting from the Mid Term Evaluation Report of the Support to Good Local Governance Programme, which includes the terminal evaluation of the DFR and LDF projects.

Key Findings

The performance in the implementation of the SDP has to be assessed in the context of the significant cut back of the UNCDF contribution in 2003, which led to the interruption of a great number of projects and impacted directly on both construction and capacity building work of both projects. New funding sources (from UNDP and NORAD) opened the prospect of re-establishing the momentum previously built up. However, it is too soon to assess whether the Programme will recover and achieve its objectives, though the prospects are good should an effective exit strategy be put in place enabling the work to come to fruition.

An important feature of the implementation arrangements has been the “hands off” approach of the Programme Support Unit (PSU) in relation to the work of the LGAs. The area in which much progress has been made is that of tendering, contract awarding and oversight of construction projects. A further indicator of success is national awareness that innovations have been achieved in outsourcing construction work to the private sector.

The redefinition of roles of the Regional Secretariat and building of staff capacity has not yet materialised, though capacity building for RS counterparts is currently being mounted by the PSU. Therefore, transfer of skills from the PSU to the regional level (in areas like capacity building) is considered as urgent for successful completion of the programme’s work and a smooth exit process.

Difficulties both in the design of appropriate Monitoring and Evaluation (M&E) systems and in the PSU staffing of the M&E post led to this area of implementation falling behind infrastructure delivery and development of management and accountability systems in the other spheres.

Participation structures in the districts and communities have been strengthened through a number of capacity building measures. However, more needs to be done to ensure that women fully participate in development planning and implementation and that gender awareness spreads deeply into other spheres of village life.

The mission found that both DFR and LDF have made substantial progress towards fulfilling the development objectives of economic development and poverty alleviation, although the long term impact would need to be evaluated through proper Impact Assessment Studies.

DFR

Overall, the DFR project has benefited from more positive feedback than the LDF by having established a range of innovative procedures for road maintenance and rehabilitation. These include the successful use of labour intensive methods and local labour, the development in 2002 of road maintenance and management system (DROMAS) and the capacity building of road contractors, private consultants and district councils.

The project encountered difficulties in operationalising important cross cutting issues, especially in regards to gender based participation. It is also not clear that the ward level participatory processes resulted in the most effective choices, as evidenced in the phenomenon of “handing roads” (sections of rehabilitated roads between seriously degraded roads).

The introduction of DROMAS was clearly an appropriate move. On the other hand, this system has yet to be fully tested, understood and implemented at district and regional level. Moreover, the well established documents and procedures of LBT must be integrated in an overall system, which at present appears to “stand alone”.

LDF

Entrenchment of implementation arrangements for the LDF has been deeper in the district than at the ward and village levels. The development of systems and procedures included allocation criteria, set of minimum conditions, indicative planning figure at sub-district level, procedures for contracting out project work to the private sector and for tendering, project management and administration and assessment.

Decision making and management capacities have also been built, as evidenced in the project selection and construction activities in the villages and in the training of the members of the Village Development Committees and Village Project Management Committees.

SGLG

The SGLG has substantially succeeded in consolidating activities within the DFR and LDF, but has not realised its aims of upward linkage to national decentralisation policy. Thus, the work within Mwanza, notably with respect to the LDF, is under-appreciated nationally and its replication potential under-exploited.

Equally, the SDP has does not have a strong line of access into from national policy developments (such as the World Bank Local Government Support Programme), weakening its capacity for early and conscious testing of implementation methodologies that flow from national processes. While participation in the CBF was intended to insure this, it has not in practice led to strong upstream and downstream flows of information between the Mwanza Programme and the national policy decentralisation policy and implementation process.

The potential for replicability of the models developed in Mwanza remains very high. Already, the labour based methods for road rehabilitation used in the region have been adopted by the Department of Works and Road Fund for application elsewhere, as have the systems of private sector sub-contracting devised by the SDP. The planning and financing systems (in particular the allocations based on the IPF) within the LDF are also potentially replicable, as are the participatory planning methodologies developed at village level, though this will require persuading national government to take a more open and flexible approach to the application of the O&OD.

The formation of partnerships with NGOs and CBOs has not materialised to the degree hoped for. In addition, opportunities have been fully exploited to promote synergy between the various area based initiatives (such as the Dutch District Development Project), both in their implementation and in the sharing of experiences.

Recommendations

The mission provides detailed recommendations for the remainder of the programme, to December 2004, for the DFR, LDF and SGLG (upstream activities), and exit strategy and the case for a reformulated SDP.

With regard to the remainder of the Programme, it recommends a refocus of the 2004 workplan to prioritise:

- the need to complete remaining commitments for physical and institutional development to consolidate the SDP;
- to focus capacity building for the DMTs and RS to ensure orderly and effective hand over of activities; and
- to extract, document, publish and effectively disseminate lessons learned.

For purposes of completion of the work of the Programme and orderly and effective hand over of programme activities to the RS and districts DMTs, the mission recommends the following:

- Extend Programme Manager/Advisor's contract be extended to the 30th September, renewable to the 31st December;
- Formalise counterpart posts in the RS and nominate incumbents to work closely with the PSU;
- Where necessary, modified terms of reference should be prepared for other technical staff in PSU, linked to a revised workplan for the PSU; and
- The hand over to the RS should occur no later than the 30th of September, with a final report and statement of account to be presented in January 2003.

The mission believes there is a strong case for a reformulated programme focussed on the districts in the Mwanza region. The aims of the programme would be to consolidate its work in testing decentralised governance implementation modalities and take on a focus on local economic development.

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LIST OF ACRONYMS

ALAT	Association of Local Authorities of Tanzania
AMREF	African Medical Research Foundation
APB	Action Plan and Budget (LGRP)
BOQ	Bill of Quantities
CBF	Common Basket Fund
CBO	Community-based Organisation
Danida	Danish International Development Agency
DFR	District and Feeder Roads Project
DE	District Engineer
DED	District Executive Director
DMT	District Management Team
DROMAS	District Road Maintenance and Management System
EU	European Union
FINNIDA	Finnish International Development Agency
GFP	Gender Focal Point
GOT	Government of Tanzania
HESAWA	Health through Sanitation and Water
ILO	International Labour Organization
ILO/ASIST	ILO/Advisory Support, Information Services and Training
IPF	Indicative Planning Figure
IT	Information Technology
L/B	Labour based
LBT	Labour Based Technology
LDF	Local Development Fund
LGAs	Local Government Authorities
LGRP	Local Government Reform Programme
LGSP	Local Government Support Programme (World Bank)
PD	Project Document
MIS	Management Information System
MOW	Ministry of Works
MWADA	Mwanza Development Association
NALERP	National Agriculture and Livestock Extension and Research Programme
NCC	National Construction Council
NGO	Non Government Organisation
NIGP	National Income Generation Programme
NORAD	Norwegian Agency for Development
NPES	National Poverty Eradication Strategy
NRE	National Roads Engineer
O&M	Operations and Maintenance
O&OD	Obstacles and Opportunities to Development
M&E	Monitoring and Evaluation

PAID	Poverty alleviation Development Initiative
PD	Project Document
PMA	Programme Management Adviser
PORALG	President's Office, Regional Administration and Local Government
PRA	Participatory Rural Appraisal
PSU	Programme Support Unit
RAS	Regional Administrative Secretary
RS	Regional Secretariat
SDP	Support to Decentralisation Programme
TA	Technical Assistance
TANROADS	Tanzania National Roads Agency
TASAF	Tanzania Social Action Fund
TOR	Terms of Reference
TSh	Tanzanian Shillings
UNCDF	United Nations Capital Development Fund
UNDP	United Nations Development Programme
UNOPS	United Nations Office of Project Services
UNV	United Nations Volunteer
URT	United Republic of Tanzania
VDE	Village Development Committee
VPE	Village Planning Exercise
VPMC	Village Planning and Management Committee

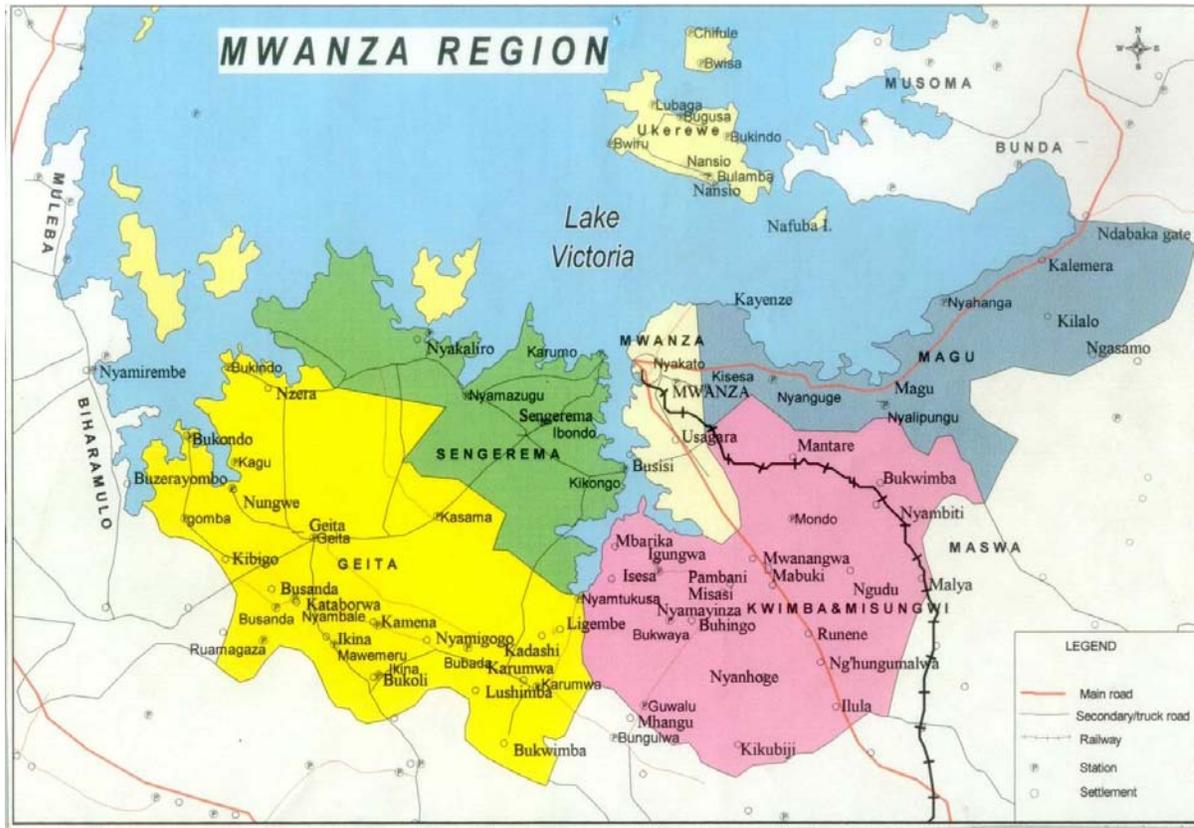
PROJECT DATA SHEET

SUPPORT TO GOOD LOCAL GOVERNANCE																										
<i>Country</i> <i>Tanzania</i>	<i>Project Cost and Financing</i>																									
<i>Duration</i> Five years	<table border="0"> <tr> <td><i>Government of Tanzania:</i></td> <td>of</td> <td>US\$:</td> <td>In kind</td> </tr> <tr> <td>UNCDF:</td> <td>US\$:</td> <td>5,770,002</td> <td></td> </tr> <tr> <td>NORAD:</td> <td>US\$:</td> <td>795,000</td> <td></td> </tr> <tr> <td>UNDP:</td> <td>US\$:</td> <td>1,192,000</td> <td></td> </tr> <tr> <td>NORAD:</td> <td>US\$</td> <td>337,000</td> <td></td> </tr> <tr> <td>Total:</td> <td>US\$</td> <td>8,094,002</td> <td></td> </tr> </table>	<i>Government of Tanzania:</i>	of	US\$:	In kind	UNCDF:	US\$:	5,770,002		NORAD:	US\$:	795,000		UNDP:	US\$:	1,192,000		NORAD:	US\$	337,000		Total:	US\$	8,094,002		B/Revision "J " \$4,161,689 B/Revision "E" \$2,098,483*
<i>Government of Tanzania:</i>	of	US\$:	In kind																							
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NORAD:	US\$	337,000																								
Total:	US\$	8,094,002																								
<i>Project Number</i> UNDP: URT/99/005 UNCDF: URT/99/C01	<i>Project Title</i> Support to Good Local Governance Support to Good Local Governance																									
<i>Sectors</i> Development Strategies, Policies and Planning (0210)	<i>Sub-Sector</i> Local Governance																									
<i>Government Executing Agency</i> President's Office, Regional Administration & Local Government	<i>Government Implementing Agency</i> District Councils of Mwanza Region, Regional Administration, Mwanza PORALG (LGRP).																									
<i>UN Cooperating Agency</i> United Nations Office for Project Services (UNOPS)																										
<i>Project approval date:</i> July 2000 <i>Project starting date:</i> Original: January 2000 <i>Project completion date:</i> Original: December 2003	Actual: July 2000 Actual: December 2004																									
<i>Evaluation Date: March 2004</i>																										

Note:* This amount excludes the \$337,000 provided by NORAD.

1 \$US = TSh1120 (March 2004)

MAP OF MWANZA



1. INTRODUCTION TO THE EVALUATION

1.1. PURPOSE OF MISSION

The mission's understanding of this evaluation is that the UNCDF seeks a strategic review of the SGLG Programme in Mwanza that will not only guide and re-orient the remaining activities of the programme in the region, but also inform national decentralisation policies and feed into the UNCDF's reflection on its comparative advantages in donor support.

Since the SGLG programme's aims are to pilot lesson learning and sharing, a primary focus of the evaluation is on the institutional capacity of the districts and communities to manage and implement projects and programmes and to share learning from these with national government.

More specifically, the review seeks to assess:

- the overall progress of the LDF and DFR in delivering project outputs, and the likelihood of attaining its immediate and development objectives;
- the continuing validity and relevance of the project objectives and recommend how the design can lead to achievement of the objectives and intended outputs;
- the effectiveness of the Common Basket Fund of the Local Government Reform Programme;
- the suitability of the institutional and implementation arrangements for attaining project objectives;
- managerial competencies, capabilities and innovation in project implementation at all levels, including the reporting mechanisms and their usefulness as a management tool;
- the sustainability of implementation activities and/or identify existing strategies; and
- draw critical lessons learned about project design, implementation and management and make recommendations to improve them.

1.2. METHODOLOGY

The following methods of information collection were used by the team:

- Documentary review;
- Statistical analysis (formulation of fact sheets);
- Semi-structured interviews with key informants in Dar Es Salaam, Mwanza region;
- Mini-workshops with members of the district management teams (DTMs);
- Mini-workshops with users and service providers at district and village projects;
- Field visits; and
- Two stakeholder meetings with regional and national actors.

1.2.1. Team composition

The mission was composed of Dr Doug Hindson (Team Leader and Decentralized Planning and Policy Expert), Mr Carl E. Berentsen (Roads Engineer and Infrastructure Development Expert) and Mr Edward Mhina (Gender/Participation Expert).

Dr Hindson focussed on the LDF, Mr Berentsen on the DFR and Mr Mhina on the cross-cutting issues of gender, participation, HIV/AIDS and the environment. Findings and recommendations were discussed and recorded through daily exchanges between the team members, coordinated by the Team Leader.

1.3. SCHEDULE OF ACTIVITIES

The team had an initial telephonic conference with Mr. Yee Woo Guo and Ms Florence Navarro, from the UNCDF Evaluation Unit, on the 17th February. It assembled in Dar-Es-Salaam on the 22nd March and was briefed and provided with programme documentation by Mr Daimu Mkwawa, UNCDF Programme Officer, on the 23rd March.

It prepared and submitted a document setting out its workplan and methodology on the 24th February. Between the 23rd and 26th of February team members also interviewed national stakeholders, including actors from the Ministry in the President's Office on Regional and Local Government (PORALG), the Ministry of Works and a number of donors: Netherlands, NORAD, FINNIDA, Swiss/ITECO.

The team visited Mwanza from the 27th of February until the 9th of March. It met with regional stakeholders and was given a presentation on the achievements and remaining concerns of the Programme by the PSU on arrival. Between the 9th and 10th of March the team read documents and prepared for the field work. Visits to the districts of Sengerema, Geita, Missungwi and Kwimba were undertaken between the 1st-4th March, where mini workshops were held with District Management Teams (DMTs) and with users and service providers at selected projects. The team interviewed members of the PSU and collected documents on the 5th March. The 6th-8th March was devoted to writing, reading and additional interviews. A debriefing meeting with the PSU and the major stakeholders took place in Mwanza on the 9th March before the mission returned to Dar es Salaam. Between the 9th and the 14th of March the team undertook further interview and prepared the Aide Memoire. The Aide Memoire was presented to a national stakeholder meeting on the 15th March. Thereafter, the team members returned to their home bases to write up the draft Evaluation Report. (A detailed schedule of activities is provided in Annex 2 and people met are listed in Annex 3)

1.4. STRUCTURE OF THE REPORT

The sections of this Report follow the sequence and subjects outlined in Part II, Section 2 (Evaluation Report Chapters) of the Mission's TOR. In chapters B and C, which deal with project preparation and the status and performance of implementation, the DFR and LDF are dealt with back to back in each section. At the end of chapter 3, a separate section (Section 3) is devoted to the upstream aspects of the SGLG in chapter C, since these concern both the DFR and the LDF. Section D, which deals with Critical Issues, synthesises across the DFR, LDF and SGLG programmes.

1.5. ACKNOWLEDGEMENTS

The mission would like to thank all those who gave their time to the team, including national government officials, the UNDP/UNCDF personnel, the PSU, district government officials and councillors, village government officials and residents for their co-operation.

The logistical support and other arrangements made by Mr Daimu Mkwawa of UNCDF country office, with the backing of Mrs Flora Rusenene, were greatly appreciated. We would like to thank Mrs. Noor Mbakile and Mr Geert Muisjers of the Programme Support Unit (PSU) in Mwanza for the time they spent in providing detailed and frank insights into the programme, for the organisation of meetings in Mwanza and field visits in the districts, and, in the case for Mr Muisjers, for accompanying the team throughout.

The mission would thanks Mr. Cuthbert Ngalepeka (Planning adviser), Mr. Khalifa Msangi (National Roads Adviser), Mr. Dossa Lukindo and Mr. Eric Ibrahim (Private contracting advisors), and Mr. Japhet Kyamba (Regional Planning Officer) for accompanying the team in the field and assisting team members with the collection of data and clarification of questions. The mission greatly appreciated the drivers, Mr Peter Luoga and Michael, who safely navigated the vehicles through some very remote and treacherous road. The team leader wishes to thank Valerie Hindson for her inestimable help in the compilation and writing up of this report.

2. CHAPTER A. INTRODUCTION AND BACKGROUND

2.1. BACKGROUND TO THE PROGRAMME

UNCDF in partnership with UNDP, the Government of Tanzania, and more recently NORAD, has been involved since 1997 in the Support to Decentralisation Programme in Mwanza Region (SDP), whose overall objectives are to alleviate poverty through economic development and more effective mobilisation and investment of public resources in infrastructure by local government.

Tanzania, the largest country in East Africa, is among the poorest countries in the world, being currently placed in the Low Human Development category (according to the UNDP Human Development Index ranking). Its economy is heavily dependent on agriculture which accounts for about 50% of the GDP and is by far the largest employer.

Approximately 80% of its population live in rural areas although social service provision is skewed towards urban centres. Although women are gaining increasing political representation, they are still constrained by religious and cultural attitudes, high fertility rates and low levels of reproductive health services and a heavy burden of domestic and agricultural responsibilities¹.

Tanzania Mainland is divided into 20 regions and 113 districts within which there are an equivalent number of local government councils forming a separate administrative system. On average, each district has between 20-25 sub-districts (wards) which form constituency areas for local government elections. Below the ward level are numerous village councils.

The UNCDF/UNDP Programme in Mwanza supports the Government of Tanzania in its economic and public sector reform programmes (especially the Economic Recovery Programme and the Local Government Reform Programme) which aim at a streamlined and decentralised public service supporting a liberalised economy and at improving public service delivery through autonomous, more effective and responsive local government.

The primary efforts of UNCDF are targeted at assisting local authorities in planning, financing and overseeing basic small-scale rural infrastructure and services. UNDP and UNCDF's interventions are complementary as the latter works downstream to secure the implementation and deployment of ideas, strategies and policies that are developed by national government and supported by UNDP upstream.

The Mwanza Region is the most populated in the country, with 1.8 million inhabitants (1993). It is divided into seven Districts: Ukerewe, Kwimba, Misungwi, Magu, Sengerema, Geita and Mwanza Urban. It was selected for the implementation of this SDP due to its relatively poor rural population, to the potential for raising incomes in both agriculture and

¹ SGLG Programme Document, 1999.

fisheries and for building on institutional capacities created by previous UNCDF involvement in the region. In addition, Mwanza region was the only region in Tanzania that had not benefited previously from a Regional Integrated Development Project.

2.2. THE SUPPORT TO DECENTRALISATION PROGRAMME

The Support to Decentralisation Programme (SDP), also referred to as the ‘Mwanza Programme’, is made up of two components:

1. The Rehabilitation and Maintenance of District and Feeder Roads project (DFR), which pilots a conditional grant modality and emphasizes the use of labour based technologies, procedural developments, private sector involvement and related capacity building of both private sector and local authorities, and
2. The Local Development Fund (LDF) which pilots the use of unconditional non sector specific development grants to be allocated for district and community based social and economic infrastructure. It includes associated procedures for fund allocation, planning, contract management, accountability and O&M.

The development objective of both projects is to promote economic development and alleviate poverty in selected agricultural and fisheries areas of the six rural Districts of the Mwanza region by improving people’s access to economic and social facilities and the provision, operation and maintenance of small-scale economic and social infrastructure.

The immediate objectives of the DFR are firstly to rehabilitate a number of high priority district and feeder roads serving key areas of agricultural and fisheries production and important social facilities and secondly, to establish sustainable capacity within the target districts to rehabilitate and maintain efficiently a core network of district and feeder roads.

The immediate objectives of the LDF are to improve the provision of small-scale economic and social infrastructure in the six rural districts of the Mwanza region and to establish sustainable capacity at district and community levels to plan, construct and rehabilitate, operate and maintain small-scale rural infrastructure.

The Mwanza Programme is implemented from district down to village levels and is supported by a Programme Support Unit (PSU) based in Mwanza.

2.3. THE SUPPORT TO GOOD LOCAL GOVERNANCE PROGRAMME

In 1999, the Support to Good Local Governance Programme (SGLG) was introduced as an ‘umbrella programme’ to incorporate and extend the SDP. It is intended to alleviate poverty through optimisation of the operations and outputs of the SDP, to widen its scope in order to

include rural access² and, in partnership with district councils, to improve accountability and mainstreaming of cross-cutting issues such as gender, poverty reduction and the protection of the environment.

In addition, the SGLG makes a direct contribution to the national Local Government Reform Programme (LGRP)'s Common Basket Fund and provides support to the Ministry of Regional and Local Government in the President's Office (PO-RALG), with the aim to strengthen its capacity for decentralisation policy formulation and implementation. As such, it is also intended to provide technical coordination within the UN programme so that a full contribution of the lessons of field experience can be made to the policy debate within the LGRP.

This Mid Term Evaluation Report represents the terminal evaluation of both the LDF and the DFR and the Mid Term Evaluation of the Support to Good Local Governance Programme. It follows on the November 2001 Mid Term Review of the DFR and the LDF projects.

² An additional 2,7 million USD was provided for the expansion of the rural component to all districts in the Region.

3. CHAPTER B. PROJECT PREPARATION, DESIGN AND RELEVANCE

3.1. PREPARATION

3.1.1. DFR

The “Rehabilitation and Maintenance of District and Feeder Roads (DFR) in Mwanza Region” is Component 1 of the Mwanza Region Programme as outlined in the 1997 Project Document (PD). The project originated in a UNCDF funded “Planning and Identification Mission” to Mwanza region in January 1993 which revealed the poor condition of the district roads as major hindrance to rural development.

The PD is based on the rationale of developing the capacity of the district councils and promoting the private sector to rehabilitate and maintain the DFR. The use of Labour Based Technology (LBT) was considered appropriate for this purpose, both from the point of creating employment, as well as a viable technical approach for such category of roads.

The PD outlines a clear approach and overall scope to follow in order to design a system and related procedures for training, developing contracts, scope of work and implementation methods for rehabilitation and maintenance of DFR through LBT in the region.

Some of the assumptions made and risks taken at the preparation stage could be considered as minimal due to the records and procedures available from other programmes, both nationally and internationally, as far as LBT are concerned. However, it was not possible to take into account all the regional factors at the planning stage; such as the available workforce support from villages, environmental factors, available quality material and other resources. Such issues appear to have been addressed and adequately resolved within the scope of the project and the individual contracts.

Gender aspects in the road sector were well articulated in part one of the PD, especially in the socio-economic situation in regards to household characteristics, ownership patterns at household level, inheritance, marital patterns, and mobility trends.

3.1.2. LDF

The Project Document for the LDF was initially prepared in 1994 and approved with some revisions in 1997 by the Government of Tanzania and UNCDF/UNDP.

It gave a comprehensive overview of the socio-economic challenges in the Mwanza region at the time and provided considerable detail on the history and governance systems at local level. Gender issues were well articulated in Part One of the PD, which describes the socio-economic situation in the districts, going in some detail into the position of women in the domestic division of labour and in terms of access to public services such as education. The growing problem of HIV/AIDS received only passing mention. Although mention was made of the need for interaction with NGOs in the region in facilitating the implementation of the

LDF component, little information was given on the situation with regards community-based organisations (CBOs).

However, the passage of time since its original formulation and the need to speed up the project implementation led soon after its approval to a reformulation process conducted through a Consultative Review in June 1998.

3.1.3. SGLG

The SGLG Programme Document was formulated in an effort to address various problems identified in the early stages of implementation of both LDF and DFR, namely the lack of attention to cross-cutting issues and participatory processes and the lack of linkages and mechanisms of lessons learning between the Mwanza programme and national policy development through the Local Government Reform Programme (LGRP).

Overall, the PD was a very well prepared document that contained the potential for the SPD to widen the scope of its interventions and to spread its learning nationally. An effort was made to bring gender more centrally into project implementation, and issues of the environment and HIV/AIDS were given a higher profile. Although poverty alleviation was stated as an overall goal of the SGLG programme, the programme design approached this concern indirectly through improved service provision, rather than introducing direct poverty alleviation measures within the programme activities.

3.2. DESIGN

3.2.1. DFR

A number of reference materials, project documents, plans and specifications, country and department policies were readily available in 1997 and were integrated in the project design as valuable background of the technical aspects of the LBT approach to tackle to maintenance and rehabilitation of the DFR³.

The choice of using labour intensive technology in the rehabilitation and maintenance of the DFR can clearly be justified, both from the project's prime objective of employment creation, poverty alleviation and access to goods and services, but also from a technical and logistic

³ The best records of international extent of LB Programmes, both in construction, maintenance, contractor training, policies and implementation can be obtained from ILOs ASIST Programme (Head Office: Harare), with more than 13 years records of Labour Based and Appropriate Technology projects work shops and publications. A well known document is also the World Bank's June 1983 publication: "Labour Based Construction Programs", which is a fundamentally accepted guide for planning and management of LB projects. The World Bank's 1996 studies of infrastructure and urban development commissioned case studies based on qualitative research methods and carried out a series of village-level transport and travel surveys. These findings have aided in the formulation of rural roads strategies in several Sub Saharan countries.

point of view. Both the engineering and feeder roads designs as far as cross sections, alignments, use of basic types of mechanical equipment (e.g. rollers, tractors, trailers, etc), compaction and drainage specifications are concerned, as well as criteria for using a large number of local manpower are among the fundamental justifications for applying this approach.

The project design refocused on rehabilitating roads through recruitment of women and men from communities bordering the road. The labour recruitment process was stated to encourage contractors to “employ at least 30% women in road works”, and their contracts to specify that they should “offer equal employment opportunities for women and men”.

HIV/AIDS featured in the section regarding economic and socio-economic situation. The risks were linked to migration of labour between rural and urban areas due to improved vehicular transportation. However, the HIV/AIDS risk was not dealt with in more detail in relation to intra/inter household conditions. The PD cautioned on not leaving men and women worse off than before.

Environmental aspects of the road projects were dealt with in Part Two of the PD. Chapter 4 of the PD, identified the following environmental nuisances: pollution by fuels and oils; noise; effects of bush clearance; effects of increased traffic; and, effects of pits left behind after scooping road materials.

3.2.2. LDF

Comments on the appropriateness and quality of the project design are based on the review of the PD of November 1997, the Consultative Review of June 1998 and on the important LDF Refinement exercise that was undertaken internally by the UNDCF in January 2002.

Despite the quality of the PD in ‘setting the scene’ for the LDF, the necessity to redesign some of its elements (including participatory planning procedures, indicative planning figure at sub-district level, monitoring and evaluation system) was strongly felt in the first phase of the project, so that it could fulfil more adequately its role as a replicable pilot for devolution of block grants to local authorities.

In addition, risks and assumptions were not adequately set out in the PD of November 1997. Although mention was made of the risk of lack of national support for the LDF in Mwanza, this was underemphasised. PORALG has been ambiguous about the SDP: on the one hand, it has appreciated the lessons learned, notably on the LBT methodologies and private sector construction, on the other it has favoured donor support through the Common Basket Fund, rather than area based programmes, contributing to under-appreciation of the benefits of the SDP as a testing ground for national implementation policies.

Mention was made of the risk of not being able to staff the PSU and districts adequately. In practice, difficulties in appointing and retaining staff, both within the PSU and the districts have substantially delayed project implementation and slowed project progress. Finally, the

abrupt funding cut back in funding by the UNCDF itself was not anticipated in the design, in practice the most serious threat to its continuation.

The design assumed that private sector response to public investment tenders would be automatic. In practice, private sector capacity in the region and, even more so, in the districts, proved weak and in need of substantial training and capacity building. Also not sufficiently considered was the key role of the regional and central levels of government and the need to strengthen capacity at these levels for benefits to be realised and spread through this project.

Village level systems of participation, mobilization of resources, implementation modalities, capacity and village governance were well captured in the refinement exercise of 2002. However, emphasis on participation focused mainly on a mixture of passive participation (being told what will happen), consultative participation (being presented with options) and resource contribution participation (contributing labour, cash, etc) and somewhat underemphasised the mobilisational and transformative aspects of participation.

3.2.3. SGLG

The three basic design elements of the SGLG were to be found in the PD of 1999: supporting, and participating within the LGRP by contributing directly to the Common Basket Fund (CBF); optimising the comparative advantages and strengths of the existing Mwanza programme and maximising the connections and linkages amongst existing programmes.

In the main, the PD provided a coherent and clear design for the continuation and strengthening of the Mwanza programme and a necessary framework for the use of systematic participatory planning processes. The main weakness that was identified is that it did not fully exploit the potential existing in the combination of the two projects. The co-existence of the DFR, as a sector based programme supported by a conditional grant, and the LDF, as an unconditional grant, provided an opportunity for testing out the differences in practice between these two forms of financial support. There was also potential to exploit the synergies between the projects by means of more integrated development planning, for example the linking or clustering of investments spatially to increase externalities and economic multiplier effects.

Gender issues were approached in the project design mainly through the lens of employment creation for women, whereas women's participation in planning, decision taking and implementation opens up a far wider transformative potential. Furthermore, the targets set for women's participation were low in relation to what has been achieved in some other parts of Tanzania (e.g. TANGA 50%) and other parts of Africa (e.g. Botswana 90%). The extent of women's involvement was left up to the public participation process, whereas the design could have usefully introduced the principle of positive discrimination.

3.3. RELEVANCE

3.3.1. DFR

The continued support and promotion of the LBT in rehabilitation and maintenance of district and feeder roads by donors, together with the current efforts of the Tanzanian government to widen the Mwanza experience to the rest of the country are clear signs of the relevance of the DFR in the current context. At the regional level, the project also revealed itself to be relevant: during a workshop in August 2000, the six rural districts listed their priorities for the DFR amounting to the upgrading of 901 km (while the overall programme still stands at 366 Km). In addition, the very high number of people killed or injured in road accidents in Tanzania provides a strong justification for the rehabilitation of the rural road network.

3.3.2. LDF

The LDF has been highly relevant as a pilot for testing out the practical requirements of decentralization, especially the devolution of block grants to local authorities, participatory planning exercises, grant allocation mechanisms, sub-contracting construction to the private sector and performance assessment. This relevance increased with the adoption of the LGRP and is likely to continue with the anticipated implementation of the Capital Grant component of the World Bank funded Local Government Support Programme (LGSP).

However, while continuing potential relevance of the LDF is not in doubt, its potential impact has been substantially diminished by lack of effective transmission of lessons learned into national policy fora.

3.3.3. SGLG

As an umbrella programme, the relevance of the SGLG rests, in part, on the relevance of the DFR and LDF, discussed above. Its added dimensions relate to support to PORALG and to improved linkages and communication with the national policy reform processes. Here, again, the SGLG remains potentially highly relevant, but its actual impact has been far less than planned for.

Questions have been raised as to whether the Mwanza Programme has been overtaken by the national decentralisation programme. The team found that some of the lessons learned from the Programme have already been absorbed into national policy, notably the LBT approach developed within the DFR and private sector contractor system within the DFR and LDF. Other areas of programme work, notably the financial allocation mechanisms, performance assessment and administrative accountability systems, offer lessons for national government on the practicalities of implementation, but these have not filtered through. If better publicised, these could contribute substantially to the national decentralization effort, and elevate the standing of the SDP in national policy circles.

A danger for the Mwanza programme is that national policy becomes prescriptive, as may for example be happening with the National Government's Opportunities and Obstacles to Development (O&OD) participatory planning approach. The national relevance of the

Mwanza experience, and indeed, of any other pilot programme, depends upon openness to learning from implementation experiences. Highlighting and illustrating the value of deliberate testing of implementation modalities connected with national decentralisation policy is necessary to secure the continued practical relevance of the Mwanza programme.

4. CHAPTER C. STATUS AND PERFORMANCE OF IMPLEMENTATION, RESULTS AND POTENTIAL IMPACT

4.1. STATUS AND PERFORMANCE OF IMPLEMENTATION

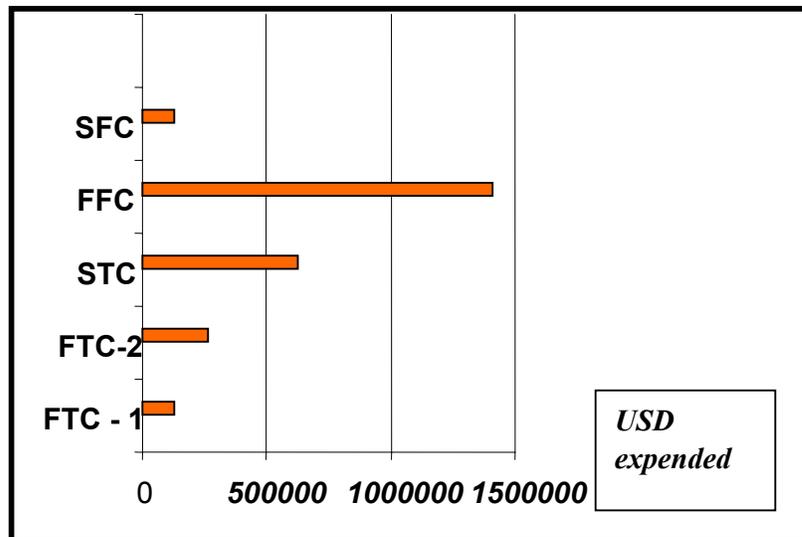
4.1.1. Status of Input delivery

DFR

A budget of 2.56 million USD was allocated to the project since the trials in 1997 (this includes the on-going activities in Kwimba and Missungwi). A balance of 989,899 USD is currently available which is sufficient to fully rehabilitate around 90 Km of district and feeder roads and will cover the required estimated 83 Km to repay equipment loan.

Figure 1 below presents the costs of rehabilitation at various stages of the programme. The budget cuts in 2003 by the UNDCF (2.859 million USD) interrupted current and planned road projects and left the contractors vulnerable (difficulties to repay loans and freezing of their training beyond pilot stage). Village access, services and employment were also affected. More importantly, the contractor's and official's confidence in the project was seriously undermined.

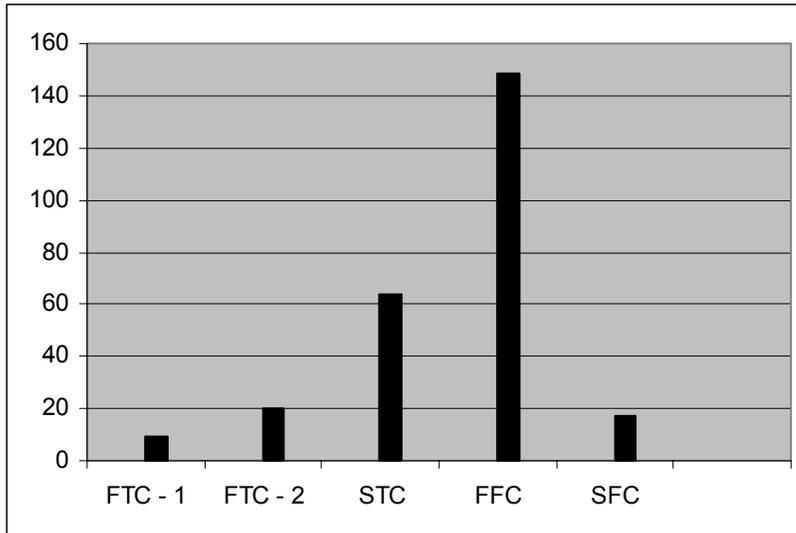
Figure 1: Cost of DFR rehabilitation at various stages of project implementation



Note: SFC (Second Final Contracts, 2003): USD 131,445; FFC (First Final Contracts, 2002): USD 1,412,682; STC (Second Trial Contracts, 2001) USD 628,933; FTC-2 (First Trial Contract , 2nd phase, 2000): USD 262,099; FTC-1 (First Trial Contract, 1st phase, 1999): USD: 124,895.

The staffing in terms of maintenance district engineers and technicians is adequate with present work load. For the rehabilitation side, it should be however supplemented with junior staff. Further regional architects and engineering consultants should also be trained, qualified and engaged more in the projects.

Figure 2: KMs of DFRs rehabilitated at various phases of the programme through December 2003



Note: FTC-1, (First Trial Contract 1st phase, 1999): 9.2 Km; FTC-2, (First Trial Contract 2nd phase, 2000):19.8 Km; STC, (Second Trial Contract, 2001): 64.1Km, FFC, (First Final Contract, 2002): 148.4 Km; SFC, (Second Final Contract, 2003): 11.9 Km.

The initial group of ten labour-based contractors financed equipment purchase for 36 months with UNCDF's co-signature (primarily for rollers, water bowsers and tractors/trailers) to an equivalent of TSh 531,582,172. The balance of TSh 43,392,349 is expected to be covered under added 2005 projects, which is now possible as a result of the added funds received from NORAD (See Annex 1, Table 1: Programme Finances)

The DFR encountered difficulties to operationalise important cross cutting issues, especially in regards to gender based participation. Notwithstanding the targeted 30% of women in the road sites, the standard has been less than 20%. While the project design anticipated customs and traditions relating to the division of labour between men and women as one of the main obstacles, means to ameliorate these problems could have been devised when working with the contractors, consultants, and other non-community based actors.

Perhaps what distinguishes Mwanza from other regions in Tanzania such as Tanga and Mbeya is not only community involvement but also the effort that went into preparing all the actors concerned. This feature could conceivably account for the divergence between levels of success between districts as well as road sites.

Participation structures in the DFR were mostly dependent on the LDF provisions. All the same, the main participation approach for women was material incentive participation, or payment based participation. Limited gains accrue from such an approach. Besides income, less can be attributed, in terms of gains here.

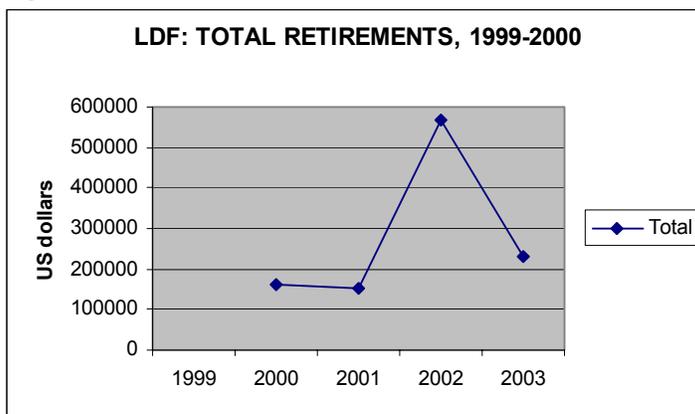
The practice of using local labour was relatively successful. Not only were contractors urged to employ from within the construction areas, but were urged to employ women as a more recent incentive measure. Quarterly meetings by district engineers and contractors, as well as those by the RS, addressed these employment issues. Wives were also engaged in management of some contracting firms (VA Enterprise is such an example).

b) LDF

The effective LDF start-up only occurred in 1999. Difficulties in filling posts as well as problems with the managers appointed in the period 1997 to 1999 slowed down the implementation of the SDP, notably the LDF component. This was compounded by the difficulties some districts had in meeting their minimum conditions with respect to engineers and auditors. A further staff input problem related to the position of Regional Technical Advisor based in Dar Es Salaam. This post was successfully filled between 1999 and early 2003, and the incumbent provided an important link between the Mwanza programme and PORALG. However, this link was weakened when the post was vacated early in 2003.

Between 2001 and 2002, financial inputs increased rapidly as output delivery moved to scale. This can be seen from Figure 3 below, which shows retirements (funding allocation for which receipts have been recovered) relating to district level infrastructure projects for the period 1999 to 2003.

Figure 3: LDF: RETIREMENTS FOR PROJECTS



In March 2003, the flow of finances to the PSU was abruptly cut back by a net amount of 1.6 million USD, some 40% of the budget for that year. Funding flows from the PSU to the districts dramatically slowed down, impacting directly on both construction and capacity building work. Considerable progress had already been made in district level projects, but less so in projects in the villages and wards. Thus the arrest of financial input flows impacted

most seriously on those aspects that had been emphasised in during the Refinement exercise of 2002 (i.e. participatory planning, systems related to the implementation of projects at the sub-district level and the introduction of cross-cutting issues, notably gender mainstreaming).

During the course of the year 2003, a rescue operation was mounted led by the UNDP Resident Representative and supported by the leadership of the PSU. The UNDP provided \$US650 000 and NORAD \$US1.132 million to the SGLG, the latter made available to the SDP in November 2003.

These new funding sources opened the prospect of re-establishing the momentum built up prior to the cut backs. However, financial inputs flows have been held back by delays in transfers from the UNCDF to the PSU. At the time of the mission, mid March 2004, these problems had still not been fully resolved; further retarding implementation and demoralising staff in the PSU and beneficiaries in the districts and villages.

Difficulties in filling the post of M & E Officer and in retaining staff in this position eventually led to the termination of this activity in 2004. Similar problems were faced with the Communications Advisor and Gender Specialist. The United Nations Volunteer (UNV) Gender Specialist who had been recruited by UNCDF/UNOPS in 2002 vacated her post at the time of the mission. Currently, the PSU faces the imminent loss of the Programme Manager/Management Advisor, whose contract expires on the 31st March 2004. Other PSU staff, whose contracts expire on the 31st September, are considering options elsewhere.

4.2. PROGRAMME MANAGEMENT AND SYSTEMS PERFORMANCE

4.2.1. Implementation arrangements

The PSU is the implementing agency for the SDP as a whole. It is accountable to the Regional Advisory Committee, chaired by the Regional Administrative Secretary, and made up of local representatives of PORALG, the Programme Specialist based in Dar Es Salaam, three members of the regional core group and members of District Executive Directors from the six districts in Mwanza as well as the PSU Coordinator and Manager.

An important feature of the implementation arrangements as far as sustainability is concerned is the “hands off” approach of the PSU in relation to the work of the district councils. This is in line with the principle of working through existing local government structures rather than setting up delivery vehicles that are separate from the existing district structures. Funds are channelled directly into the district treasury accounts and oversight of finances, planning process and project management is undertaken periodically by the PSU. These are responsibilities that fall within the scope of the Regional Secretariat, but the PSU has played this role due to capacity constraints in the former.

In contrast to its role vis-à-vis the districts, the PSU has been criticised for operating as a parallel structure to the Regional Secretariat and the Mwanza PORALG zonal teams

responsible for implementing the LGRP. Notwithstanding intentions, and a number of skills transfer initiatives, it has not yet successfully integrated into the RS and remains, in effect, a parallel implementation vehicle.

Part of the reason is that the RS itself has not yet established all the counterpart positions with which the PSU can work. Another factor is the weak participation of the PORALG zonal teams on the Regional Advisory Committee. The reality, however, is that the Regional Secretariat and Mwanza PORALG (LGRP) are implementing agencies for the SGLG only on paper and this is a matter of concern for sustainability of programme activities after hand over.

a) DFR

Per definition, labour based technology follows an approach and systems which are executed through an optimum combination of labour, light equipment and hand tools. Hence the relevant programme management and systems performance must acknowledge this to be effective and in compliance with the methods used.

Road rehabilitation and maintenance activities are being coordinated by the National Road Engineer (NRE) together with PSU staff, and implemented by District Engineers and regional consultants. The NRE provides support on contractual and managerial issues, attends coordination meetings and workshops. He is responsible for quarterly and annual progress reports through the PSU Programme Management Adviser (PMA) to the UNCDF, the Regional Advisory Committee (RAC) and the PO-RALG. These functions are currently undertaken in a satisfactory manner.

The project's progress, financial and quality control are managed by the project teams through the central position of the NRE. Routine reports flow through him and PSU. Annual reports cover financial and technical progress in detail. However, these could usefully include socio-economic infrastructure at village level. Contract documents (General and Specific Conditions, Bills of quantities, Drawings, Interim Payments Certificates, etc) follow the procedure that was produced in 2000.

The project's objectives to develop the district councils and technical staff's capacity and responsibility to manage the rehabilitation of DFR through the private sector have clearly been achieved within the financial provisions available.

At the level of each project, the supervision, reporting and management system functions adequately, as they are based on well established methodologies from several other programmes. However, the understanding of quality and quantity performance will be better appreciated when the contractors and consultants are given the opportunity to enter into full tender competition.

b) LDF

Funding arrangements

Prior to and parallel to the SDP, national government makes annual allocations to the district treasuries. Recurrent budgets make up the bulk of the transfer, supplemented by capital budgets. The councils levy on average about 10% of their revenues from own sources. This has been reduced by the abolition of a number of local taxes, notably the development levy in recent years. In practice the recurrent budgets provided by the national government have remained fairly stable from year to year, whereas the capital budgets vary considerably, depending on the motivations put up each year by the district councils. The bulk of the recurrent budgets go to salaries of district officials and the operating costs of the district administration. Provision is made for operation and maintenance of infrastructure under the control of the districts and for capacity building.

PO-RALG Budget Guidelines stipulates that 20% of development levy shall be retained at village level. However, districts had been interpreting and operationalising these guidelines differently, in terms of the percentage being retained at village and ward level, the type of taxes where revenue sharing is applied, the extent to which the village or the wards are charged with management of the funds and in terms of the level of autonomy granted to the sub-district levels in financial management. These discrepancies in interpretation and implementation have impacted on the effectiveness of incentives for increased revenue generation, the actual amounts spent on development projects and the levels of accountability and mismanagement of funds.

The innovation introduced by the LDF is to provide a substantial, relatively untied capital allocation enabling local planning and decision taking over investment in small scale infrastructure projects. The LDF brought with it a set of systems relating to financial allocation, management and auditing.

Funding is allocated to the districts on pre-set demographic criteria, supplemented by an incentive scheme based on past performance. Districts can be allocated 10% or 20% above the base allocation, depending on performance, but no penalties are applied for under-performance, although this was envisaged in the 2002 Refinement exercise.

At first, funds were divided between district and village projects on a 50/50 basis, but this was later changed to a 40/60 basis in favour of sub district projects. The evidence received by the mission was that this system has substantially improved decision making processes, financial management, and delivery performance. It has also built a sense of ownership and pride in infrastructure.

The establishment of auditing capacity in the districts was a condition for fund allocation under the LDF and regular auditing has been introduced into the local financial system. The work of the district auditors is overseen by the PSU auditor, who has also provided a degree of capacity building to the district auditors.

Planning guidelines

Districts receive from PO-RALG annually revised guidelines for planning and budgeting. These include budget preparation, revenue assessment, policies on revenue collection, Government directives, earmarking of specific parts of their LGAs own revenue (such as training of councillors, return 20% of revenue collected from villages for their own use, livestock development, etc). These guidelines also instruct Districts to set funds aside for staff training and roads maintenance and rehabilitation. Sector specific guidelines are also made available to the districts and are generally tied to related grants (use of roads fund for maintenance). Finally, guidelines are issued to central line ministries and the regional secretariats for medium term planning (three year plans) but they have not yet been used by the districts. In 1999, the Regional Secretariat received guidance on how to support LGAs in planning through the RS Operations Manual, the Planning and Management Guide and various guides on O&OD Planning⁴.

Participatory planning

A key innovation introduced by the LDF is participatory planning at village and ward level around the use of an annual capital grant for small scale infrastructure expenditure.

The Participative Planning Process (PPP), as the Village Planning Exercise (VPE) was developed in the 1999 SGLG Programme Document to enable local communities to come up with a realistic set of micro-project proposals from village level. The process was to be effected by community planning teams in each district and the teams were to consist of representatives within and outside the council (with NGO and women interests adequately presented).

Participatory planning implementation arrangements were to be organised by the district planning officers, together with the programme coordinators under the guidance of the PSU planner.

The VPE was carried out by CDF Technical Advisor (Participation) in association with Prof. Msambichaka.. Moreover NGO PAID was contracted as a trainer and contractor for implementation of village projects. VPE was the entry strategy applied in the early stages in 12 villages in 3 districts (in Shilalo Ward in Missungwi, Mantare Ward in Kwimba, and Namirembe Ward in Ukerewe districts – the remaining districts were dealt with when funds were secured through SGLG in the 1999/2000 fiscal year), but the initial package appeared too expensive.

A review of the process was subsequently managed by an NGO (PAID) and led to the redesign in 2001 of the VPE at the community level. This involved focus groups representing all hamlets ('kitongoni') in the village. This new revised approach was piloted in fifteen villages within Magu, Geita and Sengerema districts. The approach included enlisting of and

⁴ LDF Refinement in Mwanza, Synthesis Report, January 2002

analysis of problems, and eventual solutions was the core function. Establishment of a community action plan wrapped up the exercise. Cost-wise, the exercise averaged TSh 300,000 per village (with 3 facilitators assigned per village). Other merits included the training of ward based officers in the planning exercise, and creation of Village Project Management Committees (VPMCs), and a graduated system with village based and district based participatory interventions.

Experiences gained in Capacity 21, a programme within the UNDP, and in the VPE were shared to harmonise the planning exercises. In the third participatory planning round in 2003, 51 villages in 13 wards were covered by the VPE exercise in all six districts (another 42 wards await). Total costs for the planning exercise in 13 Wards was not less than 8,000 USD. It is estimated that 90'000 USD shall be required to cover a whole district (e.g., at least 55 villages per district).

Constraints of the VPE have been felt, mainly in its focus on problems (rather than opportunities), as well as the narrow focus (limited to the SDP proposed list of interventions), the absence of other useful PRA tools such as mapping, and pair-wise ranking, and the limitation to a few wards rather than whole district.

Concomitantly, in 2002, PO-RALG designed a participatory planning approach for village level, which drew on the Obstacles and Opportunities to Development (O&OD) approach. It enables community members to identify their opportunities and obstacles to their development and creates interventions aimed at addressing the obstacles in all villages in each district. So far more than 27 districts have been covered by the O&OD exercise in Tanzania and it has been undertaken in all villages within Ukerewe and Magu districts⁵. Average costs per village appear to be Tsh 700'000.

Merits include its comprehensiveness in covering all villages, therefore creating a more commanding picture of the district. Simultaneous execution of the exercise is a time saving feature of the process.

The mission received sharply conflicting views on the O&OD. PORALG has expended considerable time, funds and effort on the design of this system and wishes to see it being applied nationally. It is concerned about the diversity of methods being applied by donors and the confusion and duplication that this creates in some districts. On the other hand, experience within Mwanza indicates quite clearly that the O&OD methodology is unsustainable financially, in terms of the time taken to apply it. It also results in projects selection being unrealistic given the financial resources available. This finding is also shared by other donors with experience of the O&OD.

⁵ The O&OD process executed in 2003 in Ukerewe district's 74 villages took one month, covered 24 Wards and 516 hamlets, and costed 53 million shillings (e.g., TSh 716'000 shillings per village). Magu district's O&OD exercise covered 792 hamlets, 125 villages in 27 Wards. UNICEF provided the district council with TSh 74 million shillings, while the district council contributed TSh 5 million to the exercise (e.g., an average cost of TSh 632'000 per village). The exercise took 11 days per village, with 3 people facilitating in each village.

The mission's view is that there is a degree of complementarity between the O&OD and the VPE. The VPE comprises what may be considered as one component of the O&OD and uses similar participatory technologies. It recommends that the O&OD should be seen not as an obligatory set of planning techniques to be applied rigidly in every context, but rather as a set of planning principles and guidelines to be flexible adapted to the needs of specific circumstances. In this respect, the VPE may be regarded as one such application, which has demonstrated its suitability to participatory decision taking over the use of untied capital grants. It should, along with the O&OD itself, be seen as work in progress, with room for further development and adaptation as further experience is gathered and as new applications are found. The mission recommends that the experiences with the VPE be fully documented and compared in terms of cost, time consumed and outputs with the national O&OD and that the lessons learned be discussed in the Common Basket Fund Forum and directly with PORALG.

Project implementation arrangements

Prior to the introduction of the LDF, project implementation was undertaken by the district councils under the ambit of the "force account". On the basis of council capital funds, projects were selected, designed and implemented by the Department of Works, using locally sourced unskilled labour. This system appears to have been inefficient and time consuming and the quality of infrastructure was generally poor. It was a process that lacked transparency and was associated with conflict and a good deal of political patronage.

Under the LDF, implementation of infrastructure projects occurs at both the district and sub-district level – villages and wards. District councils select projects based on an investment menu and on district priorities as perceived by councillors. Project planning for district projects occurs through the traditional council processes. Implementation occurs through the District Management Team (DMT), assisted by paid consultants, engineers and architects. The key DMT player on infrastructure projects is the District Engineer. The key DMT actor in facilitating participatory planning is the District Planner.

Implementation of village/ward level projects is the responsibility of Village Project Managements Committees (VPMCs) which set up the Village Development Committees (VDCs) during the participatory planning and project selection process. Project selection is based on an investment menu within the parameters of the Indicative Planning Figure (IPF), a fund allocation measure based on a set of criteria including demographic size and condition and existing service provision in the villages and wards.

The DMTs are responsible for tender formulation (at first undertaken with councillors, now the sole responsibility of officials). Construction is undertaken by private contractors on designs produced by private consultants. The work is overseen by the district engineer, who also signs off contracts on completion. The system of private sector sub-contracting, including tendering, management and oversight of construction projects was developed by

the SDP. It is a successful innovation for the districts and has been acclaimed as a model for the national decentralisation process.

Capacity building activities are carried out directly by the PSU, in some instances using external consultants, as in the case of NORCONSULT, a company used in the early stages of training of private contractors. Capacity has been a substantial part of the PSU's work. Much of the capacity building has been targeted at the DMTs and Councillors. The building of the capacity of private sector consultants and contractors has also been a major focus. Capacity building of the district core groups (made up of the District Planner, Community Development Officer and other members of the DMTs) involved in village and ward planning is more recent, as are efforts at capacity building for members of the VPMCs. These capacity building initiatives were developed by the SDP. They have had a positive impact on the effectiveness of council operations and on the quality and timeliness of private construction activities. However, implementation systems are not in place to ensure continuation of this work. This is an important function of the Regional Secretariat that has yet to be operationalised.

The ward level has emerged as more important than envisaged in the programme design as a level for development planning and implementation. This is partly due to the small size of funds allocated to villages given the IPF, the funds available through the LDF, and the minimum amount of funds needed to undertake meaningful area planning. Wards are not at present recognized constitutionally as a level of governance, though consideration is being given to this at the national level and their practical role is being tested out through the work of the LDF.

Consultancy arrangements

The LDF refinement exercise of 2002 suggested an 'NGO consultancy arrangement' whereby a contracted NGO would act as "consultants" at village level to oversee the construction as well as train local fundis, and finally to ensure the operation and maintenance activities at a later stage. This was undertaken with PAID with an average of four fundis being trained in fourteen sites (twelve villages).

The same exercise also suggested innovative arrangements for project implementation at village level such as a triangle involving client (i.e. villagers), contractor and consultant. Here again, PAID was part of such arrangements, such as the supervision of the building of a school in Kwimba District (and was also involved in Missungwi and Ukerewe districts).

Meeting with PAID representatives revealed weaknesses though, as well as strengths in the partnership formula. For instance, PAID were quite disenchanted with the Memorandum of Understanding (MoU) that was drawn with the Councils (which was changed in the last days and thus delayed the signing). The MoU was deemed as too restrictive. Comparing to contractors, PAID was restricted to doing only what was supposed to be done on site. They had no place in procurement of goods, or in ferrying of the same. This bound them to the strengths and weaknesses of the councils.

The NGO also complained about bureaucracy as being the most demanding challenge, with district officials wanting to visit the sites daily and settle all local problems during such visits. Moreover, the financial arrangement between councils and the sites leave much to desire. The district bureaucracy was at times seen less participatory in its management and more attuned to giving orders or doing nothing.

Other weaknesses included the ineffectiveness of some of the VPMC (as they were sidelined by village leaders), the poor attendance of village “*fundis*” to training offered by PAID, project funds remaining at the district council instead of being deposited in the VPMC accounts.

In addition, the tendering process, and MoU prevented the NGO from facilitating the acquisition of good quality working tools for the village “*fundis*”, who instead were provided with inferior working tools. Some of the District Engineers were undermined by the quality of the works done by PAID by forcing errors even where these were absent.

PAID complained that their sites were dominated by absolute poverty, low literacy, had particularly high HIV/AIDS infection rates. Choice of technology was decided centrally by the councils, and most District Engineers were adamant in suggestions to change the pre-determined concrete based building materials (e.g., solid cement blocks), to more adapted materials such as rocks and burnt bricks.

PAID views the capacity building exercise (e.g., training of VPMC village “*fundis*”), as a risky task, and deemed the designing of the contract and MoU as a closed and less participatory exercise. On the training of local “*fundis*”, PAID suggested that VETA type approach would be the most effective, while on the MoU design, they suggested a more inclusive method.

4.2.2. Management issues

DFR and LDR

During the start up phase of the SDP, in 1998-1999, the focus of attention of the PSU management was on the DFR, and progress with the LDF was relatively slow. These problems were overcome from late 1999 with the appointment of a new programme manager, Mr Geertz Muijsers, and the assembly of the team that was to make up the PSU.

The mission judged team relationships to be strong at the time of the mission, with both the programme manager and the programme coordinator playing a strategic leadership and capacity building role within the PSU. The engineering, planning and private sector advisers appeared well versed in the principles of the LDF and competent in their fields.

In contrast, management capacity within the Regional Secretariat appears weak from accounts received by the mission. PSU counterpart positions are not yet clearly defined or

filled with adequately trained incumbents. However the basis for this is being established with the formation of a core team of staff from the Regional Secretariat that is working with the PSU.

At district level, management capacity is uneven, though there is evidence of a strengthening of capacity over time as a result of the programme. Part of the reason for the strengthening of capacity within the districts is that the minimum conditions for funding allocation included filling of the posts of engineers and auditors. In two of the districts that were visited, the District Executive Directors (DEDs) appeared to have a relatively poor grasp of the principles and objectives of the LDF, while in the other two, there was a clear understanding and enthusiastic appreciation for the SDP. The key local drivers of the LDF in the DMTs tend to be the engineers and planners, and the skill of these actors, their enthusiasm for the LDF and willingness to share and impart skills with DMT fellow members are important in determining the success of the programme in a district. However, the DMTs are in a structural position of considerable influence. Their style of management and support or the lack of it for a programme can influence all other actors in the councils. It is thus of considerable importance to give attention to the skills and motivation of the DMT's in future programmes, perhaps including capacity building specifically aimed at enhancing their roles.

Of growing importance as a potential managerial level are the district core groups made responsible for participatory planning and project implementation at the village and ward levels. This is a structure that will need further building if the participatory planning at this level is to take root and grow. The managerial role of the VPMCs is currently being tested out within the context of the planning cycle. The indications are that capacities are being built at this level. However, the impact of the programme on management capacity was difficult for the mission to judge.

Cross cutting issues

Management's positive receptivity to adjusting problems on gender and cross cutting issues was evident in the recruitment of the Gender Focal Point (GFP). Cross cutting issues have been gradually integrated in the two components as was suggested in each Project Document. However, the absence of a comprehensive gender and cross cutting issues work plan remains a major challenge.

In the main, provisions for the formal and institutionalized participation of the GFP in DFR activities were admirable. Gender training was directed at district level staff. Nonetheless, more was required for contractors and consultants. Inclusion of the GFP during casual or formal visits to project sites was uneven. Management obligation for addressing cross-cutting issues, especially gender, was sometimes restrained by resources. Follow-up and documentation of gender based experiences has been recorded. Disaggregation of data by gender has been achieved to some degree only and needs further attention.

4.2.3. Procedures and systems

DFR

A computerized planning, management and reporting system for district roads (DROMAS) was taken on by the PSU in 2002-2003 with the support of PORALG and some donors (Dutch, Finnish, Danish and Swiss). The software which was modified from a system already in place in Uganda was introduced on a gradual basis. This was done through a combination of theoretical and practical training seminars of the system's four modules. The training was carried out in Mbeya and Dodoma for 12 districts (including the 6 Mwanza districts). The last module (Mapping) was taught to the districts in February 2004.

The development of this system marked an important step toward structuring management of the district road network in accordance with common standards and methods. However, the mission found it difficult to assess the day-to-day use and application of this new planning and reporting tool. The impression received was that in spite of the training, the practitioners are not clear to what extent DROMAS will replace or supplement the current LBT planning, reporting and quality control assurance and inspection methods.

It appears that further "real life" training is needed to judge the value of this system on a more practical level. The lead role of PO-RALG in the development of this system will ensure whether a national replication of this format is the path they intend to follow.

It is important to test to what extent DROMAS will either supplement or replace the present format of a more "hands on" and less IT dependable monitoring and reporting applications of LBT road projects. This is even more so important in order to create synergy with the findings and decisions which lead to the National Programme Document of December 2003.

LDF

Central to the conception of the LDF is the hypothesis that participatory planning on the basis of capital grants to local authorities can result in decision-making that can better reflect the needs of communities and enhance transparency, efficiency and accountability.

The LDF has expended considerable time and effort on the development of systems and procedures surrounding the use of the capital grant. Allocation criteria had to be devised first for the distribution of funds between districts and then, within districts, between wards (part of the delay in funds disbursement at the beginning of the programme was due to the time taken to arrive at an indicative planning figure). This was based on a range of criteria, including population size and the existing endowment of socio-economic facilities and conditions (e.g. Tsh 3 million as a base figure per village, based on population, 20% village contribution and 5% district council contribution).

A set of minimum conditions was established for districts to qualify for the grants. These included securing the necessary engineering, planning and auditing capacity within the council, the opening of an LDF account at district level, full council endorsement of an

operational agreement and memorandum of understanding, the formulation of a District Development Plan endorsed by council, annual budget approved by council, minimum technical capacity to fulfil responsibilities for planning and engineering services, and minimum capacity for financial management of projects.

Minimum conditions for access to village projects were introduced later for villages and wards to qualify for grants. These included the conduct of participatory planning, the election of Village Development Committees (VDCs), formulation of village development plans and the opening of village LDF accounts.

The PSU has also put considerable effort into the establishment of systems for management of ward level projects. This resulted from the unexpected need to scale up planning to the ward level to make village budgets meaningful investments. It was found that the village is too small a unit to enable planning of certain kinds of social and economic infrastructure expenditure.

Considerable progress has been made by the LDF in devising procedures for contracting out project work to the private sector. While private contracting did exist prior to the SDP, its scope had been very limited and major projects were undertaken in-house within the framework of the “force” accounts, using council officials to design and cost projects and works departments to undertake construction using hired labour.

Under the SDP, an open tendering process was tried out in 1999. This revealed inadequacies though both in terms of private sector capacity to deliver projects in time and within adequate quality standards, and for councils to formulate and assess tenders and undertake the necessary oversight and assessment of construction work. Tendering, project management and administration and assessment procedures were developed and training undertaken for district officials and councillors in their application. Parallel procedures were established for the training in tendering, project and financial management for a selected group of private sector consultants and contractors and training provided in these procedures.

Systems to secure post-construction operations and maintenance are a further area of development undertaken by the programme. Financial provision for operations and maintenance are required at the stage of project selection as part of the agreement between the districts and the PSU. The district councils visited by the mission are fully aware of this commitment. However securing these conditions is complex, involving, in some instances, agreements between the councils and national departments, such as health and education. Furthermore, the division of responsibilities between the district councils and local service providers and users remains to be fully worked out in the case of some projects. An example is maintenance of village schools, where responsibilities for up-keeping buildings appears to lie both with the district and with villagers.

The development of systems and procedures designed to enhance the transparency and appropriateness of LGAs decision taking and the effectiveness of project delivery have also been key areas of innovation in the LDF.

Accountability of officials and ward councillors to local constituents remains a weakness of the system although it constitutes one of the key objectives of participatory planning and project management at the village and ward level. The mission found signs of improvement, notably in the work of council officials through the core groups responsible for organising participatory planning and overseeing project management at the village and ward level. However the full implications of village level planning on the performance of ward councillors are not yet evident. Councillors are in need of sensitisation over their role as democratically elected representatives of communities within the wards (i.e. their dual role in representing ward constituency interests to councils and reporting back on council decisions to the wards).

Privatisation of project construction significantly impacted on councils' responsibilities. From direct responsibility for infrastructure construction, officials have refocused on tendering, project oversight, administration and assessment, thereby securing a division of labour between the private sector and council that builds on the comparative advantages of the two.

Systems and procedures devised for sub-district projects follow a different logic to that of privatisation. Communities plan for projects and contribute directly to them in terms of labour and other resources. Private sector participation is absent or reduced. Furthermore, responsibility for operation and maintenance tends to be devolved to the village rather than to the district.

The implementation systems and procedures surrounding village and ward projects is as yet less developed. This is due mainly to the later start on this level and lack of experience with the full project cycle from planning through implementation and operations and maintenance.

Cross-cutting issues

Principles of participation and gender equity (e.g., ensuring access to equal opportunities for men and women) have been upheld throughout implementation of most interventions such as workshops, management training, VPMC process, and through the capacity building of councillors. Clear preferences for employment of women in Kwimba district, is viewed as an expression of fulfilling the principles of gender equity and participation. Employment is considered as an option for resource distribution, and hence a vital ingredient in enforcing gender equity. Equity is correspondingly experienced in regards to equal participation in project committees in demand for constructing hostels for female students.

Regarding enhanced participation of women in planning and decision making, changes are evident in how councillors and members of the DMT regard the role of women in leadership. Development of strong competence, personality, confidence, and assertiveness are some of

the changes among female leaders in Ukerewe, Missungwi, Magu and other councils. Changes are attributed to SDP facilitated interaction and training.

Arrangements for public-private partnership in service delivery with regards to cross cutting issues were somehow integrated into the contractor training component. Consistency and uniformity in the delivery of the cross-cutting message cannot however be attested. A local women grouping Missungwi requested employment in road works as a group on the Mbalika-Rubiri road.

A case was cited in Kwimba district where training of contractors was delayed in order to get on board female participants (one being a formerly underutilized technical staff in the council). Programme staff also facilitated registration of female small scale contractors and their acquisition of equipment. Generally women were acknowledged as more effective, honest, and diligent in their work. Kwimba and Magu districts have capitalized on this edge.

Empowerment of NGOs, CBOs and community groups is by and large limited to PAID – Poverty Alleviation Initiative Development, Capacity 21, and MWADA – Mwanza Development Association. Instead, doubts predominated on the proven capacity of nine NGOs that tendered for implementation of either service delivery or implementation activities (e.g., the construction of school buildings and training of village project maintenance committees). Qualification for the tender required proven experience and evidence of previous construction works. Whilst limiting risks, the approach reduced opportunities for empowering new actors. In Kwimba district, empowerment of local CBOs was promoted by contracting a women group to make water harvesting jars for schools (Mantare Ward in Mwamashimba Division).

4.2.4. Capacity Issues

DFR

The present technical staff within PSU and at district and project level is efficient and dedicated in their tasks. The initial “growing pains” from the initial phase of the project are clearly over. However, the implementation of new maintenance and rehabilitation projects, coupled with a missing transition and hand over procedure from the present PSU management side to RAS might create an initial void, and ultimately a possible irreversible bottleneck of information flow and decision making unless action is taken soon.

Technical, contract management and financial issues are currently well coordinated. This was evident through a solid leadership and close teamwork at the PSU level in Mwanza, but also through close cooperation with the districts. As such, it is viewed that the systems which are presently in place are worth building on, and that the organisational structure represents a foundation, which ultimately can stand on its own, as long as the retention of the present situation will be recognized as vital and the present team allow to perform a needed transition to a long term quality organisation.

LDF

This section discusses capacity in terms of the status of implementation and performance. A later section assesses capacity building as an output of the SDP. The mission assesses the current level of capacity within the PSU as sound, except in the case of the Gender and M & E Specialists, posts that are currently vacant. The technical PSU members have developed substantial capacities, particularly in engineering, planning and private sector development.

Capacity at the level of the Regional Secretariat was substantially reduced due to the rationalisation process that cut the staff from some 400 to 84 members. The redefinition of the roles of the RS and building of staff capacity to perform them has not yet materialised, though capacity building for RS counterparts is currently being mounted by the PSU. Clearly, the RS is not as yet in a position to successfully take over the roles and activities of the PSU in a manner that would ensure completion of its planned work and sustained development in the councils thereafter.

The current capacity of the district councils to continue the work started by the PSU is uneven. For example, Geita and Kwimba are better placed than Sengerema and Missungwi to do so. Part of the reason for this is that Geita and Kwimba have, from the outset had greater financial and staff capacity than the other two districts. Also, the approach and systems brought to the districts by the PSU are more deeply entrenched in these two districts.

A threat to the capacity of all districts is staff turnover within the DMTs. A correlation exists between staff stability, knowledge of the principles and aims of the LDF and the performance of the districts in managing projects. The position of DED is key to the success of the programme in a district, yet the capacity of the DEDs is variable between the districts. Below the DEDs, the engineering and planning officers were found to be critical to overall performance within the programme and the existence of strong and dynamic actors in these posts could compensate to some degree for weaknesses at the DED level, where this exists. The capacity of the core groups set up to undertake planning and project oversight within the villages and wards was also important to this dimension of the SDP work. Here capacity is being built, but room exists for improvement.

Currently, the capacity for training lies mainly within the PSU. In terms of sustainability, the capacity for in-house capacity building will become increasingly important over time. The PSU is in the process of training a core group at the regional level to undertake training as part of their services to the district councils. Evidence of in-house capacity building was found at district level, especially in Kwimba, where the council engineer has played a key role in spreading skills within the DMT. This is an area that could be more consciously cultivated by the PSU during the final months of its work.

The issue of capacity within the villages and wards is an important new area for the SDP, but one in which work has thus far not progressed. A first step in this process is sensitisation of

local actors in the core principles and intentions of the programme. Evidence of this was found during the mission visits to the two village level projects.

Decision making and management capacities have also been built, as evidenced in the project selection and construction activities in the villages. This is an area where the PSU is testing out new systems and procedures and these are to be accompanied by training for members of the Village Development Committees and Village Project Management Committees. The latter were composed from villagers who were not village leaders.

Cross-cutting issues

Capacity building of women is more advanced in the LDF component than in the DFR. Targeting aimed at district level actors and stakeholders (e.g., more than 67 participants in Missungwi, Magu and Geita districts were trained in gender sensitization training in 2002), while village level actors hang behind in terms of being central beneficiaries in this intervention.

Innovation was evident in the manner the PSU Gender Adviser went about facilitating the establishment of District Gender Core Group (a provision not provided for in the PD)⁶. Women make up to 50% of WDC members in some Wards in Missungwi district. Gender Core Groups are expected to be involved in sensitisation at district and village level. They are different from the VPE Core Teams (set up to run the participatory planning exercises). These Gender Core Groups have just been created and are yet to have an impact.

4.2.5. Operational Issues

DFR

LBT road projects are simple to manage and easy to control provided that the established procedures are available and followed, and that the technical staff in the field and at the desk are properly trained. The key actors in ensuring that this happens are the engineering staff in the districts and the PSU.

If the project is to be continued, the present core of LBT practitioners and project Management team at regional and district levels must be expanded to ensure adequate transfer of knowledge, on the project design level as well as the field applications. One concern is that the present LBT contract documents have not gone through the standard tendering procedures in Mwanza, as the present rehabilitation contractors have been selected on a more sole source basis, without competitive bidding.

It is further suggested that the PSU or district staff become adequately familiar with the new procurement procedures and how they will be applied on a regional level. It is also recommended that the four TANROAD technical manuals completed from 1999 be used as

⁶ The conception (composed of 25 to 30 individuals coming from: each district (2), a representative from each NGO –PAID and Capacity 21 (1 each), religious organizations (1 each), appears to be based on a replication of the District Community Village Planning Team format.

reference material to the extend possible on LBT roads, in order to follow the procedures as they constitute the approved standard for design, construction, quality control, testing procedures and maintenance in Tanzania and probably in the SADC region.

The format of the contract documents presently used for road maintenance and rehabilitation projects are also the basis for the LDF documents, while the latter has a simpler format.

The DFR documents have been developed over a number of years and also used with various degree of success in other countries. As a streamlining exercise it is suggested that these documents could be simplified and reduced both in content and size. In the field it was found that the contractors chose to carry only certain sections on site due to the bulky documents.

Unfortunately, the programme on which the documents are based is not open for revision by others. The project technical staff does not have the access or opportunity to enter into the software of these documents, as they were designed by a private consultant.

LDF

This section examines two issues: operational issues with respect to LDF infrastructure projects, and the issue of post-construction operations and maintenance of these projects.

Demographics of Workforce composition

There has been no specific requirement/guidelines for demographic composition of the workforce in the contracts. However, after the mid term review of June 2001, there has been verbal encouragement to the labour based contractors to recruit women in their labour force and the programme has gone further and introduced a bonus system to the contractor for any additional women recruited above 20%. However, the women labour force has still been at an average of 20%.

Working Conditions

The contracts for execution of DFR projects have requirements for contractors to observe certain conditions of labour and also restricts against child labour. Specifically, contractor are not to engage in any practices not consistent to the rights set forth in the Convention on the Rights of the Child which inter alia, requires that a child shall be protected from performing any work that is likely to be hazardous or to interfere with the child's education, or to be harmful to the child's health or physical mental, spiritual, moral or social development. The tenderer's attention is also drawn to the requirement in the conditions of contract to comply with employment act ordinance CAP 366 of the United Republic of Tanzania and under particular conditions of the contract sub clause 4.1.6 contained in our tender document states that "In accordance with the employment act ordinance CAP 366 concerning the employment of young persons and children, the contractor is free to employ any person of sixteen years and older".

Conditions of employment of labour

The Tenderer's attention is also drawn to the requirement in the conditions of contract to comply with all regulation, rules or instructions concerning conditions of employment of labour. These include that:

- The contractor will be expected to employ labour on daily task or piece work basis. The size of the task shall be what can reasonably be expected of a worker during a normal working day (8 hours);
- The level of the task varies depending upon the terrain and ground conditions and the contractor will expect to agree the task level and payment system with the employer from time to time;
- The wages paid to the work persons, foremen or other labour including housing and working conditions shall be in accordance with any statute, and rule or act as shall be applicable;
- In absence of any rates of wages or conditions of the labour so established, the contract is required to pay rates of wages and observe conditions of labour considered adequate for the project area; and
- The employer may further stipulate a minimum labour wage rate per workday on productivity related output. The applicable labour wages rate is to be at least equivalent to the basic rate.

According to the PSU, these conditions have been monitored and compliance has been satisfactory.

Salaries and wages

The conditions of contract have specific requirements dealing with salaries. The contractor is required to pay rates of wages and observe hours and conditions of labour not less favourable than those laid down in the regulations of Wages and conditions of employment Act for the building and construction industry. The Contractor is also required to comply with the regulations of wages and terms of the national legislation regulating employment.

The minimum wages for labourers stands at TSh 835.00 per day. However, the Programme has advised to Contractor to pay TSh 1,200 per day and included in the pricing of the activity items. This partly reflects the fact that it is still a problem to attract labourers in areas where other sectors are active like mining, fishing and agricultural. The programme intended to carry out a labour wages survey to determine the appropriate market labour rate / wage for the region. However, this study was not carried out due the budget cuts in 2003.

The wages paid to the labourers are above minimum wage. For other technical and skilled staff, the contractor has to offer a market rate to attract qualified personnel. These are technicians, drivers and mechanics. The programme started at TSh1,000 per day for labourers during the trial contracts . However, the rate proved to be uncompetitive because of other the rates being offered by other sectors like fishing, agricultural and mining. The contractor were then advised to raise the wage to TSh1,200 per day, though it appears that rate is still not a competitive wage compared to what the other sectors are paying.

Safety

The conditions of contract have specific requirements dealing with safety. The contractor is responsible for the general safety of the people on and around the whole site premises. This includes own staff, official and non official visitors to the site and the general public. The contractor has to ensure that his staff is duly and suitably instructed to only safe working methods, safety gears and safety appliances during the progress of the works.

From the information gathered from the PSU, it appears that contractors have been abiding to safety requirements due to not only such contractual requirements but also due to the fact that non compliance to safety is coupled with severe fines by the Contractor Registration Board (CRB) which is a national regulatory body of contractors nationwide. Contractor staff was provided with basic safety gears like helmets, boots and gloves where appropriate.

Adequacy of Management and organization of workers camps/construction sites

In general and over time the management of construction sites has fairly improved due to intensive training provided to all key stakeholders. Facilities for sanitation, storage and security, which are contractual requirements, have been provided.

4.2.6. Provision for operations and maintenance

Provision for operations and maintenance for projects delivered under the SDP is a pre-requisite for their sustainability and has been written into the Memorandum of Agreement between the PSU and the districts as a condition of project funding. The mission found that all the districts were fully conscious of this requirement and had made such provisions.

However visits to district level projects revealed that this had not been achieved in all cases in practice. At the dispensary visited in Sengerema, provision was made for an expanded staff complement, fitting out of hospital wards and medicines. However the laboratory constructed at a village school in the same district had a teacher but no basic laboratory equipment and only a small stock of chemicals, bought from funds raised by the school within the village. While commitments had been made to meeting the requirements of full operations, in practice this was difficult given the dependence on the national Department of Education for this support.

The infrastructure improvements at the cattle market in Missungwi represents an important case of operations and maintenance provision for an economic infrastructure project. Here the mission was given evidence of substantially increased revenues generated from market users as a result of the infrastructure improvements and their positive impact on collection of fees from buyers and sellers. Collection of fees was sub-contracted by the Missungwi council to local private sector agents. Public revenue generated by these fees was split on a 20/80 basis between the village committee and the council, in favour of the latter. This proved to be a bone of contention for the Village Committee responsible for the management of the market, which complained that they would be in a stronger position to maintain and upgrade the facilities if given a larger proportion of these fees. Nevertheless, the cattle market in

Missungwi demonstrated the potential of infrastructure of this kind to be self sustaining economically while making a substantial contribution to the building of the economic base of the district.

Provision for operations and maintenance within sub-district projects involves responsibilities for both the councils and the villages. Here district responsibilities are backed by financial provision and departmental planning, while village responsibilities entail local resource provision in the form of labour and material for upkeep of buildings from the villagers. The division of tasks between the district and village councils did not emerge clearly from the mission interviews, in some cases because projects had not reached a point where this had become a practical issue.

The LDF refinement exercise of 2002 suggested an ‘NGO consultancy arrangement’ whereby a contracted NGO would act as “consultants” at village level to oversee the construction as well as train local fundis and finally to ensure the operation and maintenance activities at a later stage. This was undertaken to a certain extent with PAID (an average of four fundis were trained in fourteen sites representing twelve villages). The same exercise also suggested innovative arrangements for project implementation at village level such as a triangle involving client (i.e. villagers), contractor and consultant. Here again, PAID was part of such arrangements, such as the supervision of the building of a school in Kwimba District.

On a broader plan, the mission discovered serious structural difficulties faced by the councils as a consequence of donor dependence for capital expenditure on infrastructure. Table 2 in the Annex 1 shows the contribution of national government and donors to the recurrent and capital accounts of the four districts of Mwanza visited by the mission. For most districts for most years, the government grants for recurrent expenditure grew year on year. However, capital grants fluctuate enormously from year to year and from district to district, even relative to population. Consequently planning for operations and maintenance arising from capital expenditure would be extremely difficult.

Donor grants also vary substantially from district to district and year to year, making planning difficult. Since most donor investment reflects the sector specialities of donors rather than necessarily reflecting council priorities, this skews infrastructure development and can make a mockery of local development planning. It also has a powerful skewing effect on the recurrent budgets of the councils, as operations and maintenance of infrastructure projects can generate major recurrent costs. Donor contributions of capital grants to districts also vary substantially from year to year and between districts adding to the difficulty of planning coherently and ahead. The table also reveals that the contribution of the UNCDF relative to other donors in districts was generally high, generally above 50% but not for all years. Thus closure of the SDP will have major impacts on the capital accounts of districts unless other sources are found.

Cross-cutting issues

LDF activities were seen as more flexible in selection of female maintenance contractors compared to DFR activities.

Rehabilitation of Geita's Kasota-Buguluma road provided employment for more than 100 women from Kasota. Most women worked between 2 to 6 months. Purchase of bicycles, farm plots and school materials, were among the popular expenditures, although a handful purchased non-essential consumer goods. Absence of sex discrimination during employment was evident; however, a few husbands prevented their spouses from taking employment on alleged reasoning that the farming season demanded their labour.

Certain contractors in Missungwi were selectively employing women in areas they deemed appropriate. Women were seen as disciplined, hard working and industrious while male employees were seen as belligerent and troublesome, according to members of the DMT. Moreover, while women remained regular in attendance after receiving their pay, most men absconded on the day after receiving their pay.

It appears that gender relations at home improved especially because women shared their earnings with husbands, although this is difficult to substantiate.

In some construction sites, foremen were used for disseminating information on HIV/AIDS (Missungwi). IEC materials for HIV/AIDS and other cross cutting issues were not available, and hence dependence on individual order as the main weakness. HIV/AIDS was not actively dealt with during the rehabilitation work. Improved roads in Missungwi reduce the need for vendors or suppliers to sleep overnight at the market area hence lessen extra marital chance encounters.

4.2.7. Monitoring and Evaluation

DFR

First of all, it should be noted that it is possible to execute monitoring and evaluation (M&E) methods in maintenance, construction or rehabilitation of LBT roads, either completely manually or through a combination of manual and IT format reporting and record keeping methods.

In the case of the DFR, it was observed that the contractors and consultants concentrate on the tasks easily identified and physically measurable (per the contracts BOQ) and tend to pay less attention to issues such as quality control, testing, employment of women, facilities on site (e.g. available water for labourers, use of temporary diversion signs, use of protective clothing, easy access to First Aid kits, etc.) which are equally important.

It was apparent to the mission that a number of rehabilitated roads which at first glance appeared to be of acceptable quality had undergone a more "visual" quality control inspection

and testing during its construction (rehabilitation). From discussions with the contractors and the engineers, an issue which appeared unclear to them was what procedures and specifications to follow on quality control in the field.

While the compaction of some roads was tested only after completion of 15-20 Km, other contractors tested every 1-2 Km. In the former case, inadequate compaction could justify a complete rehabilitation, which was not practiced.

The contractors and the technical teams did not appear knowledgeable of DCPs (Dynamic Cone Penetrometers) nor nuclear densimeters (Troxlors or equal), but only relied on the availability and expertise of district laboratories' assistance through the more conventional field tests. As such, refresher courses in site management related to testing, specifications and quality control, would be an asset for the 8 LB contractors still in the programme.

In addition the projects should also be more aware of following the contracts on issues like protective clothing, adequate traffic diversion signs, first aid facilities, etc.

LDF

It was originally planned that the Regional Secretariat would annually monitor LGAs' functional capacities through an agreed system of performance assessments. In addition, the existing LGRP M&E system was to be reviewed and adopted in all six districts with the aim of monitoring the LGAs' services and the LDF progress. Finally, the UNCDF M&E system were to be installed at PSU level and at the regional level in case of inadequacy of the LGRP system.⁷ In addition, a Management Information System (MIS) was to be installed as a UNCDF corporate, regional and project requirement.

However, difficulties both in the design of appropriate M&E systems and in the staffing of the M&E post led to this area of implementation falling behind infrastructure delivery and development of management and accountability systems in the other spheres. The designs for such systems that were provided by Jake Pohl proved overly sophisticated and complex to meet local needs given local data sources and capacities for data collection.

Difficulties were also encountered at a conceptual level in the design of the M&E systems, notably in linking project level monitoring and evaluation systems with those aimed at assessing progress towards immediate objectives and overall goals. This is a problem that is not unique to the SDP programme and it will be recommended that tight integration of these levels is a goal that may be overly ambitious, difficult to execute and costly for such a programme.

These difficulties have been compounded by the loss of staff appointed to M & E. The cut in funds by the UNCDF led to suspension of this aspect of the programme's work in 2003 to

⁷ Synthesis Report on Refinement Exercise, 2002.

concentrate energy and remaining resources on construction projects, capacity building and village level participatory planning.

The effect of the weak or non-operative M&E system is evident in the lack of readily available information on LDF projects. As will be seen in the evaluation of outputs below, it was not possible to provide information on costs per square metre of buildings, needed to assess cost effectiveness, except on a sample basis. Furthermore, information on the size and gender composition of the workforce per project or as a whole for the LDF was not available to the mission. It was reported to the mission that the MIS has been installed in Mwanza and represents a pilot in Tanzania, but the mission did not receive gather evidence on the state of this system.

While not fatal to achievement of the project's aims, the absence of an effective M & E system has had serious effects, notably on the lesson learning dimensions of the programme. Assessment of performance and the capacity to draw lessons can be made on purely qualitative information, but is greatly strengthened by quantitative data of the kind that should be generated by an M&E system (this applies at the level of activities, results and goals). The workplans provide quantitative indicators of results achieved in the different results areas, but this type of information is too coarse grained to enable assessment at the project level.

A further area of project work that has suffered from the weak M&E system is that of assessment of performance against immediate objectives. The mission was unable to assess progress towards attainment of immediate objectives, except in general, mainly qualitative terms, for the LDF.

4.3. RESULTS

4.3.1. Downstream issues

Outputs

The TOR call for assessment of progress in terms of outputs in three main areas: physical delivery, capacity building and institutionalisation of systems.

4.3.2. Physical Infrastructure

DFR

The original scope of the DFR was to rehabilitate 366 Km of DFR in four initial districts⁸. This technical scope was maintained while adding two districts⁹, thereby reducing the average benefit for each district from 91 to 61 km.

⁸ Section 6.2.4 Project Document (Rehabilitate High Priority Roads in the Core Network)

The mission understood that a selection of roads was made for all six districts at the Stakeholders Workshop in August 2000 based on an agreed range of criteria. It was also decided that the “short listed” priority roads (i.e. approximately 61 Km per district) should receive full rehabilitation. Since the average cost of rehabilitation ranges from 8-12,000 USD per Km, it does not sound sensible technically and economically to select full rehabilitation for all road, especially when funds are limited. As routine maintenance of DFR is approximately 800 USD per Km, it is expected that spot improvements could cost closer to 2,000 USD per Km, pending on the work required.

Progress with road rehabilitation is shown in Table 1 below. 258 Km of DFR were rehabilitated in six Districts. Approximately 503,000 worker days have been created over a five year period. Construction output per contractor increased from 0.3 Km/month to 1.7 Km/month over a 3 year period. Nine private contractors were trained in LBT road rehabilitation and nineteen in LBT maintenance methods. Ten private contractors acquired required road maintenance and rehabilitation equipment. Contract documents in road maintenance and rehabilitation were produced and implemented.

⁹ Participation Workshops Report/July & August 2000, TOR, Sections II A and B

Table 1: DFR: Summary of progress (For details see Annex 1. Table 3)

District	Input, USD	Output, ¹⁰ Km Rehabilitated *	Output, ¹¹ Total worker days	Output, DC Staff trained DE & Technician
Ukerewe, actual to date		30.4	58,281	2
Scope per Project Doc.	Nil	Nil		
Requested 2000 W Shop	NA	102		
Kwimba, actual to date		42.4	59,416	2
Scope per Proj Doc		108		
Requested 2000 W Shop	NA	62.0		
Missungwi, actual to date		46.5	5,311	2
Scope per Proj Doc	Nil	Nil		
Requested 2000 Shop	NA	131		
Magu, actual to date		39.1	100,431	2
Scope per Proj Doc		68.0		
Requested 2000 W Shop	NA	103		
Sengerema, actual to date		52.6	86,804	2
Scope per Proj Doc		73.0		
Requested 2000 W Shop	NA	185.		
Geita, actual to date		32.4	65,378	2
Scope per Proj Doc		117.0		
Requested 2000 W Shop	NA	318.0		
Total to date		243.4	288,817	2
Total per Proj Doc		366.0	NA	

* Note: Km rehabilitated during Second Trial Contracts (STC) and First Full Contract (FFC), as recorded in contract length Full rehabilitation quota is 366 Km total for all 6 districts; i.e. the approximately 93 Km of trial contracts up to 2001 should be added, to make the entire scope approximately 459 Km

¹⁰ ref Proj Doc July 1997 and Aug 2000 W shop Report

¹¹ PSU Feb 2004 Report

The DFR training programme was broken down in three main progressive stages. The first and second were trial contract stages, where a limited number of kilometres were rehabilitated by each trainee contractor under close supervision. Output in the first three districts and totalled approximately 94 Km. Training was conducted in planning, reporting and management systems, and contract documents in road maintenance and rehabilitation were produced and implemented by an external consultant as part of the programme. The third stage was a “Full Contract” stage, executed by all nine contractors participating in the programme in Mwanza’s six districts. A total of 148.4 Km of rehabilitated roads was completed, as shown in the 2 below.

The second full contract was planned for 16.9 Km, but with added funds, this is now extended to 37 Km, of which the last two contracts (in Kwimba and Missungwi) are in progress, scheduled for completion in September 2004.

Table 2: Progress of DFR at various stages of training and full contracts

First Trial Contract Phase 1	First Trial Contract Phase 2	Second Trial Contract	First Full Contract	Second Full Contract	
0.3 Km per month per contract	0.5 Km per month per contract	0.6 Km per month per contract	1.1 Km per month per contract	1.7 Km per month per contract	
9.2 Km	19,8 Km	64.1 Km	148.4 Km	16.9 Km	258.2 Km
		3 districts	6 districts	3 districts	
FTC Ph 1	FTC Ph 2	STC	FFC	SFC	Total

LDF

At the district level, a total of forty four service projects including schools, health centres, administrative facilities (including a town hall) and market infrastructure have been built. At the level of villages, forty seven class rooms and one teacher’s house are currently under construction.

The distribution of funds arising out of the project prioritisation process is illustrated in Figure 4, below. The largest allocations were for health services (dispensaries and hospital wards). Substantial allocations were also made to schools, economic infrastructure (upgrade of markets and fishing landing areas) and a city hall and administrative centre.

Figure 4: LDF Planned expenditure on infrastructure

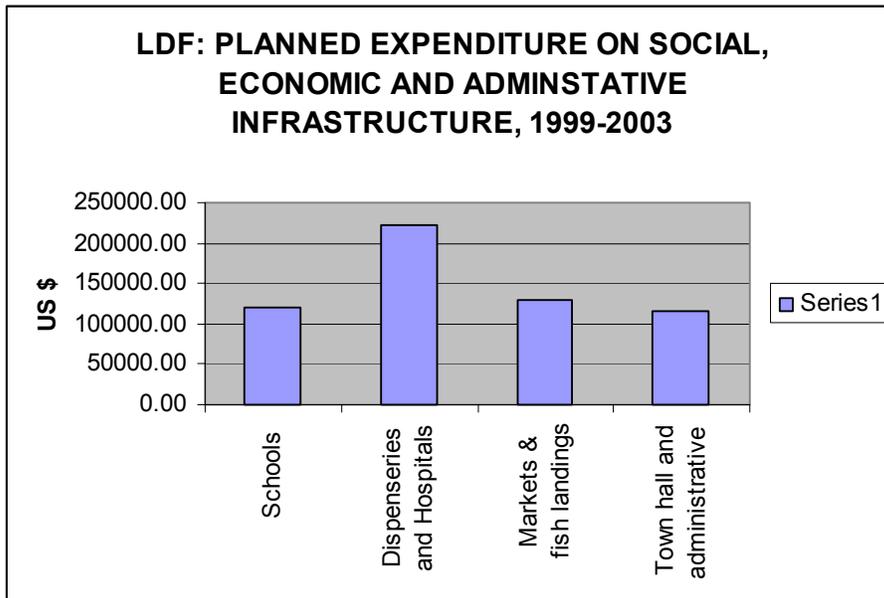
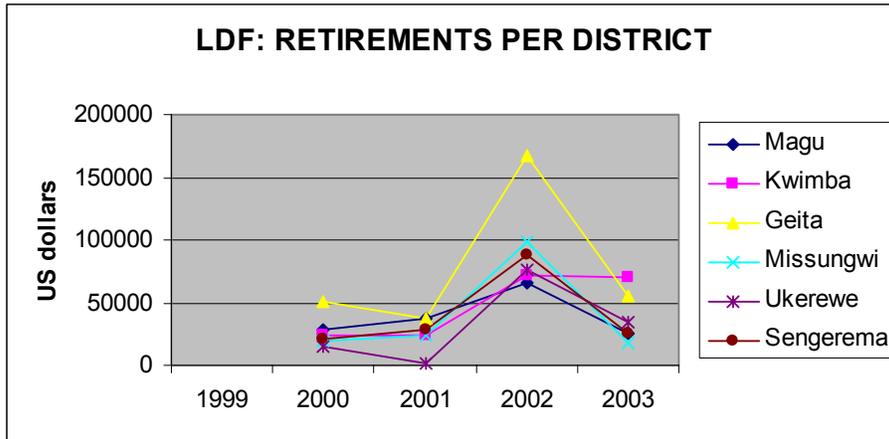


Table 5 in the Annex 1 shows construction progress as a ratio of certified payments to the contract sum. For all districts taken together, 96% of the work has been done.¹² The table also shows the difference between planned and actual delivery dates, rounded to months. The difference ranges from over 21 months in the case of the Gedeco Social Hall in Geita District to minus 2 months for the Nyarugusu dispensary. On average, projects went on 8 months longer than planned. The slow pace of construction between 1997 and 1999 can be attributed to the teething pains of the project. The dramatic production slow down in 2003 was caused by the financial cut backs. The pattern is repeated for all districts, though the impact varies to some degree between them, as shown in Figure 5, below. Discounting these effects, it appears that planned construction schedules would have been met in the case of most of the projects.

¹² This figure is somewhat inflated by the fact that additional funding was found for some projects.

Figure 5: LDF Retirements per district, 1999-2003



Assessment of the cost effectiveness of infrastructure construction is made difficult by the absence of comparable data on a project by project basis, as well as the dearth of comparable market information. However, cost estimates per square metre were assembled for the five projects visited by the mission, and these are presented in Table 6 in Annex 1.

The most cost effective construction appears to have taken place at the Missungwi Cattle Market, where an administrative block was put up for TSh 137,000. Site inspection indicated that the quality of the building was good, and service providers using the building were highly satisfied with it – having previously had no permanent structure from which to administer and control the market. However, the toilet block appears to have been costly, at Tsh 190,000, although provision of fittings and the small size of the building would have raised costs per square metre.

The Sengerema dispensary came in at Tsh 184,000 per square metre. This included the construction of three free standing wards and the rehabilitation of the original ward to serve as a store room. The quality of work appeared outstanding and both service users and providers expressed great appreciation for the outcome. In contrast the laboratory at Sima school in Sengerema seems to have been costly at Tsh 167,000, given the quality of the work. The laboratory windows were being repaired at the time the mission visited, having been broken during a recent storm. The team also noticed that a class room built nearby with LDF funds was leaking from the roof, resulting in all the desks being wet.

4.3.3. Capacity building

Training

DFR

Capacity building activities were a mainstay within the DFR component (e.g., contractors trained in delivery of infrastructure and services, rehabilitation maintenance, equipment management, and financial management; district engineer staff trained in traffic counts, annual planning of road maintenance & quality control, training in contract management, and supervisors trained in materials testing and contract implementation).

However, based on the mission's field visits, it appears that refresher training is needed in some areas, as mentioned in Section 1.2.6 above. Also, integration of cross cutting issues was not evident as being systematic.

As far as long term capacity building in the Mwanza region is concerned, it is the view of the mission that the contractors and their staff engaged in this project on a pilot/training level should be given the opportunity to go through standard competitive tendering process, (hopefully at a national level), as the present situation has left them with awarded contracts on a sole source basis. Relevant training in contracts, tendering and implementation should be provided.

Gender based participation in the capacity building activities within DFR was restrictive. Female contractors participated (e.g., out of 189 trainees in 11 contractor and supervisor targeted courses in 1998 to 2000, only 21 were female, a partly 11%), however their retention remained un-guaranteed. Sengerema and Kwimba are among districts to have trained 3 female contractors.

Location of camps away from residential areas by some contractors in Kwimba district, is perceived as evidence of avoiding fostering the spread of HIV/AIDS and minimizing risks among the camp residents.

LDF

Capacity building was an important objective of the SDP and is an aspect of the work that will take on increasing importance during the final months of the programme. Estimates of the expenditure on capacity building and training are difficult to assemble as much of this work has been done by the PSU staff, whose incomes derive from the budget for Technical Assistance, which does not break down allocations in terms of the tasks undertaken by staff.

Nevertheless, an assessment of output is possible from figures maintained by the PSU on training and capacity building, provided in Table 7 in the Annex 1. PSU members were involved in a total of 142 days of training between 1999 and February 2004. One thousand

two hundred and thirteen people participated, in a total of 8682 person days of training. Where a gender breakdown was kept, 25% of participants were women. These figures exclude on-going training at the village level. Training input was especially high between 1999 and 2001 and then dropped off. It has again become a major focus in the workplan for 2004.

The LDF refinement exercise highlighted the need to strengthen the capacity building of the role of the RS in monitoring districts performance, in financial and management audit and in facilitating district planning. Other areas of capacity building of local authorities were mentioned such as gender mainstreaming, continued capacity building in contract management, improved O&M procedures.

Training activities have been extensively undertaken by the PSU. Among the beneficiaries of these were the local contractors, the LGAs (technicians and councillors) in contract management and tender procedures. In addition, private consultants were called upon for supervision of works. Gender training to Heads of Department in Kwimba district was deemed useful in creating gender awareness within departmental work. Furthermore, four senior staff from the district attended the Gender & HIV/AIDS training workshops at regional level. However, dissemination of knowledge and skills to other staff members and other levels remains poor.

TANESA has facilitated HIV/AIDS training in several wards within Missungwi district. Moreover, thirteen heads of department have been trained in gender, while the health department has carried out training in gender and reproductive health at the district hospital and health centres.

Technical assistance

Technical assistance provided by the programme coordinator and manager/advisor have been sound, as has the work of the other members of the PSU. The Regional Advisor provided an effective link between the Mwanza Programme and national policy forums between 2000 and 2003, until his resignation. The Programme Specialist has played an important role in connecting the Mwanza Programme to the UNCDF in New York and the UNDP in Dar Es Salaam, but has had insufficient back up to take on the functions that had been allocated to the Regional Advisor. Efforts have been made to pursue this aspect of the work with the UNDP's Governance Unit, but this has not proved successful in securing the desired connection between the upstream and downstream levels of the Programme. Repositioning of the Mwanza Programme nationally requires a renewed strategy at this level.

4.3.4. Institutionalization of Procedures/Systems

DFR

Sections 4.2.1, 4.2.3, 4.2.5 and 4.2.6 above express a general concern that a full acceptance and implementation of a comprehensive and user friendly LBT M&E and reporting system is still pending for the districts.

LB Technology, related contracts and tender documents, work procedures and implementation methods have been in force for decades, The Mwanza programme also surfaced as a role model for training programme in LB technology pioneered by UNDP and ILO in the Kilimanjaro region. Also, the MOW Project Document of December 2003 has literally taken the use of LBT to scale. This gives great tribute not only to the Mwanza project but also to the technology itself. However, in the process since 1999, Mwanza has embarked on several areas which still can be seen to exist in a transition phase. On the point of LBT and Project Systems, the introduction of a planning and management system for District and Feeder Roads was clearly an appropriate move. On the other hand, this system has yet to be fully tested, understood and implemented at regional and district level. Moreover, the well established documents and procedures of LBT must be integrated in an overall system, which at this juncture appears to “stand alone”.

As such, a challenge has been created, not only for Mwanza and road projects in other regions, but for PO- RALG at large, whereby these new systems in planning, managing and reporting LB rehabilitation and maintenance of roads should be integrated with well tested procedures with the ultimate objective of district institutionalising such a package. This effort appears to have been introduced both in Mwanza and subsequently through the aforementioned Project Document. It appears, however that a follow up is required by new body, or a technical and managerial team in co-operation with PO-RALG, TANROADS, the ROAD FUND and district stakeholders.

LDF

The procedures and systems introduced by the LDF have recently begun to take root, but need re-enforcing. Systems of funding allocation and incentives introduced by the PSU are well understood and functioning effectively. Decision making within the councils over LDF funds has been energised, though the existing systems of council decision-making themselves have not changed.

The area in which much progress has been made is that of tendering, contract awarding and oversight of construction projects. This is a major break from the pre-existing force account system. Councils are applying this model to other sources of capital funding and to aspects of operations and maintenance work, a sign of the degree to which the practices have become entrenched. A further indicator of the importance of this aspect of the PSU’s work is the

national awareness that innovations have been achieved in outsourcing construction work to the private sector.

At the sub-district level, planning, implementation and management procedures are only now being tested, and it is too soon to judge how deeply they will become institutionalised. At the village projects visited by the mission there is great enthusiasm for the new processes that are being introduced, as evidenced in the large turnout of villagers at the meetings and in the discussions with break away groups.

The PSU has put considerable effort into devising systems and procedures of financial accountability and performance evaluation, and these have been taken over and applied by the DMTs. They are currently being developed for village and ward level projects, drawing on the experience at the district level. Thus, minimum conditions for funds allocation still have to be met with the establishment of proper decision making structures and processes, opening of bank accounts and maintenance of records of income and expenditure. Putting in place such procedures will take time and it is too soon to judge the degree to which they have been institutionalised at this level.

Cross cutting issues

Participation structures in the district and communities were gradually strengthened through a number of capacity building measures (e.g. training institutional bodies in PRA, review and training in VPE methods, district based village planning teams in PRA). However, much more needs to be done to ensure that women fully participate in development planning and implementation and that gender awareness spreads deeply into other spheres of village life. The role of the Gender Specialist has been important, but establishment of fora, representation quotas, training packages, mainstreaming strategies and monitoring indicators are other essential steps for mainstreaming.

Changes are evident in how councillors and members of the DMT regard the role of women in leadership, and these are attributed by local actors to SDP facilitated interaction and training. Empowerment of NGOs, CBOs and community groups is by and large limited to PAID, Capacity 21, and MUWADA.

Similar to the VPE process, TASAF (Tanzania Social Action Fund) practices a 50:50 representation of women and men in its planning and decision making processes at community level in order for decisions to be made. VPE process has promoted equal representation of women in the VPMC, wherein they hold leadership positions. In contrast, the 40% attendance of women in village meetings in Kwimba district is considered a high level of attendance for the SDP.

Weak enforcement of representation quotas for women in local government bodies (at district and village councils), is a matter of concern for the SDP, based as it is in formal requirements on gender equity. It is hoped that VPMCs will gradually enforce provisions for gender balanced representation in village and council bodies.

4.4. SGLG UPSTREAM ISSUES

This sub-section focuses on the upstream side of the SGLG, namely the objectives of providing a link between the Mwanza programme and national decentralisation policy, supporting the decentralisation process and providing technical coordination within the UN programme to enhance the contribution of the lessons in the field to the national policy debate.

4.4.1. Supporting the decentralisation process through the Common Basket Fund

The Local Government Reform Programme (LGRP) was started in 1999 as a joint donor and Government effort to implement the national decentralization reform programme. It is funded through a basket funding arrangement, the Common Basket Fund (CBF), which has a total budget of TSh 35 billion (Action Plan and Budget July 1999- December 2004).

The UNCDF contributes to the CBF through the SGLG programme¹³, which gives it and the UNDP full representation and voting rights at the CBF Steering Committee and enables it, potentially, to influence final decisions on overall budgets and ensure upstream policy dialogue.

The TOR requires an assessment of the continued role of the UNCDF in the CBF. Participation on the CBF was intended to strengthen the capacity of the UNCDF to bring lessons learned from Mwanza into the national policy debate, thereby contributing to the direction of the LGRP.

It is the mission's finding that this has not happened to the degree anticipated in the programme design. The reasons are several and complex. In practice the CBF has not proved an effective vehicle for lesson sharing from the Mwanza programme, notwithstanding the similarities between the conception of decentralisation being pursued in national policy and the LDF model and implementation modalities being tested within Mwanza. This is not a problem that is exclusive to the SDP: there is little sharing of lessons from any of the donor supported area based initiatives, despite the existence of a coordination committee.

Structurally, the CBF, as a donor/government forum, limits the capacity of any one actor to influence outcomes. Decisions taken by the forum reflect the interests and perspectives of its participants as a whole.

An important factor has been the debate about the status of area based donor programmes in Tanzania. Some donors are set to continue on an area basis on the grounds that this services their objectives best and the expectations of their support bases in their home countries. Others have opted for closure of area programmes and re-direction of all support through the CBF on the grounds that this is the most effective way in which to support the national decentralisation initiative.

¹³ The UNCDF contribution amounted to TSh 800 million, or just over 2% between 2000/01 and 2003/04.

National government, as articulated by PORALG, is also in favour of this approach. The argument PORALG advanced is that area initiatives make it difficult for government to pursue national development objectives. They encourage spatially disconnected interventions and sector focuses that do not necessarily correspond either with national or local priorities. National government therefore encourages support for the CBF approach. Yet their dependence on donor funding is such that they are willing to make concessions to those donors who insist on continuing on an area basis. In this case, however, they request that funds are channelled through the district councils and not through parallel structures such as Programme Support Units.

The mission found evidence that area based donor initiatives do, indeed, make national planning difficult, not only for national government, but also at the district level. Indeed, the magnitude the contribution of donors to capital expenditure within some districts is so great in relation to national and local government sources as to undermine planning efforts in some cases.

However, the SDP differs from many other area based projects in a number of respects. It is an initiative designed specifically to pilot and test a model of decentralisation and the modalities of its implementation in the context of a region of Tanzania and to inform the national decentralisation programme. As a pilot and advance testing ground for implementation processes driven from the national level, it has the potential to assist national policy formation and the national implementation programmes being undertaken by the LGRP and those currently being formulated by PORALG for the future.

With respect to the UNCDF's own strategic role, participation on the CBF creates a dilemma. On the one hand, it is clear that the ambition to influence national decentralisation policy cannot be attained without a presence of the programme at national level. At present the CBF is the only national forum within which the UNCDF can play this role, and this means that its continued contribution to the CBF, financially and in terms of representation is essential. On the other hand, the impact of the UNCDF within this forum is limited.

Assessment of the role of UNCDF in the CBF, needs also to consider the impact of the LGRP itself on decentralisation, since this, ultimately is the concern of the CBF. It is beyond the TOR of the review to examine the LGRP. However, mention must be made of a review of the LGRP that was undertaken in June 2001. It expressed appreciation of the existing funding arrangement but also concern over the apparent disconnection between required systemic reforms (in particular in areas to strengthen financial autonomy of local authorities) and the many operational activities by the Local Government Reform Team (LGRT) and the lack of incentives at various levels for reform.

4.4.2. Creating linkages between the UNCDF and UNDP programmes

The SGLG programme sought to strengthen the linkages between the UNCDF and UNDP programmes in Tanzania, with the aim of ensuring that the full contribution of the lessons of field experience could be made to the policy debate within the LGRP.

One of the means by which this was to be achieved was creation of the position of Regional Advisor within the UNDP. The post was filled for a period of two years, between 1999 and early 2003 and the incumbent did have a positive impact on up-streaming lessons learned from Mwanza and down-streaming information on national policy to Mwanza, but this work came to an end in early 2003 when the post was vacated. Currently, the UNDP has a regional advisor based in South Africa, a location that makes it effectively impossible to play this role.

The UNDP in Tanzania has played a critical role in supporting the SDP. Its impact is most vivid in the rescue operation mounted by the Resident Representative at the time of the financial cut backs imposed on the SGLG programme by the UNCDF. Thanks to the efforts of the Resident Representative working with the leadership of the PSU and the programme specialist, funds were secured both from within the UNDP and from NORAD to ensure the completion of work in 2003. It is evident from the interview with the Resident Representative that the achievements of the SDP are recognised and appreciated by the UNDP leadership, as are the difficulties it has faced in sharing its experiences with national government.

However, the linkages between the UNCDF and UNDP could be strengthened by building the connections between Programme Specialist and the UNDP at lower levels of the organisation, particularly within the staff of the Governance section of the UNDP. Staff in the Governance section of the UNDP have been active in capacity building within PORALG and in the provision of technical support for the LGRP, but this has not reflected strongly the experience and lessons from the Mwanza programme. It will be recommended below that a reconfiguration of the roles and responsibilities of the Governance staff within the UNDP, coupled with a redefinition of the role of the Programme Specialist based in Dar Es Salaam could substantially improve the up and down-stream linkages of the Mwanza Programme with national policy processes.

4.5. IMMEDIATE OBJECTIVES

4.5.1. DFR

Since the original Project Document of 1997, a number of variations have been made to the text of the project objectives, while the main thrust has remained unchanged. A revised version of the LFA produced by E. Bauer to UNDF in 2001, the Immediate Objective is quoted as follows:

“The local authorities in the six rural pilot districts of the Mwanza Region secure labour intensive rehabilitation and maintenance of a core feeder road network”.

With a present output of 258 Km DFR rehabilitated in all six districts (refer Sections 1.1 and 2.1.1 above), plus a possible additional 85-95 Km as a result of new funds from NORAD, a total of approximately 350 priority feeder roads of the original scope of 366 Km will be fully rehabilitated within the programme.

The roads already completed are now in a pool of “maintainable” roads funded by the Roads Fund for LB routine or periodic maintenance works.

Thus, in spite of the set back in 2003 as a result of budget cuts, the immediate objective has largely been met.

The same logical framework lists four indicators for the immediate objective:

1. “Districts maintaining the core network within and beyond the lifetime of the project”. Refer table below for annual budget distribution towards DFR maintenance per district

Table 3: Roads Fund Annual Distribution (Mill KSh) for Maintenance

PERIOD	Magu	Geita	Ukerewe	Misungwi	Sengerema	Kwimba
2000-2002	192.14	201.41	182.33	199.81	209.78	195.73
2002-2003	146	160	153	139	142	146
2003-2004	76.15	59.77	69.72	78.05	72.4	69.66
Total	414.29	421.18	405.05	416.86	424.18	411.39

- 2) “Districts rehabilitate roads at good standards beyond the lifetime of the project”

While the annual funding by the Roads Fund towards maintenance decreased during the project period, the mission understood that funding was largely adequate for maintenance of allocated DFRs. As the roads were rehabilitated within a 2 year period, from experience one would expect that the maintenance budget to increase within the next 3 years, to cover an average maintenance cycle of 5-6 years.

- 3) “Increased numbers of people are employed for labour intensive road rehabilitation and maintenance”

The estimated 503,000 worker days created over the first 5 years will decrease over time if the project will move towards less rehabilitation and only maintenance of completed roads. As such, a steady number of priority DFRs should be rehabilitated, firstly to increase the

quality of rural access, secondly to maintain a high level of continued employment, with a balanced work force of maintenance and rehabilitation.

4) "Use of maintained road roads for economic purpose increases."

It was proven to the mission that the roads upgraded and maintained created a positive impact of access to vital services on a district and village level. Such was also proven through the associated access to LDF projects.

4.5.2. LDF

The immediate objectives of the LDF are to improve the provision of small-scale economic and social infrastructure in the six rural districts of the Mwanza region and to establish sustainable capacity at district and community levels to plan, construct or rehabilitate, operate and maintain small-scale rural infrastructure.

The LDF has successfully achieved its first immediate objective of provision of district level small-scale economic and social infrastructure, as evidenced above in the sections dealing with infrastructure output. The planning and decision making processes surrounding the LDF have helped ensure that the infrastructure provided is more accessible to residents.

In comparison to the force account approach of the past, the system of sub-contracting construction work has generally improved provision of infrastructure in terms of cost-effectiveness, quality and timeliness of delivery. The project has still has to complete the project cycle with respect to village and ward level projects. However, if PSU staffing can be stabilised until the end of the programme, the prospects are good that the sub-district projects will also be completed.

As far as the second immediate objective is concerned (i.e. capacity for planning, construction, rehabilitation, operations and maintenance), capacity has been substantially strengthened at the district level and is increasing at the village level. Major strides have been made in terms of capacity building for private sector contractors and for the DMTs in their newly defined roles of enablement rather than intervention within project implementation. The evidence of internal, informal capacity building in the DMTs within some districts is a strong sign of programme success in this area of its work. However, this capacity is uneven as between districts, as are the prospects for sustainability after the closure of the programme.

4.5.3. SGLG upstream activities

The SGLG has substantially succeeded in consolidating activities within the DFR and LDF, but has not realised its aims of upward linkage to national decentralisation policy. Thus, the work within Mwanza, notably with respect to the LDF, is under-appreciated nationally and its replication potential under-exploited. In fact, the SDP has become more isolated from national policy developments since early 2003, weakening its capacity for early and conscious testing of implementation methodologies that flow from national policy.

A consequence of the failure to maintain the links is that the SDP has lost opportunities for strategic positioning relative to the national initiatives, such as the World Bank Local Government Support Programme. The field is still open for a more strategic role for the Mwanza programme, for example in the establishment of a national learning network on decentralised governance, but this could only be fully realised within a reformulated programme.

4.6. IMPACT

4.6.1. DFR

The mission clearly saw the benefits of the project in terms of fulfilling the development objectives of economic development and poverty alleviation.

The rehabilitation of one road section could take 8-10 months, which was an important source of income for the communities outside their own domestic sources from farming or fishing. Local residents were very appreciative of the training and employment opportunities that the project is providing. The mission's visit to the Kasola Village in Geita was just another proof of this when more than 150 residents showed up. In this meeting, the community reported that no employment or sources of income other than agriculture was available before the 12.4 Km Kasola-Bugalama road project started.

This was also the case in most villages which had benefited from road upgrading or rehabilitation projects. This lack of continuous income was also reflected in the villager's desire to work, and also how they had spent the income from the limited period when they had received regular income. (purchase of bicycle, setting up small kiosks, buying school uniforms, etc).

Economic gains from rehabilitation of the roads and commercial infrastructures (fish market and fish landing area) were evident in the increased traffic (e.g. on the Kisesa-Kanyenze road). Bus operators now do three trips daily instead of a single trip previously. Revenue collection by councils, though anticipated, cannot yet be confirmed.

At the village level, economic gains include easier marketing of various individual products (e.g., fish) and establishment or expansion of retail businesses (kiosks and shops). In addition, male pineapple vendors in Geita's Kasota village and neighbouring localities saved energy and resources in marketing their produce due to road rehabilitation of the Kasota-Bugalama road).

Charcoal delivery from Mbarika in Missungwi district, has improved due to the Namahondo-Misasi-Missungwi road rehabilitation. Replacement of bigger buses by smaller commuter buses on the Mwanangwa-Misasi-Busongwa road resulted in faster turn-around pace.

Hiace commuter buses have replaced larger buses on the Misasi-Missungwi-Mwanza route, hence lesser fares for commuters. Reduction in operational costs for commuter buses has also

been observed. However, gains from the improvement of the livestock market have been dampened by the effects of the drought on costs of grains (e.g., rice has risen from 300 to 550 per kilo; and, maize from 450 to 900).

In Kwimba's Sumve-Ngudu road, number of vehicles has increased. Tanganyika, a local transport operator on the Sumve road, has embarked on transporting goods to Mwanza due to better roads. Roads have also increased the use of referral health system with previous old cars operating on the Namahondo-Misasi-Missungwi road. As was observed in Kwimba, rehabilitation has improved access to health facilities. Commuter buses now take 60 minutes to reach Sumve, previous to this they required up to 3 hours. Fares on the route have dropped from 3'000 shillings to 1'200 shillings (a 60% reduction).

In Kwimba district, TASAF replicated the UNCDF approach in engaging female small scale contractors in its projects (Kwimba has trained 2 female contractors). Missungwi used a female contractor to rehabilitate the 7 Km Missungwi-Nguge road. Two other roads by the female contractor were 2 Km on the Ukiliguru road, and 3 Km on the Misasi-Mwasagela road. Vegetation control is an activity where majority of those engaged are women (Missungwi-Nguge road).

Environmental conditions have been improved in some areas as a result of better road conditions, improved drainage facilities and easier access to dwellings. Small scale contracting industry in road maintenance works has been increased in the Mwanza region. A national recognition and acceptance of the LB technology has been established which constitutes a tremendous achievement.

LDF

The development objective of the LDF is to promote economic development and alleviate poverty in rural districts in the Mwanza Region by improving the provision, operations and maintenance of small-scale economic and social infrastructure.

In the absence of base line and current data on the economy and poverty within the districts, quantitative assessment of impact is not possible, and would be difficult even with such data, given the need to isolate the influence of the programme from exogenous variables. Nevertheless, the mission gathered a good deal of information indicating that the impact has been positive both in terms of economic development and aspects of poverty alleviation.

With respect to economic development, LDF projects impacted in both direct and indirect ways. Infrastructure investment, both social and economic, created opportunities for several businesses and generated employment and incomes for a substantial number of households. The mission received fragmentary evidence of this investment generating local income, output and employment multipliers through increased demand for local inputs into construction and increased consumer demand for locally produced or sold commodities. Savings from income generated by employment on the projects was invested in school construction, creating further employment multipliers within local communities.

Investment in economic infrastructure, illustrated by the cattle market in Missungwi, strengthened the economic base of the districts by providing outlets for local production and widening the basis of economic exchange. Markets impel specialisation and enhanced productivity. Some evidence that this is happening was found at the Missungwi cattle market where areas had been demarcated for different categories of goods – grains, cloth, fresh fruit and vegetables, cloth, clothes and cooked food – and where the range of goods on sale had increased following the infrastructure expenditure.

The LDF does not seek to impact on poverty directly, for example in the form of welfare grants. Its impacts work through improved access to basic services, increased employment and growing household income. Training builds the capabilities of individuals to undertake productive work, thereby giving them the means by which poverty can be addressed via enhanced income earning potential.

Participation in decision taking also has impacts on poverty, albeit in indirect ways. The poor are empowered to make decisions about investment that provide them with better access to health, education and other basic services which enhance their economic capacities and their ability to make choices. Although it is not possible to provide a quantitative assessment of LDF impacts, the mission found evidence of improvement in all these areas. Access to basic services, notably in the health and education sectors, had improved directly as a result of the LDF investments. Capacity building and training of contractors enhanced productivity and income earning potential. Improved access to basic services released users to spend more time on productive activities. The longer term benefits of improved access to education and health facilities on productivity are likely to be substantial, but these will only show with time, but the direction of change in this respect was evident.

5. CHAPTER D. CRITICAL ISSUES

5.1. INSTITUTIONALIZATION AND SUSTAINABILITY OF SDP

5.1.1. Policy Environment

Findings

There is an ambivalence with respect to the national policy environment and the sustainability of the SDP. On the one hand, the direction of national decentralisation policy is highly conducive to sustainability of the work of the Mwanza programme, since it clearly supports the adoption of a model of decentralised governance similar to that being tested out in Mwanza. On the other hand, scepticism about area based approaches and the feeling at national level that the Mwanza programme has already benefited from considerable donor support means that no special provision has been made, or is likely to be made, by national government to ensure that the lessons learned are replicated nationally, or that the work of the programme in Mwanza is consolidated and sustained.

The concern of national government lies with decentralisation across the country and not with any one region or set of districts, and the timing of the introduction of the national decentralisation reform process does not match that of the SDP exit. This means that the local actors in the Regional Secretariat and in the district councils may well be left in limbo unless an exit strategy is found that ensures that the work of the programme continues.

Currently, an important policy development at the national level is the World Bank funded Local Government Support Programme (LGSP). The programme design, recently set out in a report¹⁴, aims to develop a series of Grant systems to support the LGRP. These include a Capital Grant Programme and a Capacity Building Grant for LGAs and PO-RALG.¹⁵ Also significant is the current initiative of the European Union to develop a Capacity Building Programme in participatory development for the LGAs.

Such donor interventions are close in conception to the models operating in Mwanza¹⁶. The LGSP intends to provide development funds to local authorities in a manner that “incentivises” local government performance. As suggested by the SDP Regional Technical Advisor in his inception report of 2001, it would have been strategic for the Mwanza

¹⁴ World Bank, Local Government Support Programme: Design of Capital Grants Programme and Capacity Building Programme for Local Governments, December 2003.

¹⁵ The other two areas are: 1. Informal settlement Upgrading Programme, which is a more traditional community based infrastructure programme, and 2. Stabilization and restructuring Grant Programme: providing debt relief to heavily indebted local authorities and assistance to restructuring of council staffing structures

¹⁶ The World Bank formulation team was led by the UNCDF’s ex-Regional Advisor and took into account experience in Mwanza.

Programme to be linked directly to the Capital Grant and Capacity building components of the LGSP, since the World Bank model is likely to be adopted by national government. Such a linkage would have ensured rapid national replication of the successful systems and implementation modalities developed within Mwanza. It could also have provided the basis for a exit strategy for the LDF. In the event, the case for a strategic link to this policy process was not made, and Mwanza districts are not amongst those that have been chosen for the first round of support from the World Bank.

The idea of a “waiting room” has been mooted in the context of the LGRP Common Basket Fund for those districts that have not qualified for the first round. However, this suggestion has little to recommend it in the case of the Mwanza programme, whose rationale lies in piloting decentralisation and transmitting the lessons of practical experience directly into national policy.

Nevertheless, the link between the SGLG and the World Bank funded LGSP remains crucial if the SDP is to serve its purpose of piloting procedures for allocation of capital grants to LGAs. The PSU should follow on an earlier suggestion to establish in this regard a reference group for the preparatory consultancy studies and to promote dialogue and mutual exchanges with PO-RALG.

The UNDP leadership in Dar Es Salaam expressed a strong commitment to the SDP. It holds the view that achievements have been under valued within national circles, largely due to problems of transmitting lessons learned to national decentralisation processes and that the Mwanza programme’s promise as a pilot for the national decentralisation programme has not been fully realised. It is interested in finding partners, including the UNCDF, PORALG and other donors, to support a second, reformulated round of piloting in the districts of Mwanza. It recognises, though, that for a second round programme to succeed, it would need to be focussed much more directly on support to the districts and much more explicitly linked to the national decentralisation process.

The opportunity to position the Mwanza Programme strategically in relation to national decentralisation policy was not taken up due to problems in developing the up-stream linkages to national policy processes. The main problems are twofold: the weak link provided by the Regional Secretariat to PORALG as a means of upstreaming lessons from Mwanza and downstreaming policy developments to Mwanza from national level; and the capacity of the UNCDF in Dar Es Salaam to champion the programme within the national policy process. However, the opportunity has not entirely been lost. In the view of the mission it is still possible to regain much of this lost ground. It would require the following:

Recommendations

1. Strengthening the staff and financial base of the UNCDF office in Dar Es Salaam with a view to strengthening its capacity for strategic intervention in national policy arenas.
2. Building a partnership between the UNCDF governance unit and the UNCDF Programme Specialist to position the Mwanza Programme and its lessons strategically in relation to national policy
3. A focus on gathering together the lessons learned in Mwanza and their publication in clear, accessible and practically usable form for national dissemination. This would include the manuals developed by the SDP, but also the creation of a dedicated website and short pamphlets illustrating best practices.

5.1.2. Institutional issues

PORALG

The linkage of the Mwanza programme to PORALG, as the policy maker and implementing agent of the national decentralisation programme is critical to the success of the SDP as a pilot programme. In practice this linkage was found to be weak. Part of the reason lies in the failure of the RS, as the regional agency directly responsible to PORALG, to ensure this linkage. It also lies, as elaborated above, in the limited operational capacity of the UNCDF office in Dar Es Salaam and its lack of access to resources within the UNDP governance unit.

PORALG itself is severely understaffed, according to information received by the mission. This is not merely a matter of staff numbers, but also its relations with line departments. It is responsible for co-ordinating the implementation of sector programmes at the local level, for example health, education and roads. It has sought to do this by developing expertise in a range of sectors that are the speciality of other ministries, and taking over the implementation of programmes in these sectors at the local level, rather than playing an enabling and co-ordinating role that would leave much of the direct work to the districts and ministries.

This approach has stretched the capacity of staff within the PORALG, slowed implementation of the decentralisation programme and reduced the coherence of policy implementation efforts. Aware of these weaknesses, a consultancy, commissioned by PO/RALG and funded by the CBF, is currently examining the organisational structure and capacity of PO-RALG. It is intended to review the current mandate, structure and staffing of PO-RALG, to make recommendations for appropriate restructuring and to develop a capacity building strategy for the Ministry.

The LGRP

LGRP is a large project team within the organisational structure of PORALG, though it is physically separate from it and operates in practice with a degree of autonomy. The LGRP has been in existence since 1996. Its first concerns, in 1997-98, were to establish (a) the policy framework for decentralisation to local government, (b) the financial framework for

fiscal decentralisation, and (c) the human resource (HR) framework for decentralised personnel management. The regional reforms progressed only sporadically from 1997 to 2002, dependent as they were on supplementary funding and it was only in the latter year that they were embraced explicitly, following the major review of the regional reforms that occurred in that year. In the light of that review, UNDP Dar agreed to fund technical support from UNCDF to strengthen PO-RALG but particularly, to continue with the regional reforms. Missions and good progress was achieved in January and July 2003, notably the formulation of a training manual and training in four regions (including Mwanza) under the guidance of the UNCDF Senior Technical Advisor.¹⁷ Two BTO reports produced by the STR in January and July, stress the need for contextual decisions to be taken on the regional reforms themselves. No such decisions were taken and the BTO report of November 2003, reiterates this need.¹⁸ However, PORALG was unable to obtain the funds for training in the remaining 17 regions. Thus the ground work for the strengthening of the Regional Secretariat in Mwanza had been laid, but was not carried through by PORALG, leaving the RS without the capacity to continue the work started by the PSU.

The regional secretariat

At the level of the Mwanza region, the main bottleneck in the way of achieving the objectives of the SGLG lies in the Regional Secretariat. The recent rationalisation of the RS has left it with diminished capacity and as yet unclear role definition. Efforts by the STA and the PSU to help build this capacity are relatively recent and counterparts to the PSU staff have not, for the main part, been built up.

However, the potential for this is present, as exemplified in the capacity and role of the Regional Planning Officer, seconded to the PSU from the RS. This person accompanied the team throughout the mission and demonstrated an excellent grasp of the work of the SDP and the problems it faces in transmitting lessons to the national level through the RS.

The national initiative to re-define the roles of the Regional Secretariats and to enhance their capacity to undertake these roles has not proved effective within Mwanza, due to a lack of follow through after the work undertaken by the STA, at least as regards the development of counterparts for the PSU. The zonal teams set up to perform this function have not developed close links to the Mwanza programme and have little knowledge of its work, although they were intended to liaise closely with the SDP. Indeed, the Regional Secretariats constitute a weak link in the intended transmission chain to national policy. In practice they have not

¹⁷UNCDF, Back to Office Report 1, Tanzania, 13 to 31 January, 2003, TAS-UNDP Regional Secretariat Strengthening, Ron McGill, Senior Technical Adviser (STA), UNCDF, New York; UNCDF, Back to Office Report – Tanzania, 2 to 28 July, 2003 TAS-UNDP Regional Secretariat Strengthening, Ron McGill, Senior Technical Adviser, UNCDF, New York; The United Republic of Tanzania, Presidents Office, Regional Administration and Local Government, Restructuring Regional Administration, Planning and Management Guide for the Regional Secretariats, Volume 1.

¹⁸ UNCDF, Tanzania – Mwanza Hand-over; Regional Reforms; New Mainland Initiative, 17-21 November 2003, Ron McGill, Senior Technical Advisor, Local Government Unit.

played an effective role in filtering lessons from Mwanza to the PORALG, or in keeping the Mwanza programme informed of national policy developments. This is an area for attention in the remaining months of the programme, as suggested in the recommendations below.

Recommendations

The strengthened UNCDF/UNDP capacity within Dar Es Salaam, recommended above, should be used to perform the following:

1. develop an action plan to reposition the Mwanza programme within the national decentralisation process,
2. establish a presence within key policy dialogue forms, notably the LGRP Common Basket Fund and within PORALG policy development forums,
3. lobby for the work already begun by the UNCDF STA to build the capacity of the Regional Secretariats in Tanzania (including in Mwanza) to be taken up and continued,
4. use the information generated about best practice within Mwanza to raise the profile of the SDP and influence policy making on implementation of the local government reforms,
5. develop and vigorously argue the case for the role of area-based pilot programmes that are explicitly linked to the that national policy programme,
6. assist in the development of a national learning vertical and horizontal learning network that draws continuously on the experience of Mwanza and other area based programmes.

5.1.3. Sustainability of financing

Findings

The issue of financial sustainability is a complex one, involving not only the local revenue base of the councils, but also the financial capacities of national government and donors. Currently, the district councils are far from being financially self-sustaining, contributing a mere 10% to the revenue base. Clearly, raising this percentage is an important pre-requisite for local financial sustainability. The ability to do this depends not only on improved tax collection, but also, more importantly, on building the economic base of the districts. In this context, the mechanisms of funding allocation prioritized by national government and donors -and their consistency with local development priorities, are important factors to weigh in assessing the financial sustainability of the districts.

National government, through the work of PORALG interacting with the National Treasury and with the support of the World Bank, is in the process of designing systems of financial budgetary allocation for the districts. To some degree, these systems draw on the Mwanza experience as far as the allocation system is concerned. However, it appears as if it will take

some time before they are in place, except in those districts that have been chosen for the first round of the World Bank support programme.

Recommendations

In order to pursue the work of the Mwanza programme beyond 2004, it will be necessary to search support from the donor community. Strong interest has already been expressed by NORAD in continuing the work on the basis of a reformulated programme and by the UNDP leadership in Dar Es Salaam.

It is recommended that the UNCDF supports a programme reformulation based on the following changes:

1. the districts become the main locus of programme support,
2. there is closer alignment of the activities with national decentralisation programme,
3. programme activities focus more explicitly on building the economic and tax bases of the districts,
4. resources are provided to build the national presence of the programme as testing ground for implementation national policy.

5.1.4. Replicability

The potential for replicability of the models developed in Mwanza remains very high. Already the labour based methods for road rehabilitation used in the region have been adopted by the Department of Works and Road Fund for application elsewhere in the country. The systems of private sector sub-contracting devised by the programme have started to be applied outside the framework of the DFR and the LDF within the Mwanza district, and other districts in the country are showing interest in these systems.

The planning and financing systems within the LDF are also potentially replicable elsewhere, though they have not as yet had the same national exposure. In particular, the systems relating to financial allocations based on the IPF are highly relevant to national efforts to devise allocation mechanisms for capital budgets for district councils. This applies both to district and sub-district level allocations. Similarly the minimum conditions for funds allocation, both for districts and sub-district planning entities, have potential applicability in other districts in the country.

However, replicability will require strengthening of the RS functions of monitoring and evaluation and lesson transmission to national level and more strategic positioning of the SGLG within national policy processes through the offices of the UNCDF and UNDP in Dar Es Salaam.

Recommendations

Realising the full potential for replicability of systems developed in Mwanza requires strengthening of its national profile, spreading of knowledge about Mwanza and absorption

of its best practices into national policy thinking and implementation elsewhere. To do this, two areas of work need to be pursued in the shorter and longer term:

1. Strengthening the role of the Regional Secretariat as the local arm of the PORALG, notably its M&E functions and developing its capacity to transmit learning to the national ministry. (See recommendation 3 above under the section dealing with PORALG and the strengthening of the Regional Secretariats)
2. Strengthening the capacity of the UNCDF in Dar Es Salaam to place the Mwanza programme strategically within national policy, transmit its lessons and to make the case for a continuing pilot role linked more explicitly and practically to the national decentralisation programme.

5.1.5. Operational Capacity

DFR

The selection criteria and priority ranking was made clear from the August 2000 Stakeholder Report. It is recommended that future projects could review the present process to optimize the combination of technical methodology with the budget as well as appropriately serving the real needs at the District and village level to provide full, rather than partial access. Advantage should be taken of national expertise and ongoing LBT programmes in other regions implemented by other bodies, and Mwanza should be allowed to share their experiences on a broader basis.

LDF

Provision has not been made by national government to take over and manage the LDF dimensions of the SDP and it is unlikely that it can be persuaded to do this outside of its general plans for districts. The PSU has begun capacity building and training of counterparts in the Regional Secretariat to ensure that they are in a position to take over at the end of the programme. However, at the time of the mission, this work had not progressed far and the RS is not in a position to effectively take over the work of the PSU. An exception is the programme co-ordinator, who was seconded from the RS and has the capacity to effectively continue the work, but not without support from other counterparts. The Regional Planner who has recently been seconded to the SDP is also well placed to continue the work of the PSU, but not without other counterparts effectively playing their role.

The capacity for technical supervision, financial management and staff management of council officials involved in the LDF projects varies between the districts. In Geita and Kwimba it is reasonably strong. In Missungwi and Sengerema it is weaker. This applies both to the capacity to oversee new capital works and to ensure effective post-construction operations and maintenance. With respect to construction, the contracting out of works has been effectively entrenched and is working well, especially in Geita and Kwimba. Operations and maintenance work on schools, health facilities, the markets, fish landing sites and administrative buildings and is not as onerous as for the roads sector. However it is complicated by the division of labour between the line ministries responsible, the districts and, in the case of village level projects, the local communities.

Our assessment is that this work can be effectively performed by the districts with their national and local level partners, but that a clear division of responsibilities both in terms of financial provision and in terms of the carrying out of maintenance tasks should be established and adhered to.

Village level capacity for operations and maintenance was less easy to assess. It appears that the structures are in place to ensure this and that the capacity can be mobilised by the VPMCs, especially where the infrastructure is such as to serve mainly the interests of local

villagers. For both village and district level infrastructure projects, effective systems of monitoring and reporting operations and maintenance problems need to be established to ensure timely response.

The motivation and availability of staff is uneven between districts with Geita and Kwimba being better endowed than Sengerema and Missungwi. Staff motivation, as reflected in the DMTs, seems high. However, staff turnover is a permanent threat to the effectiveness of the DMTs, with capable people who have benefited from the programme's capacity building and training efforts being well placed to move on to better paid positions. Some of the districts of Mwanza are remote from the Mwanza town and Mwanza region itself is seen as remote from the main centre in Dar Es Salaam. It thus requires a combination of rewards and commitment for productive staff if they are to be persuaded to stay. The DEDs are appointed directly by the Minister in PORALG. While the mission was impressed with the quality of understanding and commitment of the DEDs in Geita and Kwimba, it appears that in other districts in Mwanza those occupying these positions have not fully understood the aims of the SDF and may not be strongly motivated to carry this work forward. Since this impacts on staff morale and performance within the DMTs as a whole, it is important that these positions are filled by good managers with a sound knowledge of the technical and governance issues.

With respect to private sector contractors, there was strong evidence that the SDP had been able to effectively build local capacity for quality delivery of infrastructure. Project management, including works and finances, has been greatly enhanced and a pool of contractors has been built up to respond to future contracts. However, it is by no means clear that this capacity will remain within the region. The most effective private contractors are likely to look outside for work, especially if public sector investment declines with the closure of the SDP.

The mission's assessment of the quality and efficiency of technical assistance provided by the UNCDF at the regional level has been satisfactory. There has been a significant transfer of skills to national members of the PSU and, through the PSU, to the DMTs. The PSU has been less effective though in skills transfer to the RS. The main reason for this is that the work begun by the UNCDF STA has not been carried through by PORALG. (See section on PORALG above). Ideally, PORALG would undertake this work. However, the short time frame means that this is an area in which the PSU needs to focus over the remaining months of the programme.

The Programme Specialist based in Dar Es Salaam has played a key role in connecting the SDP to national policy processes and to the UNCDF in New York. His role was complemented by that of the Regional Technical Advisor during the two years in which the latter position was occupied. However, with the departure of the RTA in early 2003, the Programme Specialist has, in effect, been obliged to take on aspects of its role, without the necessary administrative support or role re-definition that this requires. Provided with the necessary support, the Regional Specialist will be in a much stronger position to play the role of positioning the Mwanza programme strategically at the national level.

Cross-cutting issues

Consistent changes can only be tenable if procedures and systems for institutionalising gender and other cross cutting issues are formally installed at each step in the project or programme. Short of this, people's attitudes and resistance shall remain as perpetual stumbling blocks.

Factors that prevent gender mainstreaming at the UNDP Country Office and UNDP supported projects or programmes include, the absence of programme officers directly in charge of this function, and, unavailability of resources specifically targeted at promoting or effecting gender mainstreaming; original project designs not link mainstreaming to either the Beijing Platform for Action, the UNDP GAD policy nor Tanzania's areas of commitment as regards the Platform for Action; and, inadequate resources allocated for such a task.

Recommendations

In order to ensure that the work of the SDP is sustained beyond the end of the programme, the PSU will need to focus attention on capacity building aimed at staff within the Regional Secretariat and the DMTs. It is important that this is done in a manner that accords with the role for these two levels of government as set out in national policy. Currently the PSU has played a major role in managing programme finances. This is a task that should not be handed to the RS, but rather built up more effectively within the councils, with the RS playing only an oversight and auditing role.

Similarly, project management is a function of the districts and should not be a focus of capacity building within the RS. However, the RS has an important role to play in terms of setting up and maintaining M&E systems and should be empowered to do this through its planning units, working with the districts to ensure compatibility, or at least complementarity, of indicators at project, district and regional level.

5.1.6. Gender issues in the SDP

Findings

Incorporation of the Gender Focal Point (GFP) witnessed an increased flurry of activities in gender mainstreaming (gender training of a selection of district staff, formulation of gender policy, gender analysis in selected districts, creation of gender core teams, designing of gender planning manuals, etc), as well as diversification into other cross cutting issues (mainly HIV/AIDS, and rights based human development subjects).

However, poverty reduction was not directly treated as a cross cutting issue in practice. Discussions held with the Gender UNV revealed several critical issues. On the onset, the definition of poverty was deemed as too narrow, focusing mostly on income poverty rather

than a broader focus that covers other aspects of poverty (e.g., self esteem, confidence and control over reproductive health, etc).

Similarly, focus on engendering was more at the district level and village actors, rather than at household level (it was argued that this makes measurement of changes more difficult). A closer focus at the household level would have enabled checking the extent to which men and women have adjusted their gender relations in decision taking and distribution of household resources. Monitoring of changes in gender relations was seen as difficult because there were no effective pre-determined gender indicators and the monitoring system was not operational.

Resources for effecting interventions on gender mainstreaming need be abundant if concrete changes are to be registered. The past two and half years have seen the employment of a UNV Gender Focal Point at the PSU. The focal point was insufficiently empowered with information or formally recognized in the SDP project structure and design. UNCDF seemed to require an adequate framework on how to implement gender aspects. This obligation was surrendered to the whims of the Gender Focal Point at PSU. Nevertheless, the GFP was a welcome sight to other gender practitioners in the districts. Gender Focal Points in the districts are not immune frequent changes or transfers, a fact that decreases continuity. Insufficient sensitisation of District Executive Directors was pointed as one major snag in the mainstreaming equation. Their low knowledge in gender analysis limited the pace in changes.

All the same, achievements in gender mainstreaming have been substantial. Creation of the Gender Core Group enabled cross exchange of ideas and better coordination of gender mainstreaming activities. Gender analysis has been done in all sectors at district level. The analysis enabled the creation of a common Gender Policy for the SDP districts. The analysis looked into gender related problems prevailing in the districts and designed solutions thereof. Geita, Sengerema, Missungwi and Magu were mentioned as the most impressive districts as concerns gender mainstreaming, in that order. Nevertheless, the analysis was mainly based on LDF activities and less so towards DFR activities. This was mainly due to the fact that the UNV had better access to the LDF component. Additional successes by the GFP include: creation of Training Manual for Gender Core Teams; HIV/AIDS Manual; Gender Planning Manual; Situation Analysis Report; and, District Gender Policy document.

Analysis has also been done on NGOs working with gender and women in Mwanza region. The analysis looked at what they are doing, and what gaps exist. The analysis report (titled: The Gender Situation Analysis Report of Organisations Working with the UNDP/UNCDF Support to Decentralisation Programme in Mwanza Region), looked at PAID (Poverty Alleviation Initiative Development), MWADA (Mwanza Development Association), KIVulini (a Women Lawyers NGO for assisting women in legal matters), PRSDP, and TANESA (Tanzania Netherlands Support on AIDS, started in 1993 and supports the development and implementation of appropriate and effective methods for the reduction of HIV transmission to assess consequences of the HIV/AIDS).

The UNV was also responsible for mainstreaming of HIV/AIDS. This component was less operationalised in the districts compared to gender. TANESA was the NGO engaged in this field. But their current approach was seen to miss a strong gender analysis on behaviour factors that fostered gender disparities in HIV/AIDS. The reason was mainly lack of funds.

One main strength of the SGLG was the continued flexibility to put efforts in addressing cross-cutting issues (through various interventions such as training, team building, and awareness-raising at grassroots level). However, gender mainstreaming, as well as poverty reduction, HIV/AIDS and environmental aspects, have had weak linkage to national policies. The anomaly though slightly based in the original design, has been compounded by the desire to establish anew a gender and cross cutting issues package from scratch.

The programme seems comparatively strong in gender awareness raising, gender activities, and, in creation of gendered objectives. Use of gender specialists, creation of linkages to national policies are additional strengths. None gendered outputs and absence of gender indicators, were the most common weakness in projects within this theme. In general, the common weaknesses within projects that were least successful in gender mainstreaming or in women empowerment in UNDP supported projects, is the lack of gendered outputs, absence of training for women, inadequate level of awareness raising, and, the absence of gender indicators.

Recommendations

1. Notwithstanding the considerable successes in mainstreaming women in planning at the village level, further resources and effort should be applied to this objective.
2. Participation of women in planning should be seen both as an end (empowerment) and as a means to an end (improved service delivery reflecting the needs of women and families).
3. In the absence of a gender specialist on the PSU, attaining these goals during the final months of the programme will require a focus on building the capacities of the gender core groups in the districts and ensuring that they play a central role within project implementation processes.

5.1.7. Partnerships and the co-ordination role of the project

The main anticipated partners for the SDP were national and regional government, NGOs operating in the region, the private sector and community based organisations. Relations with national government, especially PORALG, the Regional Secretariat and the districts form the substance of the assessment above. Here the focus is on NGOs, the private sector and other donors operating in the region.

While the private sector has been extensively involved in the implementation of the DFR and LDF, this has not taken the form of a partnership between organised business and the PSU. In practice, the PSU has related to individual contractors as a trainer and capacity builder, rather

than as a partner. The exception to this was the work done by the PSU with the engineering and architectural associations over the development of standard contracts and fees appropriate to these professional groups. Building a relationship with business associations operative in the region would have created a wider basis for private sector involvement. This, we recommend, is an area of focus for a reformulated further phase.

The formation of partnerships with NGOs and CBOs operating in Mwanza was an important dimension of partnership anticipated in the programme design. However, this has not materialised to the degree hoped for. Tenders put out for work in the areas of gender and participatory planning were put out by the PSU and several NGOs responded, but it appears that the quality of the bids was inadequate to contract them.

The mission made enquiries about the existence of Community Based Organisations (CBOs) in the region. A number of these are operating out of Mwanza town, but their presence in the district is weak. Internationally, the existence of strong, independent, civil society organisations has been found to be a pre-condition for decentralisation programmes that benefit the poor. These can play an important role in mobilising civil society and in pressing for the interests of specific sectors and interest groups, such as women, marginal groups, those with HIV/AIDs and their supporters. However, their impact depends to a considerable degree on their relations to the ruling political party. Where this is supportive, they are able to play a major role; where this is conflictual, political parties often seek to marginalise them in favour of councillors as democratic representatives.

Partnership may also exist between donors. Although links exist already between the Mwanza Programme and other donors' programmes such as the Dutch funded District Development Project (some training activities have been conducted jointly), there is an opportunity to promote more synergy between the two programmes in their implementation and in the sharing of experiences.

Recommendations

1. There is clearly scope for an increased focus on building partnerships between the SDP, business organisations, NGOs and CBOs, and indeed, for capacity building for such organisations. However, this should be a focus for a reformulated programme rather than for the remaining months of the existing one, given the limitations of time and resources facing the PSU.
2. A second area that merits effort during the remainder of the programme is to assist districts to bring together the range of development agencies working within their boundaries to increase collaboration around attainment of district planning and budgeting objectives. The forum could also be used to present the lessons learned from the SDP and to debate the importance of its approach to more coherent development planning within the districts.

This is an initiative that will probably only bear fruit over the longer term – beyond the time frame of the SDP, but is nevertheless important enough to initiate within the framework of the current programme.

5.1.8. Externalities/Spillovers

The mission found little in the way of negative externalities arising out the LDF or DFR projects. In Sengerema, residents had to be expropriated for the dispensary to be built, but land was found nearby which left them substantially in the same position as previously in terms of access to public and private services in the town. A room temporarily vacant at the dispensary was being used as a storage and distribution point for food parcels for destitute women who qualified for national handouts. The mission learned that this was a temporary arrangement, but the close juxtaposition of health services and food distribution was clearly of help to the women concerned. In contrast, a negative environmental externality of the maternity ward build in Geita was the build up of medical waste on the grounds at the back of the ward. This has not reached serious proportions, but requires attention.

The work provided by the LDF and DFR projects has had a direct impact on the household incomes of those who gained employment. In addition, the mission received anecdotal evidence of significant multiplier effects of this investment, some social and some private. Respondents in one village reported how sales of basics in a local shop had increased. In another, part of the income generated from the work on road rehabilitation had been set aside to add on a class room to the village school.

The investment in the cattle market in Missungwi led to a 20% increase in levies extracted from users of the market. This was partially due to better collection, but also to increased use of the market by buyers and sellers. It was reported to the mission that the market has a catchment area that goes well beyond the district boundaries and that buyers and sellers were being attracted from further afield, so much so that the need for road and bridge maintenance of district roads had increased – a negative externality arising out of the increased use of trucks to transport cattle to the regional centre. The perimeter fencing and toilet facilities at the market had greatly improved environmental conditions, especially for women vendors. The improved access control to the market as well as the more orderly arrangement of areas within the market had increased security, an improvement especially appreciated by women users. Finally, the improved market infrastructure and control system had enabled the removal of stalls along the road within the village surrounding the market, thereby enhancing the environment. It appears that this did not impact negatively on the street vendors as they were given places within the market. It was also reported that the increased control enhanced within the village had lowered the rate of spread of HIV/AIDS, as overnight visits by market users coming from afar had been reduced and less opportunities were provided for casual sex under the new market arrangements.

Road rehabilitation has also created substantial positive externalities. Amongst these are the decline in soil erosion and improvement in water quality in areas along the roads. Anecdotal evidence was received from local road users that road improvement had substantially lowered

the costs of transport and the time taken. The mission witnessed several breakdowns of heavily loaded trucks transporting farm produce to local and regional markets. These were on roads that have not been rehabilitated or maintained, which were in a serious state of decline, in some cases nearly impassable. Residents in villages enhanced sales of local produce due to improved accessibility to local town markets and clearly this would have entailed lowered prices for goods bought from retailers in town. Though unable to quantify these impacts, the team gained the impression that the economic infrastructure provided by both the LDF and DFR have had considerable positive economic externalities and that a more integrated approach to economic infrastructure provision would further enhance these impacts.

5.1.9. Other critical issues

O&OD

The mission was confronted with conflicting opinions on the question of the participatory planning methodologies suited to local development planning in Mwanza and in Tanzania more generally. Central government has taken a policy decision to require the use of a version of the O&OD developed within the country. Detractors argue that this version is too time consuming and costly to be sustained. In two BTO reports, UNCDF STA points out that the original concept of the O&OD concept was to provide a short, sharp community start to a local and regional planning and budgeting process, to feed into the national policy, planning and budgeting framework. He argues that there is a serious danger inherent in government “veering away from the original intention (in 1997) – for O&OD to be an integral part of a community-driven planning and budgeting cycle, in the context of national policy and budget guidelines”. The VPE, a cut down version of the O&OD, developed in Mwanza appears to meet these objectives. However, detractors of the Mwanza variant argue that it overly limits the scope of expression of participants by providing parameters for needs identification. It would assist the debate if there were closer analysis and documentation of the different experiences with the O&OD methodology in Mwanza and elsewhere and if the methodology could be tried out over more than one full annual cycle of the planning process. It should also be stressed that participatory planning is an area of rapid progress, with new and more effective techniques being developed in different settings. While adhering to the broad principles of the O&OD, it would be essential to foster openness to innovation in this field.

Recommendation

1. The experience of the VPE should be carefully documented and compared with the officially sanctioned national variant, on grounds of cost, time taken and quality of planning outcomes.
2. The lessons learned and implications for the sustainability of the national variant should be taken up and discussed with PORALG directly and within the CBF as part of the lesson sharing and advocacy programme for positioning the Mwanza programme recommended in earlier sections above.

3. The Mwanza variant of the O&OD should, ideally, be taken through one or preferably more full annual planning cycles and the experience analysed and documented (adoption of this recommendation will depend on whether or not a second round programme is adopted – see section below on this possibility)

Partnerships between UNCDF/UNDP & PORALG

For the longer term future of the activities initiated by the programme, much depends on whether or not a partnership can be created between the UNCDF, UNDP, one or more donors & PORALG over a reformulated programme serving national decentralisation policy. The pre-condition for this is support for such an idea from the UNCDF and the UNDP, both internationally and within Tanzania.

In the mission's view, there are good grounds for this both in terms of the unrealised potential from experience within Mwanza, the existing capacity for further testing of implementation approaches in the districts and region and because there is strong interest in this from the UNDP and NORAD. Elements of a case for a reformulated programme are provided below in the section dealing with conclusions and key recommendations.

6. CHAPTER E. CONCLUSIONS AND KEY RECOMMENDATIONS

In formulating recommendations, account must be taken of the limited time frame and donor resources left to the programme, and what is most important during these two phases, so that the resources available to the programme can be deployed in the most effective way.

The work of the SDP falls into two remaining phases. Between March and September 2004, the PSU has the staff and financial resources to continue with the core work of the programme. This is also a period in which functions of the PSU will have to be steadily handed over to counterparts in the Regional Secretariat. The end of September sees the termination of all PSU posts, with the exception of that of Programme Coordinator, whose contract continues until the end of December.

In addition, consideration is given below to the case for a new, reformulated programme in Mwanza. Team members have drawn up a list of recommendations to improve performance within the districts. These are intended to guide local actors in pursuing the aims of the programme after its termination and to assist with the possible programme reformulation suggested below.

6.1. RECOMMENDATIONS FOR WORK COMPLETION

6.1.1. SDP (DFR and LDF together)

Refocus workplan

The current workplans for the DFR and LDF set out the full range of outputs and activities of the programme for completion between January and December 2004. Amongst these, it identifies activities that cannot be undertaken due to loss of staff and/or lack of funding. However, it does not reflect a clear strategy for work prioritisation given the remaining finances and staff.

It is recommended that the workplans be reviewed and reformulated according to the following priorities:

- the need to complete remaining commitments for physical and institutional development to consolidate the SDP;
- to focus capacity building for the DMTs and RS to ensure orderly and effective hand over of activities; and
- to extract, document, publish and effectively disseminate lessons learned.

6.1.2. Integrate DFR and LDF activities

The DFR and LDF were conceived and executed as separate projects, notwithstanding their shared management structure. Scope exists within the remaining time to test more integrated approaches, starting with the potential for connecting investment in road rehabilitation, social and other economic infrastructure. The PSU has begun this work and should be encouraged to continue in this direction for remaining projects, introducing integration as a further criteria, but not condition, for project selection.

Provide capacity building and training for the Regional Secretariat

This is one of the objectives of the SGLG that has not been pursued until relatively recently. Certain of the functions of the PSU, such as its advisory role, ensuring the application of national policy and monitoring and evaluation at the regional level will be taken over by the RS and its capacity to perform these functions should be assured by end of the SDP.

The approach to this task should be to provide on-the-job training for the Regional Secretariat through the involvement of PSU core team counterparts in the finalisation of the work. This requires close working together between the PSU office bearers and RS counterparts during the period March to September.

Strengthening of the role of the Regional Secretariat as a means of transmitting lessons learned

Part of the work of capacity building set out in the recommendation above (1.1.3) should involve a deliberate effort to build the capacity of the Regional Secretariat to act as a means of transmission of information and lessons between the region and PORALG and between PORALG and the Programme.

Convene regional forum for donor/government/NGO to promote district development planning

The activities of donors have major impacts on the capital accounts of the districts, which makes it difficult for the district councils to plan in a coherent manner and to manage operations and maintenance. In addition to the national initiatives to overcome these problems through the Common Basket Fund, it is important to obtain greater coordination of donor activities and integrate them within the planning processes of the districts.

The creation of a donor/district forum would be an important step in this direction. This would also provide a valuable means of publicising the work of the SDP and lessons learned.

Undertake programme closure exercises at districts

It is important that the programme terminates on a high note within the districts. It is recommended that the PSU organises programme completion meetings. These should be used to reflect on the achievements and failings of the programme and the lessons learned. They

should promote self reflection on the principles of the SDP. They should also discuss the exit strategy of the PSU, the hand over of functions, national policy developments and the possibilities for programme reformulation for a new phase.

Assemble, publish and disseminate lessons learned

It is recommended that the SDP sets aside staff and financial resources for the gathering of and dissemination of lessons learned over the period of the programme. Various formats are possible for this, including the production of short, practically oriented pamphlets with guides to the relevant manuals produced by the programme. This task could be combined with that of introduction of a simplified M & E system to reduce costs and time on this area of work. In collaboration with the national UNCDF and UNDP office bearers, disseminate these lessons through local workshops at district, regional and national level.

6.1.3. DFR specific recommendations

Assess DROMAS

It is suggested that an assessment of DROMAS should be launched to provide a specific and objective understanding of the system and to ascertain how it can be used effectively at site supervisory level, baring in mind that these rely on manual records of a well tested format. It would help the district prepare faster and more concise quarterly progress reports, which in turn would enable timely allocation of road funds. Lessons learned from users of DROMAS should be shared, and any amendments which surface as a result should be tested and implemented.

Update Labour Based Technology documents

The mission recommends that the following steps be taken:

1. Update the documents to interface with the final version of the accepted maintenance and reporting system.
2. Revise to a more user friendly format, both at site and management level.
3. Incorporate amendments which have been introduced as a result of experiences on other projects
4. Obtain approval of the final version from Central Tender Board, both for maintenance and rehabilitation documents on a national level.
5. Keep the system “open”; i.e. where the user has free access to modify the system, as required.

Road selection methodology

The mission recommends that the DFR prioritization process be revisited in order to provide a more realistic and updated scope of works (technically, financially and socio-economically) that will serve the districts equally. This selection process will most likely be an optimum combination of full rehabilitation (including drifts, culverts etc. where required) and basic

spot improvement. It is suggested that selection of roads based on sound technical and economical criteria would avoid the phenomenon of “hanging roads” (sections of rehabilitated road in the middle of un-rehabilitated roads).

Working with the Road Fund

It is recommended that the communication between the districts and the Road Fund be intensified beyond the present quarterly meetings, through a more frequent dialogue of progress, as well as written expressions of interest and concerns by the districts. It will also open an opportunity for larger and more frequent payments. Districts should ensure that Road Fund budgets are used as intended to avoid penalties being imposed on them.

Co-operation and co-ordination

The involvement of the private sector has necessitated a stronger partnership with national regulatory bodies. The December 2003 Stakeholders workshop brought all these actors together, and resulted in a number of recommendations with regard to execution of construction projects. Further dialogue/reflection and upstreaming with these institutions is necessary to facilitate the work in the districts. In addition, it is suggested that Mwanza be developed into a Resource/Laboratory Area in knowledge and practice of LBT, supported by national institutions.

Training

It is recommended that a thorough review of the present contract documents and procedures (and related training) be completed, with the objectives of technical application based on experience gained, how effective and user friendly cross references can be made to DROMAS and/or modifications of such. An approved set of procedures should be made available by the Central Tender Board for documents to be used nationally, in line with PORALG’s recommendation of December 2003¹⁹, and also in compliance with the Public Procurement Act of 2001. This will require a number of relatively short inputs by experts in this field to work with the PSU District Engineers and the private sector in 2004.

“Taking the Use of Labour Based Technology to Scale”

The Ministry of Works and PO-RALG, in collaboration with development partners and other stakeholders including the private sector, have joined hands towards promoting, maximizing and mainstreaming the use of LBT to contribute to poverty reduction. A Labour Based Technology Unit (LBTU) will be established to coordinate the programme activities. The Appropriate Technology Training Institute (ATTI) will be transformed to provide capacity. In such a context, it is seen as very important for the key players in the private and public sector of the Mwanza region who have participated in planning and implementing the LBT programme to become an integral part of the institutions created.

¹⁹ “Taking the use of Labour Based Technology to Scale”

6.1.4. LDF specific recommendations

Gather and assess information on efficiency and effectiveness of district infrastructure project delivery and draw lessons learning

The information needed includes quantities and costs of inputs, including labour (men and women), equipment and raw materials, outputs measured, for example, in terms of square metres of buildings of different types (class rooms, dispensaries, markets, administrative centres). Comparable information on costs associated with public sector construction under the force account system and within the open building market would be useful as a basis for comparison. This information is not readily available from the PSU, much of it being kept within the records of private sector contractors. It is difficult to make assessments as to the cost effectiveness of construction and hence to monitor and evaluate performance without such information.

Further test and document local planning

The Programme is currently involved in extensive formulation and testing of participatory planning methods, project management, operations and maintenance through the full project cycle. This work should be completed, assessed, documented and published. Attention should be given to comparison and documentation of the application of the O&OD and VPE methodologies. The lessons learned should be discussed within the CBF and with PORALG.

Strengthen the incentive-based allocation system to districts and sub-districts and introduce a penalties system

The incentive-based system for the allocation of funds has proved an effective mechanism for improving the performance of districts and is currently being applied at the village and ward level. However, its full potential has not been realised due to reluctance to apply the system rigorously. Rewards for above standard performance need to be coupled with penalties for below standard performance. These should, however, take into account the differences in the inherited endowment of areas, including capacity to meet standards. What is important is measurable progress rather than an absolute level of performance.

Strengthen systems of accountability between LGAs and from the district level to the PSU (and the Regional Secretariat)

The focus of the PSU's work has been on accountability systems relating to the use of the LDF. Less attention has been given to the issue of accountability of councillors to their ward and village level constituencies around use of the LDF. This would involve more conscious emphasis on the linkage between participatory decision taking, improved council investment decisions and more appropriate and accessible public infrastructure and services. The inclusion of both direct and representative democratic means for decision making about public sector investment is a distinctive feature of the LDF and needs to have its implications assessed.

Sensitise actors at the regional, district and sub-district level of the rationale, principles and aims of the LDF

While the mission found clear evidence that the aims of the SDP programme are being known within the districts, there was a surprising lack of self reflection by DMT officials and ward councillors on the nature of change that had occurred as a result of the LDF. What this requires is increased self reflection and evaluation of lessons (what may be termed reflexive learning) on the part of the beneficiaries. Sensitising local actors on the rationale, principles and aims of the LDF and encouraging reflexive learning would help create local learning centres and entrench the systems and procedures introduced by the SDP. (This could be done as part of a systematic closure exercise, recommended in 1.1.3 above)

Simplify and apply the M & E system

The monitoring and evaluation systems designed for the programme have not been adopted, partly due to their complexity and inappropriateness. This weakens the ability of the PSU to monitor its own progress and to make the necessary adjustments. It is recommended that the M & E systems designed for the programme are simplified and applied. This should be done in a pragmatic manner enabling the PSU to focus its work for the remainder of the programme and to enable the districts to set in place systems that ensure effective monitoring and evaluation of activities over time. The linkages between the MIS and the M&E system should be made explicit and their role and merits compared.

6.1.5. Cross cutting recommendations

Use employment as a means of empowerment

Presently, employment of women is linked only to take-home pay rather than the other aspects like economic and social empowerment. Obscuring social cultural dimensions achieved through empowering women economically belittles the necessity of employment to women. Poverty alleviation achieves more sustainable and superior gains when women are empowered to earning incomes. Employment of women therefore should be treated as a poverty eradication goal as well as a social cultural transformation objective.

Widen the basis of investment

Existing analysis on immediate gains accruing from employment of women on road sites dwells on income earning. Potential intermediate gains such as extended investments into intermediary means of transportation, for example to tri-cycles, push or pull carts, or non-transport investments like small pedal or hand powered milling machines, and other appropriate technology equipment, etc., are absent. Extension support into such directions should be considered.

Establish and apply criteria for gender and class representation

Considering that poverty, sex, class, education, cultural norms, values, and other factors invariably limit empowerment of selective community groups, targeted participation (explicitly identifying and quantifying representation), should henceforth be an end and a means for reversing such anomalies, and empowering the disempowered. Participation should resolutely target specific beneficiary groups (women, youth, destitute households, and other marginalized groups) from among disempowered community members.

Widen the basis of capacity building

At present most capacity building centres on leaders and other representatives in more formalized official structures. Support is essential in enabling more village residents gain knowledge and skills in how to manage consultative processes

Provide entrepreneurial training for community beneficiaries

It is suggested that consideration be given to creation of training packages on entrepreneurial skills and management, marketing skills and loan management to be expedited to community members who get employment or become direct beneficiaries of SDP supported activities.

Review the minimum conditions to take into account poverty indicators

Poor communities deprived of basic services and facilities are usually not best placed to effect resource founded contributions. The 20% pegged contribution by villagers for implementation of village based interventions should be applied with selective flexibility. Contributions, whether labour, materials, cash or knowledge, should be decided after executing a wealth ranking exercise to map the ability of different households in meeting the range of contribution requirements.

Further assess and document experiences with the VPE with the O&OD

Further documentation of the relative merits of the O&OD and VPE should be undertaken to enable assessment of the merits and demerits of the two systems for the specific needs of planning with non-sector specific budgets in the short (one year) and longer term (2 years and above)

Introduce a compound manual of cross-cutting issues

It is suggested that a compounded manual that consists of all cross cutting issues (e.g., participation, gender, HIV/AIDS, poverty and environment) be put together on the basis of the DFR and LDF experiences. The manual should be in three parts each targeting a specific category of stakeholders (e.g., leaders, community groups, and residents). The materials should have generic content and specific district based examples or cases.

Establish gender profiles in each district

Establishment of gender profiles on each district is an inevitable step which will imbue the project with baseline information for measuring changes in socio-economic conditions. The profile should address the widest range of gender disaggregated data such as: demographics;

ages; marital status; education; occupations; income generation; employment; access to basic services and goods – water, health, energy, transport, credit, tools, technology; division of labour; extensions services; immediate socio-economic concerns; cross cutting issues; and obstacles to access and control.

Train the core teams as trainers

Retraining the regional and district core teams into becoming trainers of cross cutting issues is essential. Continuity of team members should be a core concern, with membership reviewed to include village based representatives who are likely to remain more permanent in the areas.

6.1.6. Upstream recommendations

Strengthen the lesson sharing role of the Common Basket Fund

The UNCDF, working with the UNDP, should seek to strengthen the role of the Common Basket Fund in gathering lessons from area based initiatives in Tanzania, and their use in the formulation of national decentralisation policy and practice. This could take the form of a sub-committee tasked and funded to carry out this process. Consideration should be given to establishment of a website on which lessons learned from all area based programmes in Tanzania could be shared both with national government and laterally between regions and districts.

Strengthen the UNCDF Tanzanian Office

Strengthening the staff and financial base of the UNCDF office in Dar Es Salaam with a view to strengthening its capacity for strategic intervention in national policy arenas.

Build the UNCDF/UNDP partnership

Build a partnership between the UNCDF governance unit and the UNCDF Programme Specialist to position the Mwanza Programme and its lessons strategically in relation to national policy.

Reposition and profile the Mwanza Programme nationally

The strengthened UNCDF/UNDP capacity within Dar Es Salaam, recommended above, should be used to develop an action plan to reposition the Mwanza programme within the national decentralisation process, establish a presence within key policy dialogue forms, notably the LGRP Common Basket Fund and within PORALG policy development forums. The information generated about best practice within Mwanza to raise the profile of the SDP and influence policy making on implementation of the local government reforms and to develop and vigorously argue the case for the role of area-based pilot programmes that are explicitly linked to the that national policy programme.

Develop a lesson sharing mechanism

A focus on gathering together the lessons learned in Mwanza and their publication in clear, accessible and practically usable form for national dissemination. This would include the manuals developed by the SDP, but also the creation of a dedicated website and short pamphlets illustrating best practices. The aim should be to develop a national vertical and horizontal learning network that draws continuously on the experience of Mwanza and other area based programmes.

6.2. AN EXIT STRATEGY

The successful exit of the PSU from the Mwanza programme depends heavily on the effective execution of the recommendations set out above for the completion of the work in Mwanza and at the national level. This work should be planned to dovetail with the formal requirements for the orderly termination of the programme, notably those relating to the dismantling of the PSU. These formal requirements have been substantially set out in the Back to Office Report of Mr Ron McGill, based on a mission undertaken between the 17th and 21st November 2003.²⁰ This recommendations set out in McGill's report are still largely relevant, though some changes are needed in the light of the long delay in fund transmission to the PSU and in its staffing situation.

The cut backs in UNCDF funding in 2003 necessitated a shift in the time frame for project completion from 2003 to 2004. The Back to Office Report set out the elements of a hand over process that entailed two phases, the first, from January to September 2004 which would involve the completion of the remaining work of the programme and simultaneous hand over by the PSU staff to their counterparts in the RS, and the second the winding down of the programme under the supervision of the programme coordinator.

As a result of the efforts of the UNDP, the financial resources are now available for completion of the programme. However, a number of factors call for some revision of the schedule anticipated in McGill's report. The first is that the funding secured by the UNDP for the completion of the programme had not come though at the time of the mission, despite having been made available to the UNCDF in November 2003. As mentioned earlier in the report, this has led to a degree of PSU staff demoralisation, with the prospect of staff losses between March and September. The second is that there have already been staff losses, notably the Gender Specialist, and this has reduced the momentum of the work of the team. The third is that the status quo with respect to the Regional Secretariat remains much the same as reported by McGill in November 2003. In short, the RS is still not well placed to take over the functions of the PSU, in terms of staff capacity or equipment, and it remains unlikely that the intended national programme of strengthening the Regional Secretariat will occur prior to the termination of the SDP. These factors mean that the work of the PSU is substantially less well advanced than anticipated by McGill, due to factors beyond its control.

²⁰ R McGill, Tanzania-Mwanza Hand-over; Regional Reforms; New Mainland Initiative, 17th-21st November 2003.

Table 4 below shows the current PSU staffing and counterparts in the RS recorded by the McGill report, updated to reflect the situation in March.

Table 4: PSU/RS counterparts

PSU member	Contract Termination	RS counterpart
1. National coordinator	31 st December	Post No. R4: Assistant Administrative Secretary, Management Support Services
2. International advisor	31 st March	National Coordinator
3. National roads advisor	30 th September	Post No. R 6.1 Technical Advisor, Civil Engineering
4. National private contracting advisor (architect)	30 th September	Post No. R6.1 Technical Advisor, Civil Engineering
5. National private contracting advisor (quantity surveyor)	30 th September	Not equivalent in RS. Posts to be determined.
6. National planning advisor	30 th September	Post No. R4.2(b), Technical Advisor, Economic Planning (planning)
7. Regional gender advisor (UNV)	30 th April (vacated March)	Post No. R4.5, Technical Advisor, Community and Gender Development
8. Accountant	30 th December	Post No. R3.3. Accountant
9. Drivers (2)	One: 30th September, the other 31 st December	Not applicable

Note: Bold indicates changes since November 2003 Back to Office Report.

In light of these factors, and in response to concerns expressed by the national members of the PSU, the mission recommends that the contract of the international advisor and administrative assistant be continued until the end of September, renewable until December depending on need. This runs counter to expressed concerns at the national level about the continuing dependence of the RS on international technical advice and on the continuing existence of the region on a parallel support structure. However, the mission believes this step is warranted in the interests of successful completion of the programme's work and the orderly hand over to the RS.

6.2.1. Recommendations

Contract extension: Programme Manager

The contract expiry dates of the PSU staff set out above should be confirmed, with the exception of the International Advisor, whose contract should be extended to at least the 31st September, to be reviewed at the beginning of October for extension to December 31st should this be needed.

Contract extension: Administrative Assistant

The contract expiry date of the Administrative Assistant is currently the 31st March. This should be extended to the 30th September.

Formalisation of counterpart posts: Regional Secretariat

The RS should be re-approached to finalise and formalise counterpart posts and nominate incumbents to work closely with the PSU over the remaining months of the SDP.

Revised TOR and contract confirmation for other technical staff of PSU

Where necessary, modified terms of reference should be prepared for each technical member of the PSU, linked to a revised workplan for the PSU, to define their tasks over the remainder of the programme, including defined steps in their hand over to their counterparts within the RS.

Formal closure of PSU end of September 2004

The final hand over to the RS should occur no later than the 30th of September, after which the PSU should cease to exist, with the exception of the position of Programme Coordinator and Auditor, whose task will be to wind down the separate operation of the PSU and prepare a statement of its accounts. All correspondence should thenceforth be addressed to the relevant actors within the RS.

Closure meeting January 2005

A closure meeting should be held in January 2005, to include a full progress report and financial statement, to be developed by the Programme Coordinator between October and December 2004. Audited accounts should be sent to the UNDP in Dar Es Salaam and UNCDF in New York not later than the end of April 2005.

6.3. THE CASE FOR A REFORMULATED PROGRAMME IN MWANZA

6.3.1. The case for a reformulated programme

This final section of the report briefly sets out a case for a reformulated UNDP/UNCDF programme.²¹

²¹ The commission is aware that the UNCDF is considering the possibility of a new project either on the mainland of Tanzania or in Zanzibar, and has examined the concept for the mainland project put forward by McGill. (Tanzania – Mwanza Hand-Over; Regional Reforms; New Mainland Initiative, November 2003.) However, it goes beyond the scope of the TOR to assess this proposal or to compare its potential with that of a reformulated proposal for Mwanza districts.

There are a number of reasons why the UNCDF may wish to consider supporting a reformulated Programme in Mwanza. The current Mwanza Programme has built up considerable momentum and capacity for down stream innovation in decentralised governance systems. The full impact and lasting potential of the LDF and associated fund allocation, decision making, accountability and performances systems requires reinforcement and consolidation, notably at the village/ward level. Experiences already gained and lessons learned in developing implementation modalities relevant to the national decentralisation programme have been considerable, but not properly assimilated and disseminated. Considerable potential exists for testing new areas of policy that are currently on the horizon of national decentralisation policy, notably in integrated decentralised development planning and local economic development. Although the region has already benefited from donor support, poverty levels remain high, reflecting Tanzania's national development challenges. At the same time the region has considerable economic potential that could form the basis of poverty reduction approached based more centrally on local economic development and the building of the local revenue base of districts.

The Programme began exploring a number of new areas of work that could be taken up more centrally in a reformulated programme. These include a more integrated approach to development planning (social, economic and environmental objectives), increased attention to investment in economic infrastructure, enterprise development based on the experience of private sector sub-contracting in public investment projects, household livelihood enhancement based on employment creation, and strengthening of the districts' own revenue bases. On the basis of its main focal areas and these more recent and less developed initiatives, two main focuses could be considered for a programme formulation: consolidation and deepening of decentralised governance and testing out of local government's roles in promoting local economic development.

6.3.2. Consolidating and deepening decentralised governance, notably at the village/ward level

- performance linked budgetary allocation;
- performance assessment systems;
- sub-district participatory planning;
- sub-district project implementation modalities;
- the planning and management role of the wards (as distinct from the villages);
- gender mainstreaming; and
- systems of upward and downward political and administrative accountability.

6.3.3. Testing local government's roles in promotion of local economic development and building organised formal business and producer groups

- a more integrated approach to public infrastructure investment using private sector contractors to secure synergies between social, economic and environmental activities and objectives;

- a growing focus on strengthening the economic base of the districts through increased prioritisation of economic infrastructure investments;
- a focus on enterprise development, building on the innovative work on private sector sub-contracting, but focusing this increasingly on market determined viable business opportunities in the agricultural, fishing, forestry, mining, manufacturing (processing, of agricultural, forestry and fishing products), commercial and retail sectors;
- A focus on sustainable livelihood development, focussed on income generating opportunities;
- A focus on building the internal revenue base of the districts, not principally through improved tax collection, but through promotion of productive economic activity based on the competitive advantages of the districts;
- interest bearing budgetary grants for revenue generating economic infrastructure;
- an approach to local economic development that emphasises local mobilisation of economic actors and resources rather than, primarily, reliance on vertically sourced government funding;
- a focus on building and empowering organised business and group enterprise; and
- a clear definition of the comparative advantages of local government in fostering economic development and hence on role definition.

6.3.4. Some pre-conditions for success

A partnership would have to be formed between the UNDP, PORALG and the UNCDF. The mission suggests that the UNDP be given a substantially increased role in funds mobilisation, budgetary management and programme oversight that at present, and that it be tasked with positioning of the programme at the national level and ensuring that lessons learned are, indeed, infused into national policy.

To perform the role of early testing of implementation modalities, a reformulated programme would need to have its operations explicitly, closely and continuously aligned to the evolving national policy framework. It should be given a specific (not exclusive) mandate to play this role by PORALG.

In institutional terms, a reformulated programme would need to be linked directly with the district councils rather than principally through the RS. In place of a PSU, consideration would need to be given to the establishment at regional level of a development support entity that played a role more akin to enablement than to that of direct intervention in implementation currently played by the PSU.

7. EVALUATION SUMMARY

7.1. BASIC PROJECT DATA

SUPPORT TO GOOD LOCAL GOVERNANCE		
<i>Country</i> Tanzania	<i>Project Cost and Financing</i>	
<i>Duration</i> Five years	<i>Government of Tanzania:</i> US\$: In kind UNCDF: US\$: 5,770,002 NORAD: US\$: 795,000 UNDP: US\$: 1,192,000 NORAD: US\$: 337,000 Total: US\$ 8,094,002	B/Revision "J " \$4,161,689 B/Revision "E" \$2,098,483*
<i>Project Number</i> UNDP: URT/99/005 UNCDF: URT/99/C01	<i>Project Title</i> Support to Good Local Governance Support to Good Local Governance	
<i>Sectors</i> Development Strategies, Policies and Planning (0210)	<i>Sub-Sector</i> Local Governance	
<i>Government Executing Agency</i> President's Office, Regional Administration & Local Government	<i>Government Implementing Agency</i> District Councils of Mwanza Region, Regional Administration, Mwanza PORALG (LGRP).	
<i>UN Cooperating Agency</i> United Nations Office for Project Services (UNOPS)		
<i>Project approval date:</i> July 2000 <i>Project starting date:</i> Original: January 2000 <i>Project completion date:</i> Original: December 2003	Actual: July 2000 Actual: December 2004	
<i>Evaluation Date:</i> March 2004		

Note:* This amount excludes the \$337,000 provided by NORAD.
1 \$US = TSh1120 (March 2004)

7.2. BACKGROUND OF THE PROJECT

UNCDF in partnership with UNDP, the Government of Tanzania, and more recently NORAD, has been involved since 1997 in a Support to Decentralisation Programme in Mwanza Region (SDP).

The Mwanza Region was selected for the implementation of this SDP due to its relatively poor rural population, to the potential for raising incomes in both agriculture and fisheries and for building on institutional capacities created by previous UNCDF involvement in the region. In addition, Mwanza region was the only region in Tanzania that had not benefited previously from a Regional Integrated Development Project.

In March 2003, the UNCDF contribution was cut back by an amount of 1.6 million USD (some 40% of the budget for that year), impacting directly on both construction and capacity building work. New funding sources (from UNDP and NORAD) opened the prospect of re-establishing the momentum previously built up.

7.3. DESCRIPTION OF THE PROJECT

The SDP is made up of the Rehabilitation and Maintenance of District and Feeder Roads project (DFR), which pilots a conditional grant modality and the Local Development Fund (LDF) which pilots the use of unconditional non sector specific development grants to be allocated for district and community based social and economic infrastructure.

Both projects aim at promoting socio-economic development in the six rural districts of the Mwanza region, to strengthen the capacities of the local government authorities (LGAs) and to empower the rural communities. The SDP is implemented from Village to District level and is supported by a Programme Support Unit (PSU) based in Mwanza.

In 1999, the Support to Good Local Governance Programme (SGLG) was introduced as an umbrella programme to incorporate and extend the SDP. It is intended to optimize the operation and outputs of the Mwanza programme, to widen its scope in order to include rural access and, in partnership with district councils, to improve accountability and mainstreaming of cross-cutting issues such as gender, poverty reduction and the protection of the environment.

7.4. PURPOSE OF THE EVALUATION

The evaluation aims at providing a strategic review of the SGLG Programme in Mwanza that will not only guide and re-orient the remaining activities of the programme in the region, but also inform national decentralisation policies and feed into the UNCDF's reflection on its comparative advantages in donor support.

More specifically, the review seeks to assess:

- the overall progress of the LDF and DFR in delivering project outputs, and the likelihood of attaining its immediate and development objectives;
- the continuing validity and relevance of the project objectives and recommend how the design can lead to achievement of the objectives and intended outputs;
- the effectiveness of the Common Basket Fund of the Local Government Reform Programme;
- the suitability of the institutional and implementation arrangements for attaining project objectives;
- managerial competencies, capabilities and innovation in project implementation at all levels, including the reporting mechanisms and their usefulness as a management tool.
- the sustainability of implementation activities and/or identify existing strategies; and
- Draw critical lessons learned about project design, implementation and management and make recommendations to improve them.

7.5. FINDINGS OF THE EVALUATION TEAM

The performance in the implementation of the SDP has to be assessed in the context of the significant cut back of the UNCDF contribution in 2003, which led to the interruption of a great number of projects and impacted directly on both construction and capacity building work of both projects. New funding sources (from UNDP and NORAD) opened the prospect of re-establishing the momentum previously built up. However, it is too soon to assess whether the Programme will recover and achieve its objectives.

An important feature of the implementation arrangements has been the “hands off” approach of the Programme Support Unit (PSU) in relation to the work of the LGAs. The area in which much progress has been made is that of tendering, contract awarding and oversight of construction projects. A further indicator of success is national awareness that innovations have been achieved in outsourcing construction work to the private sector.

The redefinition of roles of the Regional Secretariat and building of staff capacity has not yet materialised, though capacity building for RS counterparts is currently being mounted by the PSU. Therefore, transfer of skills from the PSU to the regional level (in areas like capacity building) is considered as urgent for successful completion of the programme’s work and a smooth exit process.

Difficulties both in the design of appropriate Monitoring and Evaluation (M&E) systems and in the PSU staffing of the M&E post led to this area of implementation falling behind infrastructure delivery and development of management and accountability systems in the other spheres.

Participation structures in the districts and communities have been strengthened through a number of capacity building measures. However, more needs to be done to ensure that

women fully participate in development planning and implementation and that gender awareness spreads deeply into other spheres of village life.

The mission received evidence suggesting that both DFR and LDF have made progress towards fulfilling the development objectives of economic development and poverty alleviation, although this would have to be substantiated through proper Impact Assessment Studies.

7.5.1. DFR

Overall, the DFR project has benefited from more positive feedback than the LDF by having established a range of innovative procedures for road maintenance and rehabilitation. These include the successful use of labour intensive methods and local labour, the development in 2002 of road maintenance and management system (DROMAS) and the capacity building of road contractors, private consultants and district councils.

The project seems to have encountered difficulties in operationalising important cross cutting issues, especially in regards to gender based participation. It is also not clear that the ward level participatory processes resulted in the most effective choices, as evidenced in the phenomenon of “handing roads” (sections of rehabilitated roads between seriously degraded roads).

The introduction of DROMAS was clearly an appropriate move. On the other hand, this system has yet to be fully tested, understood and implemented at district and regional level. Moreover, the well established documents and procedures of LBT must be integrated in an overall system, which at present appears to “stand alone”.

7.5.2. LDF

Entrenchment of implementation arrangements for the LDF has been deeper in the district than at the ward and village levels. The development of systems and procedures included allocation criteria, set of minimum conditions, indicative planning figure at sub-district level, procedures for contracting out project work to the private sector and for tendering, project management and administration and assessment.

Decision making and management capacities have also been built, as evidenced in the project selection and construction activities in the villages and in the training of the members of the Village Development Committees and Village Project Management Committees.

7.5.3. SGLG

The SGLG has substantially succeeded in consolidating activities within the DFR and LDF, but has not realised its aims of upward linkage to national decentralisation policy. Thus, the work within Mwanza, notably with respect to the LDF, is under-appreciated nationally and its replication potential under-exploited.

Equally, the SDP has become cut off from national policy developments (such as the World Bank Local Government Support Programme), weakening its capacity for early and conscious testing of implementation methodologies that flow from national processes.

Participation in the Common Basket Fund (CBF) was intended to strengthen the capacity of the UNCDF to bring lessons learned from Mwanza into the national policy debate. Regrettably, the mission found that this has not happened on the scale intended.

The potential for replicability of the models developed in Mwanza remains very high. Already, the labour based methods for road rehabilitation used in the region have been adopted by the Department of Works and Road Fund for application elsewhere, as have the systems of private sector sub-contracting devised by the SDP. The planning and financing systems (in particular the allocations based on the IPF) within the LDF are also potentially replicable.

The formation of partnerships with NGOs and CBOs has not materialised to the degree hoped for. In addition, opportunities have been fully exploited to promote synergy between the various area based initiatives (such as the Dutch District Development Project), both in their implementation and in the sharing of experiences.

7.6. ASSESSMENT OF THE PROJECT DESIGN

7.6.1. DFR

A number of reference materials, project documents, plans and specifications, country and department policies were readily available in 1997 and were integrated in the project design as valuable background of the technical aspects of the LBT approach to tackle to maintenance and rehabilitation of the DFR. The choice of using labour intensive technology in the rehabilitation and maintenance of the DFR's can clearly be justified, both from the project's prime objective of employment creation, poverty alleviation and access to goods and services, but also from a technical and logistic point of view.

7.6.2. LDF

Importantly, the focus of the initial LDF was mainly on technical issues, such as the mechanisms of funding allocation and gave insufficient attention to cross cutting issues. This was also evident in its treatment of UNCDF strategy, which emphasises technical matters and loses thereby something of the underlying rationale of the LDF as a mechanism for more effective decision taking and deepened project ownership based on participation.

Despite the quality of the PD in 'setting the scene' of the LDF, the necessity to redesign some of its elements was strongly felt in the first phase of the project, so that it could fulfil more adequately its role as a replicable pilot for devolution of block grants to local authorities. In particular, a solution to the Indicative Planning Figure (IPF) at the sub-district level needed to be found. Also, the participatory planning procedures were considered unsatisfactory as far as

their contribution to the annual planning processes were concerned. Finally, the design of the monitoring and evaluation system (M&E) was inadequate.

7.6.3. SGLG

In the main, the PD provided a coherent and clear design for the continuation and strengthening of the Mwanza programme and a necessary framework for the use of systematic participatory planning processes. The main weakness that was identified is that it did not fully exploit the potential existing in the combination of the two projects. The co-existence of the DFR, as a sector based programme supported by a conditional grant, and the LDF, as an unconditional grant, could have provided an excellent opportunity for testing out the differences in practice between these two forms of financial support. There was also great potential to exploit the synergies between the projects by means of more integrated development planning, for example the linking or clustering of investments spatially to increase externalities and economic multiplier effects.

7.7. POLICY IMPLICATIONS AND LESSONS LEARNED

The experience of the DFR provides confirmation of the value of Labour Based Technology and has reinforced national government's intentions to apply this more widely to the rehabilitation and maintenance of district and feeder roads. Participatory decision taking on roads rehabilitation at the village and ward level may not result in the most rational and cost effective prioritisation of roads and thus should be left to the district level. Gender mainstreaming in DFR projects has been difficult but needs to be pursued for its evident positive impacts on livelihoods and women's empowerment.

The experience of the LDF has demonstrated the positive impact of non-sector specific capital grants on good governance at the district level and indications are strong that it has equally beneficial impacts at the village and ward level. Villages may not be the most appropriate level for participatory planning and project implementation and national government should consider means of strengthening the planning and development management role of wards. Both administrative and political accountability are important focuses for reform. They require further role redefinition for district officials and councillors. The full implications of linking direct and representative democracy have not yet emerged and may face political obstacles once external funding is withdrawn. Similarly, gender mainstreaming may face difficulties once its full implications are realised.

Transforming the practices within the existing systems of district and village governance requires an incremental and long sustained approach. Incremental transformation of institutions and attitudes holds out the possibility both of deeper entrenchment of the new practices and reversion to traditional ways, depending on the response of those in power. The policy implication is that support programmes to be successful need themselves to be sustained.

The shock brought about by the financial cut backs provides lessons on survival that may have a wider relevance. Effective development management requires public

entrepreneurialism where the wider environment of local government is unstable, as is now generally the case. Entrepreneurialism requires decentralisation of powers to mobilise and manage resources, including publicly sourced finances. The management ethos within local government is not currently attuned to this need, notably with respect to the DEDs, appointed by and accountable to the national ministry. Funding practices within the UNCDF also constrain this potential.

For implementation models to become replicable nationally or internationally, more is needed than effective innovation. Self reflection on development experience by the actors involved is needed, both to enable reflexive learning from experience and for advocacy – the best advocates are local actors who have succeeded with chance and are able to explain how to others. Replicability also requires that lessons learned are deliberately gathered together, written up and appropriately disseminated. Dissemination should also be understood to include strategic positioning and championing of a programme and profiling of its successes within the relevant policy forums. Lessons should be spread both vertically (up-steaming) and horizontally between districts. This requires a deliberate focus, resources and effort both at the local level, where lessons are being learned, and at the national level, where they should be coordinated and transmitted. Leaving this up to an overstretched ministry will not produce results and donors, through the CBF, will need to take this function on.

7.8. RECOMMENDATIONS OF THE MISSION

In the main report, the mission provides detailed recommendations for the remainder of the programme, to December 2004, for the DFR, LDF and SGLG (upstream activities), and exit strategy and the case for a reformulated SDP.

With regard to the remainder of the Programme, it recommends a refocus of the 2004 workplan to prioritise:

1. the need to complete remaining commitments for physical and institutional development to consolidate the SDP,
2. to focus capacity building for the DMTs and RS to ensure orderly and effective hand over of activities, and
3. to extract, document, publish and effectively disseminate lessons learned.

Detailed recommendations are set out for the SDF as a whole and for the DFR, LDF and SGLG specifically.

For purposes of completion of the work of the Programme and orderly and effective hand over of programme activities to the RS and districts DMTs, the mission recommends the following:

1. Extend Programme Manager/Advisor's contract be extended to the 30th September, renewable to the 31st December.

2. Formalise counterpart posts in the RS and nominate incumbents to work closely with the PSU
3. Where necessary, modified terms of reference should be prepared for other technical staff in PSU, linked to a revised workplan for the PSU
4. The hand over to the RS should occur no later than the 30th of September, with a final report and statement of account to be presented in January 2003.

The mission believes there is a strong case for a reformulated programme focussed on the districts in the Mwanza region. The aims of the programme would be to consolidate its work in testing decentralised governance implementation modalities and take on a focus on local economic development.

7.9. MEMBERS OF THE EVALUATION TEAM

The mission was composed of Dr Doug Hindson (Team Leader and Decentralized Planning and Policy Expert), Mr Carl E. Berentsen (Roads Engineer and Infrastructure Development Expert) and Mr Edward Mhina (Gender/Participation Expert).

Dr Hindson focussed on the LDF, Mr Berentsen on the DFR and Mr Mhina on the cross-cutting issues of gender, participation, HIV/AIDS and the environment. Findings and recommendations were discussed and recorded through daily exchanges between the team members, coordinated by the Team Leader.

ANNEXURES

ANNEX 1: TABLES

Table 1 Support to Decentralisation Programme: Overview of Funding Arrangements

Project Title	Sector	Subsector	Financing			Use of funds	Signature	Duration	Receiving Project	Govt Exec. Agency	UN- Coop Agency	Status Project	Latest Rev. Budgets	Added/Cut funds (I) + (II)
			Project number	Initial Budget \$	Agency									
Support to Decentralisation in Mwanza Region: Rehabilitation and Maintenance of District and Feeder Roads	Development Strategies, Policies and Planning	Road Transport	URT/96 /018	880,500	UNDP	Technical Assistance	1997/01 /03	5 years	DFR	Prime Min. Office, Commission for Local Government	UNOPS	Phased out		
			URT/93 /C01	4,223,840	UNCDF	Capital Funds						Phased out		
				189,060	GoT							Phased out		
Support to Local Governments in Mwanza Region: Local Development	Development Strategies, Policies and Planning	Local Governance	URT/97 /025	1,874,100	UNDP	Technical Assistance	1997/10 /06	5 years	LDF & DFR	Min. for Local Govt Prime Minister's	UNOPS	Being phased out	B/Revision "L " \$1,920,709	46,609

DRAFT MID TERM REVIEW OF THE SUPPORT TO GOOD LOCAL GOVERNANCE PROGRAMME

Fund			URT/97/C01	5,453,600	UNCDF	Capital Funds			LDF	Office		Being phased out	B/Revision "L" \$4,202,227	- 1,251,373
				In kind	GoT	Offices			LDF & DFR			Phased out		
Support to Good Local Governance	Local Government Reform, rural infrastructure	Local Governance	URT/99/005	1,192,000	UNDP	Technical Assistance	2000/06/28	4 years	SGLG Up-stream LDF DFR	Ministry of Regional Administration & Local Government (now PO-RALG)	UNOPS	Active	B/Revision "E" \$2,435,483 inclusive NORA D>\$337,000	1,243,483
			URT/99/C01	5,770,002	UNCDF	Capital Funds						Active	B/Revision "J" \$4,161,689	- 1,608,313 exclusive NORAD \$795,000
				In kind	GoT	Offices						Active		

Notes: I) The total budget for UNCDF covering LDF & DFR for 2003 was \$ 3.25 million in which the budget cut took place. UNCDF cut in that year about 40% of the targeted investment being \$ 1.3 million

Table 2: District Budgets, 2000-2003

District Budgets, 2000-2003

Kwimba District

Year	National Government		District Local	Donors	UNCDF*
	Recurrent	Capital			
2000	1,206,997,705	0	286,418,116	208,457,138	
2001	1,659,367,179	43,014,000	304,437,549	673,934,430	
2002	3,601,244,687	63,027,000	340,217,399	2,277,648,655	
2003	3,340,679,823	301,517,000	126,975,372	892,500,991	
Total	9,808,289,394	407558000	1,058,048,436	4,052,541,214	

*Data not available

Geita District

Year	National Government		District Local	Donors	UNCDF
	Recurrent	Capital			
2000	1,818,261,741	97,077,264	75,162,100	79,276,700	48,283,734
2001	2,456,492,964	92,176,311	89,575,000	156,211,667	124,480,440
2002	2,613,534,789	40,934,000	22,774,114	663,938,483	84,709,576
2003	3,905,661,080	146,923,365	39,851,313	160,647,095	55,459,750
Total	10,793,950,574	377,110,940	227,362,527	1,060,073,945	312,933,500

Misungwi District

Year	National Government		District Local	Donors	UNCDF
	Recurrent	Capital			
2000*					
2001	1,475,051,300	6,000,000	78,218,500	796,130,000	402,000,000
2002	1,813,893,900	24,373,500	20,002,300	957,021,000	380,500,000
2003	1,658,949,450	37,373,400	95,534,956	226,461,416	6,043,428
Total	4,947,894,650	67,746,900	193,755,756	1,753,151,000	788,543,428

*Data not available

Sengerema District

Year	National Government		District Local	Donors	UNCDF
	Recurrent	Capital			
2000	1,990,348,934	92,410,798	286,620,779	387,730,302	228,238,301
2001	2,599,053,688	270,526,661	364,955,208	448,773,815	205,994,775
2002	3,226,255,726	1,588,853,767	404,918,436	454,845,029	196,411,013
2003	3,068,608,683	135,284,052	454,701,174	147,144,787	89,182,087
Total	10,884,267,031	2,087,075,278	1,511,195,597	1,438,493,933	719,826,176

NB: Figures in TZS

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Table 3: DFR Progress Indicators by district

Activity	Ukerewe	Kwimba	Missungwi	Magu	Sengerema	Geita	Total
Km of Road Improved							
Km of pre-selected roads, full rehab after trial contracts completed. Period Sep 2001-Oct 2004	61	61	61	61	61	61	366
Completed under trial contracts	0	0	2	33.2	27.8	30.1	93.1
Completed under Equipment Support as of 01/03/04	30.3	29.9	33.5	20.2	22	33.4	169.3
Ongoing and planned contracts for 2004	11.5	11.75	12.98	11.5	17.5	17.5	82.73
Balance of roads still to be funded	19.2	19.35	12.52	-3.9	-6.3	-20	20.87
Completed at 2001 MTR, 3 districts added. All 6 to have Full Rehab contracts (366 Km total) from Sep 2001	0	0	2	33.2	27.8	30.1	93.1
Completed 2001-2003	30.3	29.9	33.5	20.2	22	33.4	169.3
Comments on completing balance of target roads	Use both full reh. & spot improvement approach	Use both full reh. & spot improvement approach	Use both full reh. & spot improvement approach	Use both full reh. & spot improvement approach	Use both full reh. & spot improvement approach	Use both full reh. & spot improvement approach	
Personnel Employed person days (labourers) to 2001, M & F	0	0	4,070 & 1,261	67,562 & 20,944	56,573 & 17,537	61,253 & 18,988	189,458 & 58,731

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2001 - 2003, M & F	58,281& 18,067	59,416&18,418	54,727&16,965	46,815 & 14,512	53,052&16,446	22,514 & 6,979	294,805 & 91,389
Rehabilitation and routine maintenance contractors	5	5	5	4	4	4	27
1) Category, Tot Registered Reh Contractors	2	2	2	1	1	1	9
2) Category, Cos employed for design and supern of rehabilitation works)	1	1	1	1	1	1	2
3) Category, Tot Registered (maintenance contractor)	3	3	3	3	3	3	18
2) Category, Cos employed for design and super of maintenance works. The design and supervision is carried out by DEO)	DEO	DEO	DEO	DEO	DEO	DEO	DEO
Maintenance System							
Total D&F roads networks to be maintained	210.00	550.00	385.00	720.00	453.00	1,258.00	4,029.00
Annual km maintained by DC (Routine Maint. , spot improvement , periodic maintenance and bridges using road funds)	97	138	133	189	133	134	824
% Implemented	46.19	25.09	34.55	26.25	29.36	10.65	28.68

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Comments on completing balance of target roads	The remaining network needs rehabilitation / reconstruction						
Cost & Productivity							
Tsh/km(avg. for routine , PM , SP Improvement and maintenance of bridges)	1.44 Mio	0.65 Mio	1.0 Mio	0.75 Mio	1.18 Mio	0.91 Mio	0.98 Mio
km/Contract	9	13	13	18	13	13	13
Tsh/Contract	11 Mio	9 Mio	13 Mio	14 Mio	16 Mio	11 Mio	12 Mio
Range: (km) per Contract	7 - 20	7 - 20	7 - 20	7 - 20	7 - 20	7 - 20	14
Contract period	4-8 weeks						
Avg. period	6 weeks						
Tender to Award	90 days						
% Completed on Time	95	95	95	95	95	95	95
% Completed within budget	90	90	90	90	90	90	90

Table 4: LDF table of progress: Outputs, indicators and achievements within the results areas for the period to the end of 2003

Output	Indicators	Achievements to date
1. Local planning process strengthened at village and district level	1.1 DDPs reflect needs of wards and villages 1.2 Districts with VDPs 1.3 Accountability to DDCs established in wards and villages 1.4 Women involved in plan approval 1.5 Evidence of projects benefiting youth, women and elders 1.6 Cost effective self-assessment for annual planning review by stakeholders provided	1.1-1.2 Village planning carried out in 4 districts, applying participatory techniques. 1.3 Due to budget cuts, accountability mechanisms established on only 13 out of planned 77 wards. 1.4 Women involved in approving budgets at village assemblies. 1.5 Physical projects have benefited youth, women and elderly. 1.6 Cost effectiveness assessed annually by stakeholder and now by RAS.
2. New procedures for effective decentralized financial management established at district and VDC level developed, tested and introduced	2.1 No. of pilot districts & sub-districts with LDF disbursements compliant to agreed min conditions & performance measures 2.1 No. of districts and sub-districts with regular internal audits 2.3 Number of districts & sub-districts with access to IPF and public spending records 2.4 Number of districts with enhanced revenue collection	2.1 Performance assessments carried out by RAS. 2.2 Each district has internal auditors and auditing carried out. 2.3 In all six districts wards and villagers had access to IFP and public spending through council meetings. 2.4 Districts have put extra effort into revenue collection, but taxes abolished by national government have reduced sources of revenue.
3. DDC/VDC management skills in service delivery & maintenance improved	3.1 Projects commenced vs. selected 3.2 LDF funds commenced vs. completed within timeline and budget allocation	3.1-3.2 Due budget cuts no. village and district projects reduced to 61. 3.3 Applied in 15 district level projects. 3.4 Assessments carried out

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	<p>3.3 DDC & VDC projects with established regulations and available funds for O & M</p> <p>3.4 districts where micro-projects are positively assessed by final users for quality of M & O, service costs</p>	<p>by district council representatives.</p>
<p>4. Communication amongst local stakeholders improved</p>	<p>4.1 Lessons learned from “best practices” in planning & budgeting (allocation and flow) at district & sub-district level, and roles and planning functions of each institution analysed & disseminated to RAS</p> <p>4.2 Lessons learned document and shared with key policy makers at national level</p>	<p>4.1 MoU for implementation of village projects, VP implementation modalities, village planning exercises, investment planning guidelines for districts, wards and villages, performance assessment manual, contract administration manual, guidelines for tender evaluation, site supervision manual & guidelines</p>

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Table 5: LDF Progress summary: district projects

		CONTRACT SUM	DURATION IN WEEKS	COMMENCEMENT DATE	PLANNED COMPLETION DATE	ACTUAL COMPLETION DATES	CERTIFIED PAYMENTS TODATE	PERCENTAGE WORK COMPLETED AS REFLECTED IN CERTIFIED PAYMENTS	DELAY IN COMPLETION: MONTHS
	GEITA DISTRICT								
1	Staff house at Nyalwanzaja	18,398,950.00	13	03/07/2002	19/06/2002	02/09/2003	17,310,800.00	0.94	15
2	Karumwa livestock market	26,500,630.00	12	03/08/2002	13/06/2002	23/07/2003	25,846,029.95	0.98	13
3	GEDECO Social Hall	39,404,475.00	13	8/03/2002	19/06/2002	ON GOING	59,994,048.00	1.52	>21
4	2No laboratories at Bugando	37,758,350.00	18	15/01/2002	22/04/2002	19/08/2003	33,158,632.40	0.88	16
5	Mama Ngojea Building - Geita Hospital	33,803,000.00	14	15/01/2002	22/04/2002	22/06/2003	30,547,683.20	0.90	14
6	Rehabilitation of Kitongo Cattle Dip	7,971,400.00	8	14/01/2002	03/11/2002	04/08/2002	7,875,900.00	0.99	3
7	Senga Clinic Building	24,185,880.00	14	15/01/2002	22/04/2002	27/05/2002	23,528,633.00	0.97	1
8	Completion of Nyarugusu Dispensary Bldg	16,512,418.00	8	14/01/2002	03/11/2002	27/03.2002	15,137,914.00	0.92	-8
	Total for district	204,535,103.00					213,399,640.55	1.04	

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	MAGU DISTRICT COUNCIL								
1	Construction of 1 No Laboratory at Bukandwe	21,885,540.00	8	13/03/2002	05/08/2002	19/06/2002	21,734,940.00	0.99	-2
2	Rehabilitation of Igarukilo Health Centre	46,995,950.00	15	04/05/2002	08/01/2002	24/04/2003	46,805,950.00	1.00	15
3	Nyang'Hanga livestock market	28,657,662.00	11	04/05/2002	07/04/2002	19/10/2003	26,549,525.98	0.93	18
	Total for district	97,539,152.00					95,090,415.98	0.97	
	SENGEREMA DISTRICT COUNCIL								
1	2No laboratories at SIMA	38,441,030.00	8	13/03/2002	05/08/2002	17/08/2002	38,392,830.00	1.00	0
2	2No Classrooms at Nyeunge	19,196,216.00	15	04/05/2002	08/01/2002	05/08/2003	19,156,095.00	1.00	19
3	Construction of OPD Bldg at Sengerema Dispensary	37,057,662.05	12	04/05/2002	07/04/2002	09/02/2002	31,972,520.80	0.86	0
4	Completion of Storm Water drain Channel at Sengerema	8,567,423.00	4	15/06/2002	13/07/2002	08/04/2002	7,502,527.50	0.88	-3
5	Kijiweni fish landing centre					ON GOING			
	Total for district	103,262,331.05					97,023,973.30	0.94	
	UKEREWE DISTRICT COUNCIL								
1	Construction of X-Ray Room at Nansio District Hospital	31,481,775.00	14	02/05/2002	14/05/2002	24/09/2003	34,061,671.25	1.08	16
2	Construction of OPD/MCH		14	02/06/2002	15/05/2002	22/03/2003		0.93	10

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3	Bldg at Hamkoko Dispensary Construction of Ilugwa Jet	42,012,180.00					39,256,836.00		
Total for district		73,493,955.00					73,318,507.25	1.00	
KWIMBA DISTRICT COUNCIL									
1	Kwideco Social Hall Phase 1	75,164,580.00	16	03/12/2002	24/06/2002	17/03/2003	72,523,643.00	0.96	9
2	Ng'Hungumalwa livestock market	19,453,300.00	12	07/02/2002	25/9/2002	04/10/2003	17,910,841.08	0.92	13
Total for district		94,617,880.00					90,434,484.08	0.96	
MISSUNGWI DISTRICT COUNCIL									
1	Misasi livestock market	27,669,650.00	12	05/02/2002	25/07/2002	22/08/2002	26,492,626.75	0.96	1
2	Missungwi market	26,399,252.50	8	18/06/2002	15/08/2002	19/09/2002	26,201,878.50	0.99	1
3	DE's office	15,674,518.10		29/10/2002	27/01/2003	29/03/2003	13,553,752.20	0.86	2
4	Renovation of Missungwi Health Centre	18,060,450.00							
Total for district		87,803,870.60					66,248,257.45	0.75	
TOTAL COSTS CONSTRUCTION ONLY		661,252,291.65					635,515,278.61	0.96	
PAYMENT TO CONSULTANTS		TOTAL PROJECT COSTS		TOTAL FEES					FEES/COSTS

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1	NTM Architects and Planners	326,261,247.65	26,100,899.81	19,575,674.86	0.08
2	Nicholas Architects and Planners	334,991,044.00	26,799,283.52	20,099,462.64	0.08
TOTAL COSTS CONSTRUCTION AND CONSULTANCY				675,190,416.11	

Key

 Financed as an emergency prior to commencement of other projects in 2001. Payment details not included.

 Funding from other sources. Government contributed \$40,000 for a floating raft. The remainder of building works to be funded by the districts from other sources.

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Table 6: Construction costs of LDF projects visited by mission

	DISTRICT	PROJECT DESCRIPTION	PROJECT COST in Tshs	AREA OF BUILDING IN SQUARE METRE	MATERIAL COST in Tshs	PERSONNEL COST	MARK UP in Tshs	COST PER SQUARE METRE FLOOR AREA inTshs	COMMENT ON TIME TAKEN	COMMENT ON COST EFFECTIVENESS
1	SENGEREMA	OPD BUILDING SENEREMA DISPENSARY	37,057,662.05	201	22,234,597.23	11,117,298.62	3,705,766.21	184,366.47	This contract was delayed though was delivered within reasonable time due to the fact that the contractor could substantially prefinance the activities.	The potential cost advantage due to free market competition thru open tendering coupled with the improved quality control and timely delivery of projects which was not there before signifies the absolute cost effectiveness in implementation of this project over the force accounting approach
2	SENGEREMA	2 LABORATORIES AT SIMA SECONDARY SCHOOL	38,441,030.00	230	23,064,618.00	11,532,309.00	3,844,103.00	167,134.91	Strictly speaking this project is not complete as some activities were to be shelved due to	The potential cost advantage due to free market competition thru open tendering coupled with the improved quality control and timely delivery of projects which was not there

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									budget limitation. However the contracted part was also delayed for 3 reasons; 1) inclement weather, 2) Delayed payments, 3) Contractor's dilatoriness	before signifies the absolute cost effectiveness in implementation of this project over the force accounting approach
3	MISUNGWI	LIVESTOCK MARKET AT MISASI	27,669,650.00						This contract was delayed though was delivered within reasonable time.	The potential cost advantage due to free market competition thru open tendering coupled with the improved quality control and timely delivery of projects which was not there before signifies the absolute cost effectiveness in implementation of this project
		A. CHAIN LINK FENCE	17326575	*835 LM	10,395,945.00	5,197,972.50	1,732,657.50	20,750.39		
		B. REVENUE	6023076	44						

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		OFFICE			3,613,845.60	1,806,922.80	602,307.60	136,888.09		
		C. TOILET BLOCK	4372014	23	2,623,208.40	1,311,604.20	437,201.40	190,087.57		
4	GEITA	GEDECO SOCIAL HALL	104,404,475.00	729	62,642,685.00	31,321,342.50	10,440,447.50	143,216.02	This project is not yet completed because of the phasing necessitated by the funding problems	The long delay to completion of this project which will among other things lead to considerable cost increase due to fluctuations cancels the likely cost effectiveness of this project.
5	KWIMBA	ISHINGISHA PRIMARY SCHOOL 4 classrooms and 2 teacher's offices	13,518,737	352.8	11,479,042	700,000	1,351,873.66	38,318.41	The implementation modality adopted caused the project to take longer time since the destiny of the project is determined by many parties that is, the Villagers, the District, the NGO and PSU.	In comparison to Primary Education Development Programme (PEDP), in which the cost per square meter is Tshs 47,837 , LDF village level project (Classrooms) cost per square meter is Tshs 38,318.41 hence the construction cost is cheap. However if you take into consideration an aspect of training and tools which have added more quality then cost per square meter shoot up to

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							Workshop Report
June 15 1999	1	Follow up to 2 Days Seminar	<ul style="list-style-type: none"> To discuss on how to implement the resolutions passed during the Mwanza 2 Days Workshop 	<ul style="list-style-type: none"> District Planning Officers 	11	2	<ul style="list-style-type: none"> Agreed with Districts to prepare O&M Plans and Budgets for phase i and ii projects; Agreed with Districts to finalise project implementation proposals for phase ii projects; Agreed with Districts that they budget for supervision costs Agreed on the time frame for selection of wards for PPP; A team proposed to prepare draft-reporting formats. <p>Workshop report</p>
July & August 1999	48 days	Village Participatory Planning Exercises	To Carry Out Village Participatory Planning Exercises in the 3 wards, one each, in Ukerewe, Kwimba and Misungwi Districts	PSU, Villagers, Sub-villages/Households, Village and Ward leaders, Ward Extension Agents, Extension agents, NGOs, CBOs and District staff	53	35	<p>Outputs of the Village Participatory Planning Exercise:</p> <ul style="list-style-type: none"> Trained 88 participants Identified 12 village projects for joint funding with communities Built capacities in the villages in participatory planning system Raised awareness to communities that their involvement in planning is one of their basic rights <p>Village Participatory Planning Exercise Reports (Vol. 1-4)</p>
16 Feb 2000	1 day	District Co-ordinators Workshop	To discuss on the preparation of the Stakeholders Workshop	District SDP Co-ordinators and PSU staff	10	4	<ul style="list-style-type: none"> Objectives of holding shw known to co-ordinators Criteria to select participants formulated and agreed Rules and regulations during shw formulated Logistic arrangements during district workshops and shw agreed and communicated Co-ordinators assigned the task of selecting participants to attend shw <p>Workshop Minutes</p>

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22 Feb to 4 March 2000	6 day	District Pre-stakeholders Workshop	To discuss with the selected participants to attend the shw on the following: <ul style="list-style-type: none"> • Progress Reports of DFR and LDF Projects • UNCDF Mandate • Logistic issues e.g. DSAs, transport, accommodation etc. • Objectives of the shw • Issues from the Districts for discussions during the shw 	All selected participants to attend the SHW and PSU staff. The workshops were held in all districts individually.	81	47	<ul style="list-style-type: none"> • Selected participants to attend shw • Both projects, DFR&LDF known to participants • Objectives of holding shw known to participants • Participants enlightened on the UNCDF Policy Mandate • Questions on what is not known on the programme collected-basis for shw programme formulation • Logistic arrangements during shw known to participants <p>Individual District Workshop Reports</p>
15 to 20 March 2000	5 days	Stakeholders Facilitators Workshop	To make preparations for the Stakeholders Workshop	Facilitators hired for the Stakeholders Workshop, PSU and UNCDF Programme Specialists (Dar)	16	4	<ul style="list-style-type: none"> • Stakeholders programme prepared, agreed and communicated to relevant parties • Contents for discussion during the shw agreed • A mock shw was held whereby Facilitators made presentations and corrections made <p>All Facilitators hired attended</p>
20 to 23 March 2000	5 days	Stakeholders Workshop	To carry out the Stakeholders Workshop	All selected participants from the Districts, Regional Secretariat, NGOs, UNDP, UNCDF New York, PSU, Facilitators, Press etc. attended	97	58	<p>The Following concerns were raised by the stakeholders:</p> <ul style="list-style-type: none"> • The planning systems are prescriptive (top-down) hindering real participation of grass root communities • Districts have limited financial capacity, which are coupled with inadequate attention to accountability • There is lack of mainstreaming strategies • Co-ordination with and between NGOs and other development partners is poor • Too much focus on infrastructure projects rather than

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							<p>sustainability issues</p> <ul style="list-style-type: none"> • Absence of effective communication flow among stakeholders especially from the District level to village level and vice versa • Lack of civic education • Insufficient/limited management capacity <p>Stakeholders workshop report</p>
April to Oct 2000	6 months	Training in construction industry	Training to public and private sector on planning, tendering, procedures for award of contracts, project management and administration.	Districts Engineers(6), Senior Technicians(12) in the Districts, 16 emerging construction firms and 5 up-coming consultancy firms.	38	1	<ul style="list-style-type: none"> • Trained District staff and people from the private sector <p>Training report by Ms. Norconsult-training consultant</p>
29 May 2000	1	District Co-ordinators Workshop	Follow-up to the District Co-ordinators held in February 2000 and to the shw	District Co-ordinators and PSU staff	10	4	Outputs contained in the workshop report
30 May to 1 June 2000	2	District Workshop	The workshop was convened as a follow up to the issues raised during the shw also to discuss program implementation issues	DEDs,DPLOs,DCDOs,District SDP Co-ordinators and PSU staff	41	4	Outputs contained in the workshop report

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11-15 July 2000	5 days	SWOT Workshop for Misungwi District	To describe and analyse SWOT and make recommendations on: <ul style="list-style-type: none"> • Planning systems in place • Financial systems procedures in particular revenue collection, central government allocation, budgeting of funds available, audit and PM&E of finances • NGOs co-ordination practised in the district • Communication processes between various levels of stakeholders, horizontally and vertically • Management capacity for the implementation of these systems and processes 	<ul style="list-style-type: none"> • District level participants (7) • Private sector (2) • NGOs (2) • Ward level participants (10) • Village level participants 	31 in total		Outputs contained in the workshop report
12-14 Oct 2000	3 days	Misungwi Village Planning and Implementation Workshop	To discuss: <ul style="list-style-type: none"> • Implementation strategies for participatory planning process at village level • The IPF figure for village projects • Management structure of village projects • Implementation modalities of village projects 	WEOs and VEOs of wards and villages where village projects will be implemented, DPLOs from all 6 districts, all District SDP Co-ordinators, DEs from Misungwi, Kwimba and Ukerewe Districts where we will implement village projects	32	2	Outputs contained in the workshop report

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Nov 2000	1 day	District Workshop on PM&E	To discuss on road maintenance activities, PM&E, O&M of projects and present status of LDF project	DEDs, DPLOs, DEs, DCDOs, DMOs and District SDP Co-ordinators, PSU staff and Programme Specialist-Dar (UNCDF)	40	5	Outputs contained in the workshop report
22-23 Jan 2001	2 days	District Planning Workshop	To finalise the LDF 2001 Annual Work Plan jointly with the districts	DPLOs, DEs, DCDOs, District SDP Co-ordinators, PSU staff and Programme Specialist-Dar (UNCDF)	30	3	Outputs contained in the workshop report
25 Jan 2001	1 day	SDP&ZRT Meeting	To discuss areas for co-operation, mainstreaming of lessons and information sharing	ZRT staff, SDP staff, Programme Specialist Dar (UNCDF) and Programme Specialist-Local Governance	9	2	Outputs contained in the workshop report
6 April 2001	1 day	District Co-ordinators Workshop	Meeting called as a preparation for the RAC Meeting. Discussed: 1 st Quarter Progress Report for both projects, Districts Performance Assessment Reports, Memorandum of Understanding with Districts, Districts Project Proposals and procurement for Districts.	DPLOs, District SDP Co-ordinators and PSU staff.	12	3	Outputs contained in the workshop report
9 April 2001		Village Projects Implementation Meeting	Meeting called to discuss on how an NGO consultant for supervision of implementation of village projects was proposed for selection, their tor and the way forward	Selected representatives of the Districts for village projects, PSU staff and PAID	7	3	Output contained in the minutes of the meeting

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25 April 2001	1 day	Village Projects Implementation Meeting	To discuss the draft Memorandum of Understanding for village projects	Selected representatives of the Districts for village projects, PSU staff and PAID	7	3	Outputs contained in the minutes of the meeting
May 2001 to Feb 2004	2 days meetings	Several SDP Coordinators Meetings & District Officials Meetings	To discuss project progress	Selected representatives of the districts	24 people		Outputs contained in the minutes of the meeting
Jan 2002	2 days meeting	SDP work planning Meeting	To discuss and agree on the AWP 2003	DPLO, DE, DCDO, 6 RS staff	30 people		Outputs contained in the minutes of the meeting
December 2002	2 days meeting	LDF Refinement Meeting	To discuss on the way forward for LDF Project	DPLO, DE, DCDO, 6 RS staff	30 people		Outputs contained in the minutes of the meeting
June 2003	2 days meeting	Selection of wards for implementation of village projects	To select wards for implementation of village projects	DPLO, DE, DCDO, 6 RS staff	30 people		Outputs contained in the minutes of the meeting

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August & September 2001	10 days at the same time	Village Planning Exercise – Geita, Magu and Sengerema District	To carry out village planning exercise	District planning core group in Magu and Geita districts. Capacity 21 in Sengerema district	60 people plus the communities in the wards	Outputs contained in the training report
December 2003	5 days for each district	Village Planning Exercise in 13 wards Geita (2), Misungwi (2), Kwimba (2), Ukerewe (2), Magu (2), Sengerema (3)	To carry out village planning exercise in 13 wards for village projects implementation	District planning core group and 6 RS staff	30 people plus communities in the wards	Outputs contained in the training report
2001	5 days	Training of VPMCs in project management	To carry out training of 12 VPMCs for Kwimba, Misungwi and Ukerewe district in project management	Chairperson and Secretary from each VPMC	24 people	Outputs contained in the training report
May 2001	6 days	Training of Councillors on Contract Management - Magu		15 Councillors, 5 DMT, 5 Private Sector	25	Outputs contained in the training report

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March 2003	6 days	Training of Councillors on Contract Management – Sengerema and Geita		30 Councillors, 10 DMT, 10 Private sector	50		Outputs contained in the training report
June 2001	7 days	Study tour to Malawi	To study decentralization in Malawi	1 Council Chairman, 5 PSU, 5 SDP Coordinators	11		Outputs contained in the study tour report
Dec 2003	3 days	Stakeholders' Workshop	To discuss Program progress and chart out the way forward	Invited stakeholders	100 people		Outputs contained in the stakeholders' workshop report
2001 to date	On going	On job training to village artisans	To train artisans on job in the on going village projects	Artisans	14 people		Outputs contained in the training tour report
February 2004	1 day	SDP Work planning meeting	To discuss SDP AWP 2004	DPLO, DCDO, DE, SDP Coordinators and 6 RS staff	30 people		Outputs contained in the minutes of the meeting

ANNEX 2: ITINERARY

Date	Activity, organizations met (In some meetings the mission Team was split in two groups due to time constraints)
February 22	Team arrived in Dar Es Salaam, checked into New Africa Hotel, briefing with UNCDF Project Manager
February 23	Met UNDP Depty Res Rep. Meetings at UNCDF
February 24	Met with Norwegian Embassy (NORAD), Swiss Embassy and Ministry of Local Government
February 25	Met with PORALG, Finish Embassy and TANROAD
February 26	Met with Ministry of Works, Swiss Embassy and Road Fund Board
February 27	Travelled to Mwanza, checked into New Mwanza Hotel and Tilapia Hotel, briefing with PSU and stakeholders at PSU Head Office
February 28 & 29	Team worked in Mwanza with PSU
March 1	Travelled to Sengerema ,met with stakeholders and District Council staff and field visit
PM	Travelled to Geita

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Date	Activity, organizations met (In some meetings the mission Team was split in two groups due to time)
March 1	Overnight stay in Geita
March 2	Meet Geita Stakeholders and District Council staff Project site visits, Geita. PM return to Mwanza
March 3	Travel to Missungwi. Meet district Stakeholders and District Council Staff. Field visit to Missungwi projects
March 4	Travel to Kwimba. Meet ditrict stakeholders and Districy Council Staff. Site visit to Kwimba projects
March 5 -8	Individual meetings with PSU, Contractors, Consultants, NGOs in Mwanza
March 9	Debriefing and Mission Team presentation to PSU, District Representatives, NGOs and Contractors. Return to Dar Es Salaam.
March 10	Meeting with UNCDF, Dar Es Salaam
March 11	Preparation of Aide Memoire
March 12	Coordination meeting wit UNCDF. Meeting with UNDP and submittal of Aide Memoire
March 13	Coordinate work on Evaluation report
March 14	Sunday
March 15	Mission wrap up session in Dar Es Salaam
March 16	Mission Team return to home base

ANNEX 3: PERSONS MET DURING MISSION

1. Persons met in Dar Es Salaam

Name	Position	Organisation
Mr Owusu E.	Deputy Res. Representative	UNDP
Mr Mikwawa D.	Programme Specialist	UNDP/UNCDF
Rasmussen J.E.	First Secretary	Royal Norwegian Embassy
Eirola M.	Counsellor, Head of Mission	Embassy of Finland
Dr Lombard P.	General Manager, Int. Regions	Africon
Taylor G	General Manager	I.T.Transport Ltd
Raphael E.W.	Engineer	MOW, ATTI
Massawe C.R	Planning & Monitoring Engineer	Road Fund Board
Makundi H.S.	Director of Policy and Planning	MOW
Mfugale P.A.	Director of Regional Roads & Bridges	MOW
Musingi R	Director Regional Cooperation	President's Office
Mr Myaing K H	Technical Adviser	RA &LD, President's Office
Mr John Hendra	Resident Representative	UNCDF, Dar Es Salaam
Inga Tveit	First Secretary	Norwegian Embassy

2) Persons met in Mwanza

Meetings in Mwanza town

Name	Position	Organisation
Mrs Mbakile N	Programme Coordinator	UNDP/UNCDF
Mr Muijsers G	PSU Manager	UNDP/UNCDF
Mr Msangi H.R	National Roads Adviser RAC Secr Gnl	UNDP/UNCDF
Mr Simbeye	DED District Executive Director	Mwanza D Council
Mr.Lumindo DJ	PC-2, PSU	UNDP/UNCDF
Mr Nkya P	Engineer/Consultant	

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Mr Nyeme P	Director	Makongoro Enterprises (Contractor) Contractor
Mr Maneno P	Director	V.A. Enterprises
Mr Malima S	Technician	Kisesa Building Contractors
Mr Madata J	Accountant	Palemon Construction Co
Mr Nyemo N	Engineer	
Mr Mapiliano E John	Managing Director	MP Investment
Mr Madata L Doto	Managing Director	MP Investment Ltd
Mr Shinyanga N	Managing Director	Ngwanza Shinyanga Construction Company
Mr Tega NK	Director	NTM Architects & Planners
Mr Mukajanga	Project Architect	Nicholas Architects & Associates

Sengerema District

Name	Title	Organisation
1. Magnus M.Mulegi	DE	Works DED
2. Edwin Mashala	PLO	Engineer D.C
3. Peter Mujinji	Civil Technicians	Works Department
4. Msofee Inocent	Civil Technicians	Works Department
5. E.P.Bagumhe	P L O	Sengerema
6. Ngekanizya D.K	Accountants	Finance Department
7. Nathani L.N	DBO	Natural Resources Depart
8. Kiula CS	CDO	C/DEV Department
9. Majubu John Bernad	AA DT	Sengerema DC (Finance Department)
10. H Msangi	-	PSV- NRA
11. Cuthbert Ngalepeka	PA	PSU-SDP
12. Daimu Mkwawa	Program	UNDP/UNCDF

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13. Valerie Hindson		Consultant
14. Dossa Lukindo	PCA	PSU/SDP
15. S. A Masso	AEA	SDC

Geita District

Name	Position	Organisation
Hon. Mnali A	District Commissioner	GoT, Geita District Council
Hon. Msaika J.	PM	GoT Nyangwhate Constit.
Hon. Mabina E.	PM	GoT Geita Constituency
Mr Matabhi J.	District Works Engineer	GoT, Geita District Council
Mr Kinkande G	Civil Technician	GoT, Geita District Council
Mr Ntomolaly I	Civil Technician	GoT, Geita District Council

Missungwi District

Name	Position	Organisation
Hon Massaga S T	District Commissioner	Missungwi District Council
Mr Abdallah A	SDP Co-ordinator	Missungwi District Council
Mr Rutiziswa MJK	CDO	Missungwi District Council
Mr. Salu M	Technician	Missungwi District Council
Mr Mulumba S K	Statistics & Logistic Officer	Missungwi District Council
Mr Kampuri C. M	D W Engineer	Missungwi District Council
Mr Kazimil J M	Economist	Missungwi District Council
Mr Maswauko J	District Treasurer	Missungwi District Council
Mr Nghoma C	Architect/Technician	Missungwi District Council
Mr Bulahya R B	Comm Devel Technician	Missungwi District Council
Mr Kibipi K	District Engineer (Works)	
Dr Byemelwa D	DMO	

Kwimba District

Name	Position	Organisation
Hon. Buremo L.	DED	Kwimba District
Hon. Mhuwa SC	DC	Visited office, DC in village
Mr Karugwa R.H.	DWE	Kwimba District Council
Dr Nyanda BM	Ag DMV	Kwimba District Council
Mr Safari M	D.E.	Kwimba District Council
Mr Kayango D B	Ag DPLO	Kwimba District Council

Debriefing meeting in Dar Es Salaam

Name	Position	Organization
1. Mr. Clemence Rutaihw	Regional Administrative Secretary Mwanza	
2. Mr. Richard Musingi	Director	Regional Coordination (PORALG), Dar-es-salaam
3. Ms. Noor Mbakile	Programme Coordinator	Support to Decentralization Programme, Mwanza
4. Marie Bergstrom	Programme Officer	Embassy of Sweden
5. Mr. Mfugale	Director of Rural roads	Ministry of Works, Dar-es-salaam
6. Mr. Ronald Lwakatare	Planning and Monitoring Engineer	Road Fund
7. Mr. Geert Muijsers	Project Management Advisor	Support to Decentralization Programme Mwanza
8. Mr. Buremo	District Executive Director	Kwimba
9. Ms. Kitundu	District Executive Director	Misungwi
10. Mr. Alfred Kabagire	Programme Manager	LGRP, Dar-es-salaam
11. Ms. Msengesi		Appropriate Technology Unit Ministry of Works, Dar-es-salaam
12. Ms. Rosemary Mpendazoe	Programme Officer	Embassy of Belgium, Dar-es-salaam
13. Ms. Josephine Lemoyan	Programme Coordinator	UAPP, Dar-es-salaam
14. Shiho Yamamoto	Economic Advisor	Embassy of Japan
15. Ms. Florence Navarro	Programme Manager	New York
16. Mr. Daimu.s.Mkwawa	Programme Specialist	UNCDF, Dar-es-salaam
18. Ms. Lucie Luguga	Assistant Resident Representative	Governance, UNDP
19. Mr. Audax Rutta	Programme Analyst	Governance, UNDP
20. Ms. Fortunata Temu	Programme analyst	Governance, UNDP,
21. Ms. Rose Mlangi	Programme Assistant	Governance, UNDP
22. Ms. L. Massawe	Programme Assistant	Governance, UNDP

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23. Mr. Edward Mhina	Consultant	
24. Mr. Carl Berentsen	Consultant	
25. Dr Doug Hindson	Consultant	

ANNEX 4: QUESTIONNAIRE

The questionnaire below was used as a basis for constructing sets of questions for different actors and circumstances.

FOCUS OF EVALUATION

The primary focus of the mid term evaluation (MTE) is an institutional analysis of the ability of districts and communities to manage and implement the Local Development Fund (LDF) and District and Feeder Road (DFR) projects and to share the lessons from this experience with the center – i.e. national government.

The MTE should also elaborate recommendations for corrective actions to improve project performance for the remainder of project duration.

It is important that, wherever possible, all data gathered should be disaggregated by gender, socio-economic and social groupings.

USE OF QUESTIONNAIRE

The questions are organized on the basis of the contents of the evaluation report. A brief description of the aim of each chapter is given to provide overall guidance for the questioning.

For each chapter and section, the key respondents to whom the questions should be put are listed in bold italics.

CHAPTER A INTRODUCTION AND BACKGROUND

Information mainly from documentary sources

CHAPTER B. PROJECT PREPARATION, DESIGN, AND RELEVANCE

Aim

The aim of this chapter is to assess the preparation, design and relevance of the projects in terms of its immediate objective of improving sustainable access to public services at district and sub-district levels, and the strengthening of capacity in planning and implementation within the Ministry of Regional and Local Government (MRLG) and at the local levels (project immediate objectives).

The assessment includes consideration of the validity and relevance of project objectives and includes the analysis of design features.

Preparation

For PO and PSU:

- Looking back with the benefit of hindsight, do you think that the project was well prepared (in terms of baseline data, key performance indicators, feasibility studies, implementation arrangements)?

Design

For PO and PSU:

- Do you think the approach adopted (namely creation of a capital development fund to support local planning and decision taking) was the most effective in solving the problems identified, (namely weak local government capacity and poor service delivery)?

Relevance

For PSU, PORALG, and donors:

- Does the Support to Good Local Governance (SGLG) Programme remain relevant in the current national policy context?
- How relevant is the Mwanza programme (DFR & LDF projects) in the current context of decentralization?
- How effective have the previous efforts to re-align the project objectives (expanded operations, deepened participation, gender involvement, poverty and environment focuses) been?
- From your knowledge, has the capacity for planning and implementation at the local level (district and village) been strengthened?
- From your knowledge, has the participation in planning and decision making at the local level (district and village) increased?
- From your knowledge, has the objective of improving services been achieved?
- In your view, does the Common Basket Fund remains relevant in the current national policy and donor context?

C. STATUS AND PERFORMANCE OF IMPLEMENTATION, RESULTS AND POTENTIAL IMPACT

Aim

The aim of this chapter is to set out the status and performance of implementation arrangements, results achieved and potential impact on development objectives. It assesses actual delivery against planned inputs.

It also includes an assessment of the effectiveness of the implementation arrangements and will highlight any changes in the mode of implementation compared with the project document.

1. Status and Performance of Implementation

The aim of this section is to describe the level and quality of implementation, establish actual delivery relative to planned delivery and assess the timeliness and quality of delivery.

a. Status of input delivery

For PSU:

- What is the status, quality and timeliness of delivery of project inputs and implementation of project processes versus the planned inputs and processes?
- Have the different partners (GoT, donors) contributed financially as planned?
- Have there been any problems with the physical inputs that have affected implementation?

b. Programme management and systems performance

For PSU:

i. Implementation arrangements

- How efficiently has management applied inputs to outputs?
- How well have the roles and responsibilities of the following been carried out:
 - ❖ PSU
 - ❖ Local Government
 - ❖ Regional Administration
 - ❖ UNDP/UNCDF Dar es Salaam
 - ❖ UNCDF headquarters
 - ❖ UNOPS?
- How effective has management been in learning from experience and adapting to change?
- How effective is the interaction between the DFR and LDF projects at a management level?

ii. Management issues

For PSU:

- What is the formal management structure and how does it work in practice?
- How are relations between staff within the management team – have they worked well as a team?
- How have the principles of participation, equity and transparency been applied to management?
- Have there been changes in the management system over time?

iii. Procedures and systems

For PSU:

- How efficiently have project financial systems been operated?
- How efficiently have personnel recruitment, contracting and procurement been undertaken?
- How functional and effective have the operational linkages between the District

Councils and the Road and Local Development Funds been?

iv. Capacity issues

For PSU:

- How adequate has management capacity been in project implementation?
- How competently and with what degree of innovation has implementation been carried out?
- What is the level of qualification of staff?

v. Operational issues

For PSU:

- What is the composition of the workforce (demographics)?
- What are the working conditions: salaries, safety, etc?
- Are these appropriate to the tasks performed?
- How well has the management of the works been undertaken (numbers of workers, supervisors, security, facilities etc.)?

vii. Monitoring and Evaluation

For PO, PSU, and DMT:

- What is the status and effectiveness of the operational M & E system (work supervision, reporting, links between individual and project workplans, control of inputs and outputs, inventories)?
- What is the status and effectiveness of the M & E of project results (baseline data, relevance, acceptance and awareness of indicators)?
- How do project performance indicators match UNDP/UNCDF corporate indicators (Strategic Results Framework)?
- How regularly and accurately is data collected?
- To what extent is the data used by project staff, key actors and beneficiaries?
- How can the M & E system be improved to enhance service delivery and learning of best practices?

2. Results

This section establishes the results, namely the outputs attained thus far, and the potential attainment of remaining outputs, the outcome and impact.

a. Outputs

i. Physical infrastructure

For PSU:

- How do the outputs for roads (DFR) compare with the targets set in terms of timeliness, cost and quality?
- How do the outputs (micro-projects) for the LDF compare with the targets set in terms of timeliness, delivery, cost and quality?
- With respect to the Support for Local Government Programme (SPLG), what are the lessons that have been learned and can be shared with national government for scaling up?

ii. Capacity building

For PSU:

Training

- How many private contractors have been trained for small scale rehabilitation and maintenance projects?
- How many District Council staff have been trained and how appropriate was the training?
- How much field training, mentoring and supervision have contractors received, and how appropriate was the training?
- Has the project maximized the use of local labour for capacity building?

Technical assistance

- What has been the level and quality of technical assistance from the various partners:
 - UNDP
 - UNCDF
 - Others

iii. Institutionalisation of procedures

For the PSU, DMT and local service providers and users

- How appropriate have the selection and recruitment of private contractors been?
- How appropriate, in terms of cost and utilization, have the road selection criteria, design standards, construction methodology and workplan been?
- How effective have the linkages been between the DFR and LDF?
- How well has information been circulated and villagers been sensitized near the roads?
- How effective has the public/private partnership been for service delivery?
- How adequate has the quality of district level maintenance and operation of roads and infrastructure been?

b. Immediate objectives

For the PSU

- From the knowledge you have of performance so far, to what extent do you think the immediate objectives of the projects are likely to be attained by the end of the planning period?

c. Impact

For the PSU, DMT, RAC

- Has local government's level of efficiency and effectiveness improved in terms of service delivery?
- In your estimation, has the level of inclusive participation and accountability been enhanced?
- In your estimation, has dialogue been institutionalized between communities, civil society, the private sector and local government?
- To what extent do you think that the different categories of civil society in local governance and development management have been empowered?

D. FINDINGS AND RECOMMENDATIONS: CRITICAL ISSUES

1. Institutionalization and sustainability of the Support Decentralization Programme (SDP)

Aim

This sub-section aims to assess the degree to which a qualitatively new set of institutional practices or organizational arrangement has been introduced and made sustainable technically, financially, institutionally and otherwise.

a. Policy environment

For the PO, national government actors, donors and the PSU:

- In which ways has the policy environment relating to decentralization changed since the beginning of the SGLG?
- Has this enhanced or reduced the prospects for sustainability of the SGLG?
- In which ways have donor policies influenced the prospects for future success of the SGLG?
- How supportive are national government/donors of the Common Basket Fund?

b. Institutional issues

For the PO, PORALG, RAC, PSU and DMT:

- Have there been bottlenecks at the level of central and district government that have affected the ability of the programme to meet its objectives?
- How supportive are central and local government officials of the SGLG programme?
- How well do officials at all levels understand the SGLG?
- Has support from officials been active?
- Have personnel trained in the programme being retained by government?

c. Sustainability of financing

For PO, PSU, DMT, PORALG and donors:

- In what proportion are the District Councils, central government and donors funding capacity building?

What is the potential for local financing of operations and maintenance?

d. Replicability

For PO, PSU, national government and UNDP/UNCDF officials:

How replicable are the projects?

2. Operational capacity

Aim

This sub-section assesses the capacity of government to manage and implement the project efficiently and effectively.

For PSU, DMT, PORALG and UNDP and UNCDF officials:

- What is the capacity of the Government to manage and implement the project efficiently?
- What is the suitability and availability of staff in the District Councils and their motivation (civil service, salaries)?

- What is the quality and timeliness of reporting (progress, audit etc.)?
- How effective is the technical supervision, financial management, staff management, equipment operation and repair of equipment and capacity of district supervisors?
- What is the capacity at the district, village and community level to continuously deliver on and maintain rehabilitated roads, infrastructure and other goods and services, including covering of recurrent costs by local or other resources?
- What is the level of motivation and availability of staff in the Districts responsible for the maintenance of the roads rehabilitated and infrastructure constructed?
- What is the technical, financial and managerial capacity, and the performance and operation of contractors?
- What is the suitability, quality, efficiency and durability of the technical assistance provided by UNDP, UNCDF and other technical assistance providers, including the quality and suitability of the experts and the training methods utilized?

3. Gender issues in the SDP

Aim

The aim is to assess the extent to which gender issues have been mainstreamed in the projects.

For SPU, DMT (Community Development Officer) and mini-workshops with service providers and users:

- How do men and women feature in the formulation of the decentralization policy nationally?
- How do men and women feature in the implementation of the decentralization policy as piloted in the project?
- To what extent does the local level project formulation, establishment and implementation phases take into account the different needs of women and men, so that both can serve in a complementary manner to enhance the outputs of the project?
- What are the strength and gaps in the programme with regard to gender?
- To what degree has the project and the local level planning process facilitated dialogue between women and local governments?
- To what degree are District and Village administration responsive to the needs of women and gender issues?

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ANNEX 6: MEMBERS OF THE EVALUATION TEAM

Mission composed of Dr Doug Hindson (Team Leader and Decentralized Planning and Policy Expert), Mr Carl E. Berentsen (Roads Engineer and Infrastructure Development Expert) and Mr Edward Mhina (Gender/Participation Expert).