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Update on events and developments during 2002 in (health) sector-wide approach:

A summary for SDC staff to keep up to date with the sector-wide approach

**A briefing paper established in the frame of the SDC
Backstopping Mandate 2002 of the
Social Development Division's Health Desk**

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This paper was commissioned by the Swiss Agency for Development and Cooperation (SDC). The views and ideas expressed herein are those of the authors and do not necessarily imply or reflect the opinion of the Agency.

1. COUNTRY EVENTS AND PROGRESS

Currently there are two focus countries for the health section of SDC regarding the sector-wide approach – Tanzania and Mozambique. For these countries more information and supporting documents are provided in this update.

1.1 Progress with some on-going SWAp¹. In **Tanzania**, the SWAp was started a little over 3 years ago, and satisfactory progress is reported (see documents O, C and L). The Bilateral and Multilateral Health Forum has been revised, bringing together regularly all development partners involved in the Health Sector in Tanzania. This is a positive development, as the previous use of this forum was mainly for emergency purposes only, but now regular scheduled meetings are held. DFID holds the Chair of this Forum, and SDC (Jacqueline Mahon) was elected Secretary. Also, in 2002, the Ministry of Health and President's Office for Regional and Local Government undertook intense training of the 3rd Phase Districts, using Phase I and Phase II districts to do some of the training, which will receive some of their funds from the basket fund in January 2003. Also, the Regional Secretariat and its membership is still being decided. An issue being faced in the coming year is what will happen in the aftermath of one major donor (DFID) to the health basket who is expected in 2003 to contribute directly to the central government budget. In **Uganda**², it has been reported that the Joint Review Mission in 2002 was considerably more dominated by district officials and Ministry staff than previous years. A new phase of decentralization is set to start, with conditional grants being collapsed into 3 lines – wage, non-wage, and development, as well as some limited allocation between sectors allowed – with a resulting lower level of control possible by both donors and the central Ministry of Health. In **Bangladesh**, where a SWAp was implemented several years ago, a presentation was made on the Bangladesh Health and Population SWAp progress³. In **Nicaragua**, progress in the sexual and reproductive health SWAp is reported by CIDA⁴. In **Malawi**, progress in the HIV/AIDS mini-SWAp was reported on the CIDA website⁵. In the region of Kayes in **Mali**, several agencies are providing budget support for reproductive health, and this initiative is reported on the CIDA website⁶.

1.2 New or developing SWAp^s. In **Mozambique**, there has been gradual movement towards a SWAp, although common pooling arrangements led by SDC have been in use for several years. In November SDC held a meeting with the government of Mozambique and other health sector partners to help define its' new 3 year programme 2004-6 (see documents D, P, Q and R). See also the DAC Joint Assessment of the German, Dutch and UK programs in Mozambique⁷. In **Malawi**, the design of the SWAp is underway between the Ministry of Health and Planning and funding partners. In Nicaragua, a SWAp is under development in the health sector.

2. INTERNATIONAL EVENTS, MEETINGS AND FORA

In June, the **Learning Network on Program-Based Approaches (LENPA)**, formerly the Like-Minded Donor Working Group, met in Ottawa, bringing together representatives from 29 countries and agencies (including Nick Lorenz from STI)(see documents G, I and N). The special theme was "Accountability and Risk Management Under Program-Based Ap-

¹ For a fuller appreciation of events in SWAp countries, see http://www.sti.ch/scih/swap_country.htm

² Information on SWAp progress in Uganda was gratefully received from Rob Yates (DFID), Health Planning Department, Ministry of Health, Uganda.

³ <http://remote4.acdi-cida.gc.ca/extranet/policy/swansbboard.nsf/535089f4f30302a885256730006c035a/67743775336277e785256c31004c6c79?OpenDocument>

⁴ <http://remote4.acdi-cida.gc.ca/extranet/policy/swansbboard.nsf/535089f4f30302a885256730006c035a/36ec8d1e99cc3d4d85256bf4006b5c2b?OpenDocument>

⁵ <http://remote4.acdi-cida.gc.ca/extranet/policy/swansbboard.nsf/535089f4f30302a885256730006c035a/282c6f4a0777514f85256b0044ae06?OpenDocument>

⁶ <http://remote4.acdi-cida.gc.ca/extranet/policy/swansbboard.nsf/69f5b93259b47cce8525673000575b65/2e50f8dd1ffe622485256c64007e4055?OpenDocument>

⁷ <http://remote4.acdi-cida.gc.ca/extranet/policy/swansbboard.nsf/535089f4f30302a885256730006c035a/44b3c964ec3f11dc85256bcd007d3ca3?OpenDocument>

proaches”, and attention was paid to three main topics: financial management, institutional development, and monitoring and evaluation, which are considered components of an **overall strategy for managing accountability and risk**. For this event, briefing papers were prepared by all attending donors (see document I for SDC's) which were synthesised in advance of the meeting⁸. Next major event: Bonn, May 2003.

A new initiative called the **Public Expenditure & Financial Accountability (PEFA) initiative** <http://www.pefa.org/> was set up in 2001, financed jointly by the World Bank, EC, and DFID. The goals of the Program are to contribute to developing a country-focused, strategic, collaborative and integrated approach to assessing and reforming countries' public expenditure, procurement and financial accountability systems, which (a) reduces the transaction costs of assessments for countries, (b) enhances donor cooperation and coordination, (c) better meets the fiduciary and developmental objectives of client countries and development agencies, and (d) improves the impact of reforms. A Steering Committee has been established and met December 2001, April, July and November 2002. Members of the Committee include representatives from the World Bank, IMF, EC, DFID and the Strategic Partnership with Africa (SPA). **Odile Keller** is on secondment at PEFA from SECO as from November 2002.

Inter-Agency Working Group on SWApS (WHO). This group apparently met during 2002, but it has not been possible to get hold of the minutes from this meeting. SDC is not represented in this group, which consists of the main health sector donors who are supportive of SWApS. The STI recommended to SDC to make an application to Katja Janovsky to join this group, as an important forum for SDC to have a raised profile in SWApS, and also to keep abreast of developments.

In September, the **Royal Tropical Institute (KIT)** in Amsterdam organised a half day workshop on the topic “Are Sexual and Reproductive Health and HIV/AIDS issues guaranteed in the Sector-Wide Approach (SWAp)?” This meeting was attended by Guy Hutton under the SDC-STI General Backstopping mandate. Such a meeting was said to be important because there is a risk that the comprehensive, multisectoral approach of sexual and reproductive health and HIV/AIDS receives insufficient attention in SWApS, as these often use a ‘narrow’ definition of health and are limited to one sector (see document F).

In June, Claudia Kessler (on behalf of SDC) attended a **Development Assistance Committee (DAC)** meeting in Paris in February which had a special focus on aid modalities. SWApS was promoted extensively under one of the four main themes of the meeting ‘Improving aid effectiveness’ (see document H). Also see Annex 1 under DAC (as author) for documents from this DAC meeting. Also, see attached document by the OECD/DAC Task Force on Donor Practices “Moving to budget support” (December 2001) (see document S).

In June also, Guy Hutton attended a **workshop held by GTZ** in Douala, Cameroon, which addressed sector-wide approaches in the health sector (see documents E and M).

Regional training seminars in the sector-wide approach have been reported to have taken place for DFID staff and EU/EC staff in offices located in developing countries. Some of these were provided by the Institute for Health Sector Development, who produced a training handbook (see website below).

Other meetings were held by the Swiss Tropical Institute, to assist in development of the SWAp mandate in the first year of its’ existence. Guy Hutton met with **Olivier Burki** (see document J) in March, and **Veronica Walford** in April (see document K). In February, **Kathrin Lauckner** (GTZ, governance and health) paid a visit to Basel to discuss common work and interests regarding the sector-wide approach.

⁸ <http://remote4.acdi-cida.gc.ca/extranet/policv/swansbboard.nsf/bc08feefb07fada985256730006bf162/c77ed7b6b7a4a63d85256bd5006600ee?OpenDocument>

3. INTERNATIONAL RESOURCES AND DOCUMENTS

Annex 1 lists documents (in alphabetical order of author) on the sector-wide approach, or topics closely related to SWAps such as PRSP, that were published during the year 2002. The main, key, documents are summarized by theme below (except those that have already been mentioned) referencing the first author of each relevant paper.

- **Sector programmes, the poor, and the PRSP** received particular attention during 2002: Berke; Diamond; Farrant; Farrington; Gomanee; Saasa; Walford; World Bank.
- **Decentralisation and SWAps** are receiving increasing attention: Bossert; Collins; Crook; Farrant; Fölscher; Hutton; Jeppson; Enyimayew; PHRplus. See document B, and the SDC-STI SWAp website where documents can be downloaded⁹.
- **Budget support and fiduciary risk**: DFID; Justice; Lawson; Pavignani; Power.
- **Results-based management** (with particularly attention from CIDA): CIDA; Gillies; Goetz; Laverge; van Doorn.
- **Pooling of technical assistance**: Worku, Pavignani.

Also, the following list is a summary of the useful websites relating to the sector-wide approach (health):

SDC-STI website¹⁰ and **discussion group**¹¹ were both set up during 2002. The website hosted by the STI includes documents on SWAps or issues related to SWAps listed by topic, by country, and by donor. The number of hits is reported monthly by the website provider. Since July 2002 there were reported to be well over 100 external visitors every month to the entry website, and these visitors make an average of two visits each per month. Although around 50 interested parties have now joined the discussion group since being initiated in September 2002, it has not really taken off the ground yet, with only a few contributions so far. Some attempts have been made to stimulate the discussion through both general and personalised emails to members, and considerable interest has been shown in contributing when members are approached, but this interest has rarely been translated into action. The website can be kept open at no cost, and therefore it is proposed that the discussion group is maintained into 2003.

CIDA website¹². This is the site for exchange of the LENPA, and members post documents, discussion items and news on this website. The website has been an important, although not exclusive source, for recent documents relating to the sector-wide approach (although its' scope is SWAps in all sectors).

The **IHSD website**¹³ contains access to documents (mainly those produced by IHSD), including importantly the IHSD/DFID training manual on SWAps: '[Orientation and training seminars for agency staff: sector-wide approaches for health in a changing environment](#)'.

The **ODI website**¹⁴ lists a number of publications and training undertaken by staff of the Overseas Development Institute (ODI), and publications are provided¹⁵.

The **Royal Tropical Institute (KIT) website**¹⁶ provides some introductory text about SWAps, and gives links to online papers, presentations from the KIT SWAp conference in

⁹ http://www.sti.ch/scih/swap_references_decentralisation.htm

¹⁰ <http://www.sti.ch/scih/swap.htm>

¹¹ http://www.dgroups.org/groups/sdc-health-swaps/index.cfm?op=dsp_info

¹² <http://remote4.acdi-cida.gc.ca/extranet/policy/swapsbboard.nsf/vLUAboutDoc/En?OpenDocument>

¹³ <http://www.ihsd.org/swaps/resources.htm#ihsd>

¹⁴ <http://www.odi.org.uk/pppg/cape/advisory/swaps.html>

¹⁵ <http://www.odi.org.uk/pppg/publications/index.html>

November 2000 and other KIT resources, and lists organisations involved in SWAps. Also, there is a SWAp working group hosted by share-net¹⁷ (based at KIT) which organises activities and circulates information.

The **ECDPM website**¹⁸ contains some working and policy paper produced by the European Centre for Development Policy Management (ECDPM) on international cooperation, some of which touch on SWAps.

The **Capacity.org website**¹⁹ is a website dedicated to advancing the policy and practice of capacity building in international development cooperation. It includes discussions on SWAps.

The **Euforic website**²⁰ is a focal point for information and debate on Europe's development cooperation, and includes full-text resources and a dossier on sectoral approaches.

4. SUMMARY OF OUTPUTS UNDER 2002 SWAP MANDATE

The following outputs of STI are provided on the CD-Rom

• SWAp website: welcome and introductory pages, and document posting	Website
• Discussion group website: setting up and moderation of discussion group	Website
• Introductory document for Discussion Group on health service integration and SWAps (Hutton)	Document A
• Issue paper on decentralisation and SWAps (Hutton)	Document B
• Report on Tanzania health sector review (Hutton)	Document C
• Contribution of SDC to the health sector in Mozambique (Costa/Birch)	Document D
• Presentation at GTZ workshop in Cameroon "Moving from the project approach to SWAps: Case study of Dar es Salaam". (Hutton)	Document E
• Report of KIT workshop on SWAps, reproductive health and HIV/AIDS (Hutton)	Document F
• Report of LENPA event, Ottawa (Lorenz)	Document G
• Report of OECD/DAC meeting, Paris, February (Kessler)	Document H
• SDC's SWAp experience and policy (Hutton)	Document I
• Minutes of meeting with Olivier Burki (Hutton)	Document J
• Minutes of meeting with Veronica Walford (Hutton)	Document K

The following are related outputs provided on the CD-Rom that may be of interest:

• Report on Tanzania health sector review (Salerno)	Document L
• Report of GTZ SWAp meeting in Cameroon (GTZ)	Document M
• Report of LENPA event (CIDA)	Document N
• Tanzania health sector review final report (GoT)	Document O
• SDC annotated bibliography 1992-2002 (SDC)	Document P
• Paper describing the evolution of the SDC programme in Mozambique (anon)	Document Q
• TOR for the SWAp working group in Mozambique (anon)	Document R
• DAC Task Force document "Moving towards budget support" (DAC)	Document S
• Abstract book for ITM (Belgium) conference on integration (anon)	Document T

5. SWAP-RELATED ISSUES IN NEED OF FURTHER EXAMINATION

¹⁶ http://www.kit.nl/specials/html/sw_sector_wide_approaches.asp

¹⁷ http://www.share-net.nl/html/working_group_swap.asp

¹⁸ http://www.ecdpm.org/en/internal_donor_reform.htm

¹⁹ <http://www.capacity.org/12/box1.html>

²⁰ http://www.euforic.org/by_theme/730.htm

A large number of challenges remain to be adequately addressed in the field of international development cooperation over the coming years. While the understanding about development aid has increased enormously over the past 10 years, with the production of a large amount of evaluative and policy documents²¹, the situations often existing at the level of implementation are often too complex for any formulaic solutions to be proposed. Many donors, while supporting SWApS and budget support in principle, still do not feel comfortable that SWApS necessarily improve on the project approach; or at least, they argue that the range of conditions where SWApS work well are rarely all present. Also, whatever the view of head office, donors usually have different policies in different countries, due to differences in the personalities and interests of those in local offices as well as different realities on the ground and readiness for SWAp. A good indicator of the main issues being faced in development assistance from the donor side is provided by the expressions of interest for the theme of the next LENPA meeting (May 2003 in Bonn), ranked below in terms of the frequency with which suggestions were made by donors (the number of mentions in brackets).

- Governance and the role of non-state actors in SWApS (civil society, local governments, the private sector, Parliament and other democratic assemblies) (9)
- Further work on institutional development and program-based approaches (8)
- Decentralization (7)
- Monitoring and evaluation (4)
- Further discussion of joint accountability and its implications for donor-host country relationships, for internal donor policies, etc. (4)
- The alignment of SWApS and Poverty Reduction Strategies (2)
- Managing program-based approaches in poor performing countries / Conditionality issues (3)

Also, the issue of *multisectorality* and the sectoral interdependencies that need to be taken into account under PRSPs was discussed in the network as being inadequately examined so far, as was the measurement of results under a SWAp.

The selected theme of the next LENPA meeting is that proposed by Germany, who is hosting the event: *'Enhancing Implementation Effectiveness'*, which combines several sub-themes, including capacity development, the role of local government and decentralization to address the *'implementation gap'*. This would focus attention on results, as opposed to issues of process and approach, as has been the case in the past. It was noted that this topic will overlap considerably with the theme of the World Development Report to appear in 2003, which is on service delivery for the poor, and which includes a chapter on the role of donors. The Swiss Tropical Institute is well placed to present at this meeting on its joint experiences with SDC in the area of implementation, including capacity building and decentralisation.

In choosing where it focuses its' attention, SDC would wish to consider concerns that are being vocalized at the international level, in addition to particular issues SDC faces in the field as well as the head office. Also, SDC's particular strengths and experiences should be further exploited when making decisions about what themes to focus its' limited resources on, such as in the case of the SWAp mandate agreement between SDC and STI. The collaboration of the STI, its expertise and networks, is one important player that can help SDC build and consolidate its own expertise in the field of the sector-wide approach. Various activities have been tentatively proposed for 2003:

1. Web site maintenance and updating, adding other elements, seeking and adding other documents by topic of interest, and providing more country information from other (non-SDC) SWAp countries.

²¹ http://www.sti.ch/scih/swap_references.htm

2. Continue the interaction between STI and SDC offices where SDC works in the sector-wide approach (Tanzania and Mozambique).
3. Reviews of international literature, including reporting some key lessons for SDC from other SWAp countries, briefing document (e.g. SWAp and HIV/AIDS, poverty reduction, budget support), as well as possible further capitalisation of the DUHP experience in Tanzania (see presentation made by Guy Hutton "Moving from the project approach to SWAp in Dar es Salaam").
4. Attendance at international meetings on behalf of SDC.
5. Organisation of symposium at SDC on SWAps to further promote SWAps within SDC, and discuss key topical issues SDC faces.

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21. Dietvorst, D., *Policy Brief - Stakeholder participation in sector reform: Tentative guidelines based on field experience from sub-Saharan Africa*. 2002, Paper commissioned by GTZ for the Strategic Partnership with Africa - Task Team Sector Programmes: English. p. 13.
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