THEMATIC EVALUATION OF THE WATER AND SANITATION SECTOR

SYNTHESIS REPORT

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Evaluation for the European Commission

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EVALUATION OF THE WATER AND SANITATION SECTOR

Field Visit Country Note

Samoa

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July 2005

Evaluation for the European Commission

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ABBREVIATIONS AND ACRONYMS

ACP	Africa, Caribbean and Pacific
ADB	Asian Development Bank
EC Office	Delegation of the European Commission for the Pacific office in Samoa
CN	Country Note
CSP	Country Strategy Paper
EC	European Commission
EDF	European Development Fund
EU	European Union
Evaluation	Water and Sanitation Sector Evaluation
Framework	Water for Life Sector Plan and Framework
Government	Government of Samoa
IMF	International Monetary Fund
IWRM	Integrated Water Resources Management
M&E	Monitoring and Evaluation
M of H	Ministry of Health
MNRE	Ministry of Natural Resources and Environment
LDC	Less Developed Country
MAFFM	Ministry of Agriculture Forestry, Fisheries and Meteorology
MDGs	Millennium Development Goals
MWTI	Ministry of Works, Transport and Infrastructure
M&E	Monitoring and Evaluation
NAO	National Authorising Officer
NIP	National Indicative Programme
NGOs	Non Governmental Organisations
O&M	Operation and Maintenance
PWD	Public Works Department
RWSCP	Rural Water Supply Consolidation Project
RWSP	Rural Water Supply Programme
SWA	Samoa Water Authority
Team	Evaluation Team
ToR	Terms of Reference
UN	United Nations
UNDP	United Nations Development Programme
Unit	Evaluation Unit
W&S	Water and Sanitation
WHO	World Health Organisation
WSSD	World Summit for Sustainable Development
WSSP	Water Sector Support Programme

Euro 0.34 = $ Samoa Tarla 1.00

EXECUTIVE SUMMARY

The field visit to Samoa has applied a standard investigation format and analytical methodology in line with the approach set out in the Desk Phase Report. This CN summarises the visit findings, and commences with a brief description of the Evaluation goals, the role of the respective actors, and confirmation of the rational behind the country's selection. The data collection tools used to identify and assemble information have been described, and a brief sector profile establishes the legal framework and environment via which EC funded W&S polices and programmes are implemented. These are largely confined to water supply service delivery, and sanitation has only played a minor role.

In Samoa the W&S is a focal sector, and interventions have been implemented over a relatively long and continuous period, with considerable success. As a consequence it has been possible to acquire a representative and comprehensive insight into service delivery. A terminal project evaluation carried out in 2003 on the RWSP augmented the data collection process, and has enabled the identification of a number of key policy issues to feed into the Evaluation synthesis. A focus group comprised with all the key sectoral actors was convened by Government, and provided an opportunity to share experiences. A site visit to northwest Upolu, and interviews with a range of beneficiaries, allowed a detailed insight into the planning, implementation and effects of the RWSP, a major EC funded water supply project. The field visit has identified the following key W&S issues:

- Water sector projects deliver benefits in line with EC policies and programmes but the lack of base line data, and effective M&E make evaluation difficult;
- Sufficient capacity must be built into the managing and operational entity (SWA) if the benefits of water supply projects are to maximised;
- The evidence indicates that poverty has probably been reduced, and health improvements made, but to what degree is hard to say - they might have perhaps been greater if a sanitation component had been included and with better planning;
- Lack of a coherent national sanitation policy means that EC water supply interventions run the risk of creating negative environmental, and health impacts;
- The EC's water management and development policies are being applied, and are generally in line with national standards;
- Water resources are valued and IWRM is an acknowledged requirement, and to a large degree being practiced (policies are universal), however, the absence of a IWRM plan means that water supply interventions are planned and implemented with insufficient knowledge of surface and groundwater water availability, or long and short term demands from industry, tourism, agriculture, inward migration, etc;
- Gender is a cross cutting issue not normally included as a mainstream project component and unlikely to influence service delivery, whereas environment is a constraint and is being addressed energetically at the IWRM and project level;
- Project efficiency is mixed, but largely successful, although hampered by EC rules and policies – particularly as regards, approval, procurement and technical continuity;
- Policies are universal and don't conflict with programmes funded and implemented by member states, donors, UN agencies or the development banks; and,
- Liaison and working relationships with other actors active in the W&S sector are effective and no clashes were identified.

Although the above sectoral issues are Samoa specific, experience of W&S evaluations generally indicates that many of them will be replicated in the other target field visit countries, to a lesser or greater extent. Having identified the relevant key factors the challenge will be to apply the Evaluation analysis methodology outlined in the Desk Phase Report with consistency to ensure that responses are proportionate and logical.

1 INTRODUCTION

1.1 Evaluation overview, objectives and general approach

Responsibility for evaluation in the European Commission (EC) rests with the Joint Evaluation Unit (Unit) of the EuropeAid Cooperation Office (AIDCO). Its 2 major aims are to 'respond to the EC's obligation to account for its external co-operation activities and its management of funds', and to 'analyse critically its past and current actions, policies and policy conditionalities in such a way as to identify key lessons learned, which can be fed back into current and future strategic policy formation and programming'. In accordance with this requirement, the Unit has commissioned a Water and Sanitation (W&S) Sector Evaluation (Evaluation), which in addition to its specific goals, forms part of a major enterprise to assist the Unit in developing processes and procedures to shape future evaluation methodologies.

An important requirement of the Evaluation is for the Evaluation Team (Team) to undertake field visits to 7 target countries. The countries selected include Cape Verde, India, Russia, Samoa, South Africa, Morocco and Bolivia. The purpose of these visits is to test and evaluate the manner in which W&S policies and plans financed by the EC are being implemented in the context of overall development cooperation at country level. Information and data shall be collected in order to evaluate:

- Relevance, impact, effectiveness, efficiency and sustainability;
- Consistency and internal coherence between W&S sectoral support and other European Union (EU) policies; and,
- Coordination and complementarity of EC actions and strategies with policies of member states and donors.

This note summarises the findings of the field visit to Samoa, which took place between 6th and 17th of July 2005. The Team Leader undertook the mission and a National Consultant[1] was appointed to assist the mission and prepare the groundwork in advance. This initial phase included the identification of W&S sector stakeholders, member states, development banks, UN agencies and Non Governmental Organisations (NGOs), departments and ministries engaged in the W&S sector. A list of national policies, programmes and projects was prepared, preliminary arrangements were put in hand for a focus group discussion, and a field visit to inspect and meet with beneficiaries of a typical EC funded W&S project was planned.

1.2 Reasons for case study country selection

How and on what basis the 7 target countries were selected has been described in the Evaluation Terms of Reference (ToR). The main selection criteria that were applied in order of priority are as follows:

1. Countries being (in the present or in the past) among the major recipients of EC aid in the W&S sector;
2. Representative of each region - Samoa is an Africa, Caribbean and Pacific (ACP) country;
3. Having W&S as a focal sector; and,
4. Not having been covered by the latest evaluations conducted by the Unit.

The Team were given the opportunity to suggest alternative countries at the Inception Note phase, but after a study of the selection logic and process, this option was not considered appropriate.

As a guide for the field visits country portfolios were prepared for each of the 7 target countries and those for Samoa are included in the Desk Phase Report (See Annexes 6.4 and

[1] Chris Solomona, KVA Consult Ltd

6.5). One of the first tasks of the Team was to review the portfolio for Samoa, and this exercise demonstrated that much of the data was accurate, and that the projects summary was a reliable description of the EC's involvement in the W&S sector.

The Country Strategy Paper (CSP) and National Indicative Programme (NIP) for Samoa[2] identified 'Public health enhancement through water supply and sewerage projects' as a focal sector and continues a long history of support to the W&S sector. Samoa is located in the South Pacific region and is comprised of 2 relatively large islands and 8 smaller islands totally approximately 2,934 square kilometres in area. The main islands (Upolu and Savaii) account for some 96% of the total land area. The climate is tropical and the islands offer a wide-ranging fauna and flora, from fertile lush tropical rainforests to marshes, scrublands and swamps. Samoa's topography is dominated by jagged volcanic ranges and is surrounded by a fringe of tropical reefs and lagoons. The population is estimated at 176,000 with some 21% located in Apia, the capital.

Expressed in comparative terms Samoa is a prosperous and stable country, and the International Monetary Fund (IMF) in their Public Information Notice issued on 2 June 2003 stated that:

> 'During the last decade Samoa has experienced an impressive turnaround in its economic performance. A wide-ranging economic reform strategy, launched in 1993, resulted in macro economic stabilisation and comprehensive structural reforms, which contributed to rapid economic growth in the second half of the 1990s'.

However, for the period the gross domestic product slowed to 1.9%, caused mainly by a steep decline in agricultural production due to unfavourable weather conditions, and a sharp contraction in construction activity.

[2] Country Strategy Paper and National Indicative Programme for the period 2001 - 2007

2 DATA COLLECTION

2.1 Methods used, availability, limits and potential constraints

The main data collection techniques applied during the field visit was comprised of literature reviews, briefings, debriefings, structured and unstructured interviews, group meetings and Focus Group discussions. A field visit to a representative EC partnered project allowed the range of data collection procedures to be expanded, and interviews with key stakeholders and beneficiaries conducted. The combination of these different data collection tools and methods allowed the collection of quantitative and qualitative information on the W&S sector. This was assimilated and used to address the 9 Evaluation Questions (See Section 4).

Because of Samoa's size, the fact that the EC are the main W&S actors, the limited number of donors, and the virtual absence of member state involvement, it was possible to obtain a comprehensive overview of the sector. A lot of information was available from a recent evaluation of a major EC Rural Water Supply Programme (RWSP), which the Team Leader undertook in 2003[3]. This has in part been updated, and supplied much of the background and supporting information contained in the CN. The RWSP has its origins in a national master plan carried out in 1996[4].

2.2 Meetings and briefings

The Delegation of the European Commission for the Pacific Office in Samoa (EC Office) were advised by the Unit of the Team's arrival in advance, had been provided with a copy of the ToR, and were familiar with the aims of the field visit. The mission commenced with a briefing of the Head of Office on the objectives and structure of the Evaluation. Assistance with the collection of information on the principal stakeholders, programmes and projects was requested, and the activity schedule discussed and agreed. Preparatory arrangements had already been put in hand for a focus group meeting which would assemble all the main actors and enable a joint review of EC funded W&S initiatives to be conducted. A number of key documents and references were identified and made available by the EC Office. The field visit concluded with a debriefing of the EC Office.

In addition to the actors attending the focus group meeting, interviews were held with Government of Samoa (Government) officers, and personnel responsible for projects that had a pertinent W&S component or influence. Past, current, and future projects and initiatives were reviewed and information was acquired on their implementation modalities, relative strengths and weaknesses. Links to national government programmes and policies were explored. Using information on other donor involvement contained in the CSP as a guide (Ref Annex 6.6), the main W&S stakeholders were identified and pertinent projects assessed. A detailed list of the Persons met during the field visit is included as Annex 6.3.

On site, numerous meetings were held with villagers, politicians, local administrative functionaries, and a woman's committee representative benefiting from EC funded water supply services. Meetings were also held with the consultants and Samoa Water Authority (SWA) staff working on current W&S projects funded by the EC, national consultants and commercial enterprises. The Water Resources Specialist advising the National Authorising Officer (NAO) briefed the Team on technical issues. This appointment is a 3-year EC funded position with close links to the EC Office, and together they have been instrumental in establishing a sound technical and legal basis for EC funded W&S investments.

[3] Evaluation of the Water Supply Programme in Samoa, Project ACP-6WSO-25 and 8-WSO03, I G Harmond and M V De Stricht, January 2004

[4] Kennard and Lapworth, G M Meredith and Associates Ltd, National Water Resources Master Plan Study (Stage 1), June 1996

At the end of the mission a debriefing took place at the EC Office and the Team's preliminary findings were presented. Details of the site visit and information on the persons and organisations visited during the mission were provided.

2.3 Structured and unstructured interviews

Interviewing the main stakeholders and beneficiaries formed an important component of the field visit data collection process, and was accomplished through numerous structured and unstructured meetings. These were aimed at gathering general information on the following topics:

- The W&S situation in the country – past, current and projected constraints and challenges;
- The role of the EC in the sector – policies, programmes and projects (past, current and future);
- Involvement of other donors and member states active in the sector;
- Institutional and organisational relationships – linkages, roles and responsibilities; and,
- The engagement and role of beneficiaries in W&S service delivery.

The topics served as the basis for identifying, isolation, and gathering a range of information on specific W&S issues. The structured interviews were undertaken using the 9 key Evaluation questions, and were supported by unstructured interviews with stakeholders, beneficiaries and other actors engaged in the W&S sector. The latter interviews were used to test and verify information gathered from the former.

2.4 Site visits

There are no EC funded sanitation projects in Samoa and the main investments have been, and continue to be, in rural water supply service delivery. They date back to 1993 when consultants carried out a study of the rural water supply sector[5], and are continuing. The largest investment has been the Rural Water Supply Programme (RWSP), which constructed water supply infrastructure in the most heavily populated areas in Upolu (the northwest) and Savaii (the southeast). The works commenced in 2002 and were completed in mid 2003 at a cost of some Euro 22 million. The RWSP was the subject of an evaluation in late 2003 (See Reference 3).

The site visit was concerned with visiting a number of representative areas in northwest Upolu to meet with a range of beneficiaries of the RWSP. The aim was to determine what changes they had experienced, and to test the 5 evaluation criteria (relevance, impact, effectiveness, efficiency and sustainability). The sites visited were located on the northwest of Upolu, and included Siufaga, Satuimalufilufi, Faleula. The beneficiaries included a women's' committee president, an ex village mayor, and a current village mayor. They were interviewed using the 9 Evaluation questions and the outcome has been assimilated into the General Findings (See Section 4).

2.5 Focus group discussion

A focus group discussion was organised and conducted with a range of actors involved in the W&S sector. They included representatives of Government departments and ministries, the donor community, the UN family, the private sector and the EC Office. In all a total of 23, plus the Team leader and National Consultant, attended the discussion, which was held in the Ministry of Finance and chaired by the Assistant Chief Executive Officer. The primary objective was to gather qualitative data and in-depth information on project related W&S service delivery interventions from a variety of stakeholders with different perspectives through a reflective process and open exchange of information. Focus group's are used to

[5] Rural Water Supply Programme Definition Study, GKW Consult, May 1993

augment and support other data collection tools and are a scientifically recognised, reliable, and valid method of social research.

The 9 Evaluation questions formed the discussion agenda, and after a brief introduction, the participants were asked to consider and reply to the questions. They were also to give their views on the responses of other actors where applicable. The questions, the respective assessment criteria, and the primary reason for their selection are briefly summarised as follows.

- Questions 1, 2 and 3 are designed to assess the impact and effectiveness of EC support to W&S, and one of these questions addresses the major MDGs;
- Questions 4 and 5 deal with IWRM, one focusing on improving water governance in accordance with IWRM, the other on the adoption of IWRM in programmes;
- Question 6 deals with gender, which is a major cross cutting issue associated with the water sector;
- Question 7 addresses the efficiency of W&S delivery programmes, and,
- Questions 8 and 9 deal with issues related to coherence, co-ordination and complementarity and as such aim to address 2 of the 3 major purposes of this Evaluation.

With the number of participants set at 20, the group was somewhat larger than desirable but in spite of this drawback there was a free flow of information and the discussion was considered a success. It's in the nature of focus group discussions that information, while perhaps at times emotive, and often viewed from a singular perspective, is qualitative by nature and rarely quantitative. With this proviso the Team received a range of valid (and not so valid) information on the general W&S situation in Samoa, the EC's role in W&S service delivery, the involvement of donors, the UN family and NGOs in the sector, the institutional and organisational landscape, and the engagement and role of beneficiaries. This has been used to frame the preliminary findings (See Section 4).

3 BRIEF SECTOR PROFILE

3.1 Laws, acts and legal statutes

The primary water related legal statute is the National Water Resources Policy[6], which was approved by cabinet in 2001, and places responsibility for water resources management with the Ministry of Natural Resources and Environment (MNRE). This is based on the earlier 'Water for All' – A National Water Policy[7], which in turn has its origins in an EC funded study carried out in 1996 (See Section 4).

A National Water Services policy has been prepared and 'provides the framework for sustainable delivery of water services integrated within the sustainable management of Samoa's water resources'[8]. The main actor in the water sector is the SWA, which is wholly owned by the Government and was the Water Division of the Ministry of Works Transport and Infrastructure. It has its functional origins in the 1993/1994 Water Authority Act, repealed under the 2003 SWA Act (Act)[9]. In its preamble the new Act is described as:

> 'An Act to continue the operations of the Samoa Water Authority under revised legislative provisions aimed at promoting its financial independence and its role as a provider of economically viable services through an accountable management structure'.

Item (g) of the Act aims to see the SWA 'progressively achieve economic viability' with the ultimate goal being full financial autonomy. This is reaffirmed in the SWA's Corporate Plan (2003-2005), which lists to 'reduce or eliminate dependence on Government contributions' as a highest priority[10]. To achieve this ambition is a huge challenge and in 2003 the operating figures estimate income at $T 4.5 million and the total operating expenditure at $T 12.0 million, a shortfall of some $T 7.5 million or about 60%[11]. The difference is made up of Government grants and subsidies, but there is no attempt to cover the depreciation costs estimated at $T 3.5 million per year[12]. The position has not altered markedly.

A 'Performance Measure' undertaken of the SWA recommended that to redress the financial imbalance the water tariff should be increased, collection rates from defaulters should be improved and asset depreciation should be independently reassessed[13]. Current cost recover levels are low and the water tariff represents about 2% of annual income for the 70% of the population earning less than $T 10,000 per annum. In the rural areas it will be virtually impossible to achieve 100% cost recovery and the general tariff will have to reflect the drain on resources caused by maintaining a high quality water supply services in sparsely occupied areas.

The need for a holistic approach to water resources management has been acknowledged and forms a key element of the EC funded programme of support to the water sector. Emerging from EDF 9, support under the ACP/EU Cotonou Agreement will be in accordance with the NIP. It will be funded through the A-Envelope (Euro 20 million) and the B-Envelope (Euro 7.1 million), and focuses on the 'improvement of the quality of public health through the development, management and conservation of water resources and the disposal of waste water, in the framework of sustainable development of Samoa's economic and social environment'[14].

[6] National Water Resources Policy, Department of Lands, Surveys and Environment, June 2001
[7] National Environment Management Study, Water for All, A National Water Policy, April 2000
[8] National Water Services Policy, Samoa Water Authority, undated
[9] Samoa Water Authority, Act No. 13, 2003
[10] Samoa Water Authority, Corporate Plan, 2003 - 2005
[11] Samoa Water Authority, Financial Summary, Department of Treasury, undated
[12] Water for Life, Water Sector Plan and Framework for Action, Coordinated by the Samoa Water Authority, 2005
[13] Samoa Water Authority Performance Measure, Department of Treasury, undated
[14] Briefing paper for Presentation to Prime Minister, undated

3.2 Governance, administrative arrangements, roles and responsibilities

The Government is a parliamentary democracy comprised of 49 elected district representatives. Legislation and governance is exercised through a cabinet and 13 ministries headed by a Prime Minister. The countries traditional leaders elect a Head of State every 5 years, although the current Head has been in position for much longer. Responsibility for the SWA rests with the Ministry of Works, Transport and Infrastructure (MWTI). The full ministerial list is as follows[15]:

Ministry	Ministry
Foreign Affairs and Trade	Police and Office of the Attorney General
Finance	Commerce, Industry and Labour
Education, Sports and Culture	Revenue
Works, Transport and Infrastructure	Justice and Courts Administration
Agriculture, Forestry, Fisheries and Meteorology	Women, Community and Social Services
Communications and Information Technology	National Resources and Environment
Health	

Ministries exercise their authority through 18 departments, under the current public sector reform programme this number will be reduced to 14. Other reforms are planned, and include the introduction of fixed term appointments, broader competition for department head positions and the streamlining of departments generally. The Public Works Department (PWD) has been in the forefront of the reform process and has been successfully downsized, and a number of its key operational functions outsourced.

Within this favourable economic context, the Government have expressed concern that socio economic benefits are not being shared equitable between the rural and urban communities. As a consequence they have identified the revitalisation of village economies through agricultural improvements and the promotion of village based industries. Crucial to this goal is the upgrading of the socio economic infrastructure, through consultation with the beneficiaries and in a sustainable manner. The provision of potable water supplies is considered a key element in this process.

3.3 National strategies, programmes and plans

There is a long history of donor involvement in Samoa's water sector, with the EC in recent years being the most active participant in terms of technical and financial contribution. A summary of the EC water sector initiatives, and the respective allocated amounts set down in Lome IV (1990 to 1995), Lome IV bis (1995-2000)[16] and the 9th EDF are as follows:

National Indicative Programme	Amount (Euro)	National Indicative Programme	Amount (Euro)
Lome IV, 1990-1995		**Lome IV bis, 1995-2000**	
Rural water supply study	0.06	Rural water supply programme	13.20
Afulilo hydropower plant	0.90	Micro project phase II	1.00
TA institutional strengthening study	0.05	Total:	14.20
Water master plan and design	0.60	**9th European Development Fund**	

[15] Cabinet Portfolio Reshuffle, Minister of Foreign Affairs, 6th August 2003
[16] European Union, Delegation of the European Commission for the Pacific, Annual Report, 2002

Public awareness – rural water supply	0.06	Rural water supply pre proposal studies	0.60
Pilot micro projects	1.00	Rural water supply consolidation	1.80
Water quality expert	0.08	Orientation, enabling environment and capacity building	1.20
Public awareness – rural water supply	0.50	Rural water supply, sanitation and wastewater services	9.00
Rural water supply programme	5.30	Support to sustainable water resources management	2.40
Total:	**8.55**	**Total:**	**15.00**

An important EC funded initiative has been the appointment of the Water Resources Consultant to advise the NAO and address the problem of insufficient 'technical human resources and to liase effectively with the main Government departments, the private sector and SWA, all key stakeholders in the present and future Programmes'[17]. This appointment commenced in 2003, was subsequently extended from 24 to 36 months, and will probably conclude in 2006. As well as assisting with the planning and implementation the EC's development portfolio, the TA advises Government on the improvement of water resources planning, raising the level of awareness of the importance of water, and acts as a point of reference for all those active in the W&S sector.

The importance of taking an integrated and coordinated approach to the planning of water supply and wastewater management is generally recognized, since improvements in water infrastructure without parallel investments in wastewater management and sanitation will invariably result in increased public health risk. Thus the conception, identification, study and implementation of appropriate sanitation systems for urban and rural communities have a high degree of priority within the W&S sector. The EC's support in this regard is limited, and is currently through the promotion of 'environmentally friendly sewerage schemes', co-financing of the public sewerage system in Apia (including the provision of support to the SWA), and the delivery of health messages through the Euro 4 million micro projects.

Tentative forecast of estimated payments of 9th EDF resources reproduced from the NIP is as follows:

Samoa	**Cumulative payments**						
Period	**2002/1**	**2002/2**	**2003/1**	**2003/2**	**2004/1**	**2004/2**	**2005/1**
Water Master Plan II and Water Supply II	0.1	0.4	0.8	1.0	6.0	13.0	15.0
Non-focal sector (Micro-projects)	-	-	1.0	2.0	2.0	3.0	4.0
Balance funds for insurance reserve	-	-	0.2	0.4	0.6	0.8	1.0
TOTAL	**0.1**	**0.4**	**2.0**	**3.4**	**8.6**	**16.8**	**20.0**

3.3 Programmes and projects

There are 2 W&S projects currently being implemented with EC assistance. These are the $T 5.6 million Rural Water Supply Consolidated Project (RWSCP) being implemented by the SWA, and the Water Sector Support Programme (WSSP) being implemented by consultants. Work has commenced on field surveys and the preparation of designs and contract documents for the latter under a Euro 400,000 call for proposals, and approval for

[17] Terms of Reference for Technical Assistance to the National Authorising Officer, undated

construction is currently awaited. The EC funded mirco projects has a water supply component, which includes rainwater harvesting schemes and small family storage facilities.

Numerous donors besides the EC have been, and continue to be active in the water resources sector with the most prominent being Ausaid who have been providing long term institutional strengthening support to the SWA. Other donors include New Zealand, Japan, Germany, the People's Republic of China, France, UK, Korea, Netherlands and the Scandinavian countries. The main water sector donors, and brief details of their programmes are described in Annex 6.6

A significant water related initiative currently being implemented with EC sponsorship is the 'Water for Live' programme. This commenced in early 2005 and comprises a detailed consultation process, which in April 2005 focused efforts at a 'water for life' meeting convened to hear and debate all aspects of Samoa's water resources. A range of speakers attended the meeting, which ran for 3 days and heard 22 presentations from contributors representing Government, the private sector, users groups and beneficiaries. The aim of the initiative is to prepare, consult and seek agreement on a National Water for Life Sector Plan and Framework (Framework) for action. A draft plan has been prepared and is currently being consulted[18].

[18] Water for Life, Water Sector Plan and Framework for Action, Draft for Consultation, Samoa Water Authority, undated

4 PRELIMINARY FINDINGS

4.1 Support to Water Supply and Sanitation

To what extent has EC support facilitated improved and sustainable access to safe drinking water and basic sanitation? (Question 1)

Beginning in 1993 with the 'Definition Study' (See Reference 5) a continuous programme of rural water supply service delivery has taken place, and is continuing. The current RWSCP and the WSSP are building on past experiences and the lessons of the previous initiatives, principally the RWSP, which commenced in 1998 with European Development Fund (EDF) amount totally some Euro 18.7 million. In quantitative terms the RWSP has reputedly delivered 'treated, metered potable water supply to almost 50,000 rural villagers' in the 2 target areas in Upolu (the northwest) and Savaii (the southeast, which is equivalent to 25% of Samoa's population[19]. This coverage is based on the 2001 census, and while this assertion is largely correct, there are gaps in the distribution network, which are being corrected in the RWSCP, and some technical shortcomings. The involvement of the EC in the water sector has undoubtedly been a resounding success.

In spite of the reservations described above, EC support has **improved sustainable access to safe drinking water** for many Samoan's who in the past had to rely on unsafe surface ponds and open wells. Through the provision of metering, management support and technical advice to the SWA, long-term sustainability should be possible. With more metered connections the SWA will be in a better position to close the gap between expenditure and revenue, and if the problems of leakage can be overcome (estimated perhaps as high as 40%) they will be able to deliver sustainable water supply services for the foreseeable future. A new and better-structured water tariff was introduced in 2003, which establishes an equitable balance between commercial, private, metered, non-metered and treated supplies. The tariff favours poor households by providing an initial water allocation free of charge. This is applied to all private users and may not be the best form of tariff cross subsidy.

In terms of providing **improved sustainable access to basic sanitation** the EC funded W&S programme has up until recently largely neglected this issue. Why sanitation hasn't featured more prominently is perhaps understandable, and probably due to the programme being based on studies carried out in the 1990's when the importance of water supplies 'and sanitation' was not fully recognised. Sanitation is an important issue and it has been estimated that while 60% of properties have access to a 'flush' toilets a high proportion are not connected to a continuous piped water supply. When they are the problem of increased sewage loads on the environment, and health will be acute. Surveys have also found that, while in theory, access to sanitation facilities in schools and hospitals may exist, in fact the number of toilets and hand-washing facilities are often inadequate and could pose health hazards. And in the rural areas served by the RWSP, septic tanks are often used to describe any tank, which receives toilet waste. A sample survey in July 2004 indicated that only 17% of such tanks could be considered as true septic facilities (See Reference 19). Sanitation is to assume a higher profile in future EC funded W&S initiatives but in what precise form is unclear at this juncture.

[19] Financing Proposal, Rural Water Supply Comnsolodation Project, September 2003

How far has EC support for access to water and sanitation contributed to a reduction of poverty? (Question 2)

The difficulty in assessing poverty in Samoa is demonstrated by the United Nations Development Programme (UNDP) human development statistics report, which lists no statistic in the Human and Income Poverty Index. The Human Development Index on the other hand is shown rising from 0.714 in 1985 to 0.775 in 2001 - in the UK for the same period it's 0.930. In spite of these statistics Samoa is classified by the United Nations (UN) as a Less Developed Country (LDC), and hence qualifies for the benefits this classification brings[20]. However, the UNDP's statistics start from a very low base (i.e. the poorest countries in the world) and probably do not give an accurate reflection of need in the rural population of Samoa. There are undoubtedly extensive areas of need, relative to the more prosperous sectors of society, but to what degree the EC's funded water supply programme **has contributed to a reduction of poverty**, even from such a low base, is hard to determine.

The argument that providing a metered supply and imposing a water tariff on a poor family might increase its ability to meet their basic costs is largely unfounded, and simple logic indicates that overall the upgrading and provision of new water supplies has indeed reduced poverty levels. Due to a lack of base line data, and any follow up Monitoring and Evaluation (M&E) there is no way poverty improvements can be measured. The difficulty of matching logical framework outputs and evaluating success without this information was made in the RWSP evaluation (See Reference 3), and the need for future projects to include a defendable M&E facility was emphasised. Hopefully the RWSCP and the WSSP has begun the baseline data collection process, which will enable sufficient quantitative evidence to be amassed to confirm water supply service delivery benefits, in terms of poverty reduction.

How far has EC support for improved water supply and sanitation contributed to better health? (Question 3)

How successful EC support for **improved water supply contributed to better health** in the target areas has been (or will be as this is a long term endeavour) is difficult to determine. The World Health Organisation (WHO) and the Ministry of Health (M of H) were unable to provide any reliable long-term data on the incidence of water borne diseases pre programme, but the latter were able to provide data for 2000 to part 2005 and this is as follows:

Disease	2001	2001	2002	2003	2004	2005*	Totals
Typhoid	108	183	443	329	420	192	**1,665**
Gastroenteritis and diarrhoea	1,311	1,973	2,193	2,018	3,208	697	**11,400**
Cholera	-	1	1	1	-	-	**3**

* January to April

The recent typhoid outbreak is reflected in the above figures and is an issue causing the M of H some concern. A recent WHO report identified a number of matters for immediate attention including the following[21]:

[20] Human Development Report, United Nations Development Programme, 2003
[21] Protection of the Human Environment, WHO, S N Iddings, April 2005

- The ongoing national typhoid outbreak should be treated as serious;
- The drinking-water quality monitoring capacity of the M of H should be reinvigorated, and an assessment of the current situation considered;
- Community-based monitoring tools such as the H_2S field screening test for bacteria and water-safety plans should be incorporated into activities within the Samoa Framework for Action;
- Peace Corps Samoa should receive further support and guidance, if so requested, in trial use of the H_2S screening test for bacteria; and,
- The M of H, SWA and the EC office in Samoa should maintain direct links with WHO in seeking to introduce water-quality monitoring tools to the water sector, and should collaborate to develop water-safety plans.

The WHO report underlines the problem of evaluating health benefits flowing from the RWSP. In fact the recent typhoid outbreak is occurring in areas served by the RWSP where you would expect waterborne disease levels to be dropping. The M of H believes the outbreak is caused by food contamination, perhaps from seafood-collected close offshore. The source of infection may be raw sewage from villages spread out along the cost line, which strengthens the argument for increasing pressure for sanitation services in line with the water supply programme.

There is confusion over responsibility for monitoring water quality and until this matter is resolved the actual level of water borne diseases with not be known. The M of H has a statutory obligation to undertake this service but have neither the resources nor the trained operatives. The SWA have a small testing laboratory but historically this is used to check general water quality and not specifically for monitoring water borne diseases.

4.2 Water Resources Management

How far has EC support contributed to the adoption of national policies and legal instruments that are in accordance with the principles of Integrated Water Management Resources Management? (Question 4)

One of the main reasons why the EC's investment in the water sector in Samoa has proved so successful is the strong technical rational on which it has been based. Studies to identify technical demand (and more recently socio economic demand), and a parallel process of Government initiated policy preparation, has demonstrated positive **EC support for national policies and legal instruments in accordance with the principles of Integrated Water Resources Management** (IWRM). The main water related policy initiatives to date are the:

- Ministry of Natural Resources and Environment - National Water Resources Policy, 2001;
- Samoa Water Authority - National Water Services Policy, 2001; and,
- Samoa Water Authority - Water for Life, Report on Meeting April 2005.

The 2 policies (water and water services) establish a sound approach to water management and service delivery. The Framework has emerged from a consultative process that involved all the stakeholders, and was supported by the EC both financially, and through the efforts of the EC Office and the Water Resources Technical Advisor. Most of the principles of IWRM have been addressed and the crucial importance of a detailed water resources management plan is fully realised, although not placed high enough on the water management agenda.

To what extent has EC support facilitated and contributed to the adoption and implementation of Integrated Water Management Resources Management into the planning and implementation of water and sanitation service delivery? (Question 5)

The Framework address all the key IWRM issues, including the MDGS and WSSD targets. There are no obvious clashes with EC's own W&S polices and programmes. The Framework's overall goal is to:

> 'Ensure community access to water of suitable quality and appropriate quantities to meet all reasonable health, environmental, and economic development needs'

The EC's support to the water supply sector has **facilitated and contributed to the adoption and implementation of IWRM into the planning and implementation of water service delivery** but the lack of an IWRM plan for both Upolu and Savaii raises some questions over long-term sustainability. At the present moment Samoa's water resources are largely unknown and there is no means of assessing whether they can support long-term (or even short term) economic and social demand. The islands have abundant rainfall but the population is widely dispersed so the collection, treatment and distribution of water is expensive and ensuring sustainability will prove a challenge.

Some catchment information is available, and 2 management plans were prepared in the 1990's. Some additional work has been done on other catchments in more recent times. However, the remaining parts of the 1966 water resources master plan (See Reference 4) have never been completed, and major investments are being based on a very cursory understanding of the island's water resources (i.e. yields, demands, environment, development, agriculture, socio economics, etc). Key Objective 3 of the Framework refers to effective water resources management, and Strategy 6 calls for a 'focal point for sustainable water resource management and strengthened water resource assessment, management and monitoring'. The latter strategy is the last of 6 and could arguably be the first of 6, which perhaps indicates a lack of purpose in terms of IWRM. There is urgent need for a comprehensive IWRM plan, perhaps applying principles set down in the EC's Water Directive[22].

To prepare an IWRM plan will require hydrometeorological information and this is the responsibility of the Meteorology Division of the Ministry of Agriculture Forestry, Fisheries and Meteorology (MAFFM). They are responsible for the locating, maintenance and management of hydrometeorological stations, and the collection and analysis of information. But the network has largely collapsed and the Meteorology Division are chronically under resourced, although there are plans to correct the situation. In spite of the existence of computer programmes capable of synthesizing data shortfalls, any IWRM plan would need to address this lack of information.

The tensions caused by water ownership (legally Government but in practice exercised by local communities) coupled with the problem of access and land compensation, could be relieved if there was a proper IWRM plan. This approach has begun to work in Afghanistan where competition for water has been partially alleviated through extensive consultation (brokered by the Provincial Reconstruction Teams), and the preparation of river basin management plans that clearly demonstrate to communities (and more importantly war lords) that water is a finite resource and must be preserved for the good of all[23].

[22] Directive 2000/60/EC of the European Parliament and of the Council of 23 October 2000 establishing a framework for Community action in the field of water policy, Official Journal L 327 , 22/12/2000 P. 0001 - 0073

[23] Asian Development Bank, Project Identification and Formulation Mission – Bakhan, Jawzjan and Herat, Provinces, I G Harmond Associates Ltd, Irrigation Consultants Report, 15th March 2004

4.3 Cross Cutting Issues

How far has the EC addressed existing gender inequalities as a key goal in its water and sanitation service delivery programmes, and how successful have these efforts been? (Question 6)

When querying the level of women's participation at a conference on the National Water Policy in November 2003, numerous speakers (male and female) assured the Team Leader that gender was not an issue in Samoa. Of course this may not be as straightforward as is seems but information and baseline data on the role of women in the community have been difficult to obtain. There are women's committees active in most (if not all) villages, and the President the Siufaga committee (P Migao) was one of the beneficiaries of the RSSP interviewed for this Evaluation. As a result, the indications are that the EC's water supply programme has taken into account the crucial role played by women, and have largely **addressed existing gender inequalities as a key goal in its water supply service delivery programme**.

However, with the exception of common sense impacts from improved water supplies (health, less time spent collecting water, etc) the absence of any data makes it hard to gauge how the EC's water supply programme may, or may not, affect the role of women. Indeed attempts to identify issues that might be of concern during the Evaluation were in the main rebuffed as being of no consequence. This attitude may not apply universally as the Ausaid funded Institutional Strengthening Programme located at the MAFFM carried out a quite detailed study into the role of women in 2003 and found some glaring inequities, which have since been addressed.

On balance the unusually strong religious, community and family bonds indicate that gender discrimination is not an issue in Samoa[24]. As well as being prominent members of society, women hold many senior appointments in Government and the SWA, confirming this reality.

4.4 Water Supply and Sanitation Service Delivery

To what extent have EC water and sanitation delivery programmes been implemented in an efficient way? (Question 7)

The EC's involvement in the W&S sector dates back to 1993 and with one or two notable exceptions **water service delivery programmes have generally been implemented in an efficient way.** Defining efficient programme service delivery in real terms is not straightforward and the EC Guidelines state that efficiency links 'means through activities to results, assuming, risks and programme conditionality are mostly within direct donor control'[25]. On this basis there were inefficiencies in the planning and implementation of the RSWP, the largest EC sectoral investment to date. These were identified in the 2004 evaluation (See Reference 3) and can be summarised below:

- Delays, inherent in EC rules and procedures, resulted in slow implementation, particularly those imposed by the initial financial ceiling;
- Appointment of the Project Management Unit was late - their contract was signed in March 1999, and their assignment started on February 2000;

[24] Just Therapy Team, Addressing Issues of Violence and Safety in Families, New Zealand, March 2005

[25] A Guide to the Evaluation Procedures and Structures Currently operational in the Commission's, External Co-operation Programmes, 21st March 2001

- Funds were collected from the 6th, 7th and 8th EDFs to increase the funding ceiling, and these financial constraints had important consequences on the design and preparatory studies;
- The programme may have been too large, and imposed considerable responsibility, in terms of asset management and Operation and & Maintenance (O&M), on an emerging SWA involved in a major reform process;
- Separating works design from construction supervision severed the 'design chain' and caused numerous contractual disputes;
- Some key water mains were not constructed, and these are currently been installed by the SWA under the RWSCP, and,
- There was a contractual claim of Euro 1.5 million (since settled by Government at about Euro 0.75 million) largely the problem of site access.

In spite of the specific issues concerning the RWSP described above, compared with similar programmes implemented by the EC, there were very few real surprises. Many of the factors hampering efficient service delivery that entail major civil engineering contracts are commonly experienced[26]. The complexities of designing and constructing water supply infrastructure in semi rural built up areas are too often underestimated.

4.5 Coherence, Coordination and Complementarity

To which extent has EC support to the water sector and other EU development policies affecting the sector, been consistent and coherent? (Question 8)

A review and comparison of the main sectoral elements of the 8 polices related to W&S identified in the Desk Phase Report indicates that there are no significant clashes, and that **EU development policies affecting the sector are consistent and coherent.** More emphasis could have been placed on sanitation, and the lack of an IWRM plan on which interventions can more confidently be based, are potential areas of policy imbalance but these are currently been addressed. As regards the former the EC are advising the SWA on their role in the Apia sanitation and drainage project, and the latter is included in the Framework.

To what extent has EC support to the water sector at country level (as defined in the CSPs, NIPs, etc) been coherent and complementary with overall EC development policies, strategies and actions of member states and other major actors? (Question 9)

The EC is the major funder of water supply initiatives in Samoa, and the only real area where it interfaces with other donors and agencies active in the sector, is in the rural context, where it funds village and community water supply schemes under the micro projects**.** Regarding the CSP and NIP (See Reference 2), the first point of note is the degree of conformity between the projects listed, and the W&S projects identified in the Desk Phase database analysis and described in the country portfolio for Samoa (See Annexes 6.4 and 6.6). Although there has been limited involvement from other development actors, member states and major actors in the W&S sector, **support to the water sector has been coherent and complementary with overall EC development policies, strategies and actions**.

Details of all donor-funded initiatives listed in the CSP are attached as Annex 6.6. The EC Office and the NAO are in regular contact and maintain close relationships with bilateral donors and NGOs working in this area (JICA, Ausaid, Red Cross, etc) to ensure that other. As stated the only member state active in Samoa at the present time is in the Federal

[26] Cao Bang and Bac Kan, Rural Development Project (ALA/VNM/97/17), Vietnam, Terminal Evaluation, January 2005

Republic of Germany who is investing Euro 1 million in Apia's water system. In the past they have been well represented professionally, and a German firm carried out the first W&S study in 1993 (GKW Consult), and more recently Dorsch Consult carried out the latest EC funded study[27]. The involvement of other member states is largely in an advisory and supportive capacity

[27] Rural Water Supply and Sanitation Study, Draft Final Report, Dorsch Consult, August 2004

5 CONCLUSIONS

5.1 Main country specific issues

The aim of the CN is to allow information to be gathered on EC support to the target country, which can then be fed into the synthesis report. From the interviews, meetings, focus group discussion, and the site visit to the RWSP project area in northwest Upolu, an acceptable view on the EC's contribution to the W&S sector in Samoa has been gained. The evaluation of the RWSP in 2003 has also provided a lot of information, and it has been possible with some confidence to identify a number of key sectoral issues, which are as follows:

- Water sector projects deliver benefits in line with EC policies and programmes but the lack of base line data, and effective M&E make evaluation difficult;
- Sufficient capacity must be built into the managing and operational entity (SWA) if the benefits of water supply projects are to maximised;
- The evidence indicates that poverty has probably been reduced, and health improvements made, but to what degree is hard to say - they might have perhaps been greater if a sanitation component had been included and with better planning;
- Lack of a coherent national sanitation policy means that EC water supply interventions run the risk of creating negative environmental, and health impacts;
- The EC's water management and development policies are being applied, and are generally in line with national standards;
- Water resources are valued and IWRM is an acknowledged requirement, and to a large degree being practiced (policies are universal), however, the absence of a IWRM plan means that water supply interventions are planned and implemented with insufficient knowledge of surface and groundwater water availability, or long and short term demands from industry, tourism, agriculture, inward migration, etc;
- Gender is a cross cutting issue not normally included as a mainstream project component and unlikely to influence service delivery, whereas environment is a constraint and is being addressed energetically at the IWRM and project level;
- Project efficiency is mixed, but largely successful, although hampered by EC rules and policies – particularly as regards, approval, procurement and technical continuity;
- Policies are universal and don't conflict with programmes funded and implemented by member states, donors, UN agencies or the development banks; and,
- Liaison and working relationships with other actors active in the W&S sector are effective and no clashes were identified.

Although the above sectoral issues are Samoa specific experience of evaluations indicates that many will be replicated in the other target field visit countries, to a lesser or greater extent. One of the challenges will be to apply the evaluation analysis methodology outlined in the Desk Phase Report in a consistent way, and ensure the responses are proportionate.

5.2 Main thematic issues to be fed into the synthesis

At this juncture it is too early to be in a position to decide with any confidence what the main Evaluation's W&S thematic issues are, their order or precedence or how they should be analysed. More study and investigative work will be needed to do this, but at this juncture it has been possible to identify some key factors with a bearing on the effectiveness of EC support to the W&S sector emerging from the field visit to Samoa, and these are as follows:

- Lack of baseline, and post project evaluation data, continues to hamper the application of the 5 evaluation criteria (relevance, impact, effectiveness, efficiency and sustainability), required to evaluate service delivery performance and defend future project, and programme decisions;
- Harmonisation of policies and programmes along with continuity, is essential for achieving the 3 'C's (consistency, coordination and complementarity);
- The EC's investment in W&S has proved successful largely because it has been viewed as a focal sector, and implemented continuously over a long timescale;
- Programmes and projects must integrate water supply and sanitation interventions, either directly or through partnerships with other actors;
- Policies are broadly in line with international W&S standards and there are few significant contradictions or clashes;
- Successful IWRM can only be achieved through consultation and engagement, and the importance of an implementable IWRM plan is not being stressed sufficiently; and,
- The general move towards the adoption of a more sector based development approach, and the establishment of close 'working partnerships' with recipient countries, will address many of the issues related to implementation delays and operational constraints.

These are the main responses and thematic issues emanating from the field visit to Samoa. At the synthesis stage they will be combined with those identified from the other 6 target countries and consolidated into a single information pool, which will enable the evaluation criteria to be modelled.

6 ANNEXES

6.1 List of Documents Consulted

Ref	Generated	Title and Subject	Date/Ref	Comments
EC Family – Country Strategy Paper updates, water and sanitation programmes and projects, evaluations, project preparation, mid term reviews, investment, etc				
1	EC	Country Strategy Paper, 2002-2007,	10th September 2002	
2	EC	Financing Agreement, Rural water Supply Programme (WSO/7002/000, EDF VIII)	31st August 1998	
3	EC	Evaluation in the European Community, A Guide to the Procedures and Structures	21st March 2001	
4	EC	Terms of Reference for Technical Assistance to the National Authorising Officer	undated	
5	EC	The Users Guide to Tenders and Contracts Finance by European Development Fund	May 1994	
6	EC	Official Journal of the European Communities, Article 4, Eligibility	31st December 1990	
7	EC	European Union, Delegation of the European Commission for the Pacific, Annual Report	2002	
8	EC	Joint Annual Report 2004, Samoa	25th July 2005	
Country Specific - Water laws, acts and statutes, development programmes, poverty reduction strategies, privatisation and decentralisation plans and initiatives, investment etc				
1	Minister of Foreign Affairs	Cabinet Portfolio Reshuffle	6th August 2003	
2	Samoa Water Authority	Act No. 13	2003	
3	Samoa Water Authority	Corporate Plan 2003 – 2005	2003	
4	Department of Treasury	Samoa Water Authority, Financial Summary	undated	
5	Department of Treasury	Samoa Water Authority Performance Measure	undated	
6	Ministry of Natural Resources and Environment	National Water Resources Policy	2001	
7	Samoa Water Authority,	National Water Services Policy	2001	
8	Ministry of Natural Resources, Environment and Meteorology	National Environment Management Study, Water for All, A National Water Policy	April 2000	
9	Samoa Water Authority,	Briefing paper for Presentation to Prime Minister	undated	
10	Ogilvy, Adams and Rinehart	Public Awareness Programme, Samoa Water Authority, Final Report	December 1995	
11	Treasury Department,	Strategy for the Development of Samoa 2002-2004	January 2003	
12	Ministry of Agriculture, Forests, Fisheries and Meteorology	July 2002 – June 2005 Corporate Plan	March 2002	
13	Samoan Water Authority	Water for Life, Report on Meeting	April 2005	
Development banks, member states and key donors – Country programmes, water and sanitation development policies, projects and initiatives, coordination plans, investment, etc				
1	World Bank	World Development Indicators	2003	
2	Asian Development Bank	Samoa Private Sector Development Strategy, ERi	May 2003	
3	World Bank	Water Resources Management, A World Bank Policy Paper	1993	

4	Asian Development Bank	Water Policy	2002	
5	Asian Development Bank	Samoa Sanitation and Drainage Project	2003	
UN Family - Country programmes, water and sanitation development policies, projects and initiatives, poverty and emergency programmes, coordination plans, investment, etc				
1	United Nations Development Programme	Human Development Report	2003	
2	United Nations Development Programme	Pacific Regional Action Plan, Sustainable Water Management	3rd August 2002	
3	World Health Organization	Guidelines for Drinking-water Quality (2nd Edition), Volume 1 Recommendations	1993, reprinted 1996	
4	WHO	Samoa Mission Report, Health Settings, R T Wolters	June 2000	
5	WHO	Samoa Mission Report, Community Water Supply and Sanitation, Q C Heinsbroek	October 2003	
6	WHO	Samoa Mission Report, Protection of the Human Environment, S N Iddings	April 2005	
NGOs, Private Sector – Water and sanitation sector partnerships, investment, studies, design, construction, monitoring and evaluation operation and maintenance, etc				
1	GKW Consult,	Rural Water Supply Programme Definition Study	May 1993	
2	Rofe, Kennard and Lapworth, G M Meredith and Associates Ltd,	National Water Resources Master Plan Study (Stage 1)	June 1996	
3	Rofe, Kennard and Lapworth, G M Meredith and Associates Ltd,	National Water Resources Master Plan Study (Stage 1)	June 1996	
4	Rofe, Kennard and Lapworth, G M Meredith and Associates Ltd	NW Coast Upolu and SE Savaii Water Supply Schemes, Final Design Report	September 1996	
5	Tasman Asia Pacific Pty Ltd and ACTEW Corporation Ltd	Willingness to Pay	May 2000	
6	Project Management Unit	Rural Water Supply Project, Report on Land Acquisition and Initial Survey	July 2000	
7	I G Harmond and M V D Stricht	Evaluation of Rural Water Supply Programme (ACP-6WSO, 7-WSO and 8-WSO-03)	January 2004	
8	Dorsch Consult	Rural Water Supply and Sanitation Study, Draft Final Report	August 2004	

6.2 Activity Schedule

Wednesday and Thursday, 6th and 7th July	
-	Travel to Samoa

Friday, 8th July	
Morning	**Meeting at KVA Consult Ltd office** • C Solomona and K Vaai
Afternoon	**Meeting at SWA office** • Nigel Warmsley

Saturday 9th	
Morning	Data search, information dissemination and analysis
Afternoon	Site visit – south east Upolu

Sunday, 10th July	
Morning	Data search, information dissemination and analysis
Afternoon	Site visit – north west Upolu

Monday, 11th July	
Morning	**Meeting at the EC Delegation's office – briefing** • S Rogers, N Warmsley and C Solomona
Afternoon	**Meeting at the SWA office** • N Warmsley **Meeting at the SWA office** • N Bailey, A C Bird and I Boonen, Water Sector Support Programme

Tuesday, 12th July	
Morning	**Meeting at KVA Consult Ltd office** • K Vaai, and C Solomona Meeting with P Clarey, environmental scientist and water quality specialist for the WB funded Health Care and Environment Project
Afternoon	**Focus group meeting at Ministry of Finance** • Attendees 1 to 23 (See Annex 6.3)

Wednesday, 13th July	
Morning	**Meeting at Department of Meteorology** • M A Titimaea, C Solomona, and J Varghese
Afternoon	**Meeting at Ministry of Health** • Sinei Fili, and C Solomona

Thursday, 14th July	
Morning	**Site visit north west Upolu** • J Varghese and C Solomona **Meeting at the EC Delegation's office – debriefing** • S Rogers, and C Solomona
Afternoon	Country note outline, information dissemination and analysis

Friday, Saturday and Sunday, 15th, 16th and 17th July	
-	Travel to UK

6.3 List of People Met

Item	Name	Organisation	Function
1	Dr S Rogers	Delegation of the European Commission for the Pacific office in Samoa	Head of Office
2	Dr N Walmsley	Technical Assistant to National Authorising Officer	Water Resources Specialist
3	C Solomona	KVA Consult Ltd	National Consultant
4	Noumea Simi	ACEO	Ministry of Finance
5	Misileti Satuala	Activity Manager	AusAID
6	Asenati Tuiletufuga	Senior Activity Manager	AusAID
7	Sebastian Mariner	Principal	OSM Consultants
8	Meapelo Maiai	EPO	UNDP
9	Filifilia Iosefa	Operations Associate	UNDP
10	Jenson Varghese	Manager	PacificConsult Ltd
11	Leilua Tavas Leota	Senior Programme Officer	JICA
12	Setefano Tupufia	Programme Manager	EU Micro projects
13	Maka Sapolu	RC Volunteer	Red Cross
14	Phillip Kerslake	Donor Project Manager	Samoa Water Authority
15	Hisaharu Okuda	Programme Officer	JICA
16	Leasi Galuvao	Assistant Manager	SWA
17	Amosa Pouoa	Principal engineer	Ministry Works Transport and Infrastructure
18	Mulipola A Titimaea	ACEO	Ministry of Natural Resources Environment and Meteorology
19	Laavasa Malua	ACEO	Ministry Works Transport and Infrastructure (PUMA)
20	Peone Fuimaono	Programme Officer Health Systems	World Health Organization
21	Latu Kupa	Director	KEWConsult
22	N Bailey	Hydro R&D	Engineer, Team Leader
23	A C Bird	Hydro R&D	Environmentalist
24	I Boonen	Hydro R&D	Engineer
25	K Vaai	KVA Consult Ltd	Co-Managing Director
26	P Clarey	GHD Pty Ltd	Technical Director
27	J Varghese	KVA Consult Ltd	Engineer
28	H Bammann	FAO	Agricultural Economist
29	S Fili	Ministry of Health	Principle Environmental Health Officer
30	P Migao	Siufaga	Women's Committee President
31	L Faaofo	Satiumalufilufi	Past Mayor
32	R Brunt	Faleula	Mayor

6.4 List of water and sanitation projects (1995-2004)

Year	Status	CRIS Code	Title	Decision Amount (€)	Contracted Amount (€)	Paid Amount (€)	Sector Heading
1995	Closed	FED/7-ACP WSO-19	PUBLIC AWARENESS PROGRAMME-RURAL WATER SUPPLY	62,022	62,022	62,022	Water supply and sanitation - small systems
1996	Closed	FED/7-ACP WSO-27	WATER QUALITY EXPERT	82,851	82,851	82,851	Water resources policy and administrative management
1996	Closed	FED/7-ACP WSO-28	PUBLIC AWARENESS PRG (RURAL WATER SUPPLY)	499,101	499,101	499,101	Water resources protection
1996	Closed	FED/7-ACP WSO-30	PUBLIC AWARENESS PROGRAMME (RURAL WATER SUPPLY)	34,597	34,597	34,597	Water resources protection
1997	Ongoing	FED/6-ACP WSO-25	RURAL WATER SUPPLY PROGRAMME	300,000	292,629	292,629	Rural development
1997	Ongoing	FED/7-ACP WSO-29	RURAL WATER SUPPLY PROGRAMME	5,300,000	5,296,586	5,296,586	Rural development
1997	Ongoing	FED/8-ACP WSO-3	RURAL WATER SUPPLY PROGRAMME	13,120,000	13,116,479	13,116,479	Rural development
2003	Ongoing	FED/9-ACP WSO-1	APPRAISAL STUDY WATER AND SANITATION SECTOR	199,000	199,000	157,186	Water supply and sanitation - large systems
2003	Ongoing	FED/9-ACP WSO-2	RURAL WATER SUPPLY - CONSOLIDATION PROJECT	1,700,000	1,573,000	133,359	Water supply and sanitation - large systems

6.5 List of projects with potential relevance water and sanitation sector (1995-2004)

Year	Status	CRIS Code	Title	Decision Amount (€)	Contracted Amount (€)	Paid Amount (€)	Sector Heading
1995	Closed	FED/7-ACP WSO-21	PILOT MICROPROJECTS PROGRAMME	1,050,193	1,050,193	1,050,193	Rural development
1999	Ongoing	FED/8-ACP WSO-4	MICROPROJECT PHASE II	1,000,000	935,848	935,848	Rural development
2002	Ongoing	FED/8-ACP WSO-9	TA TO THE NAO	350,000	350,000	229,589	Economic and development policy/Planning
2004	Ongoing	FED/9-ACP WSO-3	TECHNICAL COOPERATION FACILITY (TCF)	600,000	120,000	0	Economic and development policy/Planning

6.6 Donor area of involvement

Donor (approx € mn)	Education	Health	Agriculture	Water	Transport	Law and order	Finance	Women youth and children	Environment
Australia (€ 6.0 **million)**	Institutional strengthening Materials production Training	Institutional strengthening (management) Non-communicable diseases	Institutional strengthening Quarantine Fisheries extension development	Institutional strengthening		Institutional strengthening Police Dept TA for legal drafting	Treasury, Customs, institutional strengthening. Trade investment promotion	Prevention child abuse	
New Zealand (€ 3.0 million)	Curriculum development for secondary education Training	Medical experts Treatment scheme Child health	Training			Institutional strengthening Justice department Attorney general office	Institutional strengthening Inland Revenue	Policy development for women. Assistance to women NGOs	Capacity building Environment Division
EU (€ 4.0 million)	Microprojects	Microprojects	Microprojects and Stabex	Infrastructure Public Awareness					
Germany (€ 1.0 million)			Forest management	Metering system in Apia					
Japan (€ 8.6 million)	Infrastructure Training	Infrastructure	Training		Ports development TA for shipping and ferries				Technical assistance
P. R. of China (unavailable)	Infrastructure	Medical personnel	Training					Sport facilities	
UNDP (€ 2.2 million)	Early childhood Special education Vocational	Medical personnel	Fruit tree development					Youth policy development Micro-credit scheme for women	Climate change Biodiversity conservation
WHO and UNFPA	Medical training	Training, Equipment provision Technical assistance Family planning						Family health programmes. Adolescent health programme	
World Bank (€ 6.8 million)		Policy development Infrastructure			Airport upgrading Roads and bridges		Technical assistance		Institutional strengthening DLSE, coastal management
ADB (€ 3.9 million)	Education Infrastructure, Capacity buildg.		Agricult. Export Promotion				Various TA		

EVALUATION OF THE WATER AND SANITATION SECTOR

Field Visit Country Note

CABO VERDE

Authors: **Jean-Claude Ceuppens**
Antonio Sabino

June 2005

Evaluation for the European Commission

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ABBREVIATIONS AND ACRONYMS

ACP	Afrique, Caraïbes et Pacifique
AEP	Alimentation en Eau Potable
AEPA	Alimentation en Eau Potable et Assainissement
APD	Avant-Projet Détaillé
AT	Assistance Technique
BEI	Banque Européenne d'Investissement
CE	Commission/Communauté Européenne
CF	Convention de Financement
CILSS	Comité permanent Inter États de Lutte contre la Sécheresse dans le Sahel
CNAG	Conselho Nacional de Aguas / Conseil National de l'Eau
DAO	Dossier d'Appel d'Offre
DSRP	Document Stratégique de Réduction de la Pauvreté
CSP/DSP	Document de Stratégie Pays
EUWI	European Union Water Initiative
EDF	Fonds Européen de Développement
IEC	Information, Education et Communication
INE	Instituto Nacional de Estatísticas
INGRH	Instituto Nacional de Gestão dos Recursos Hídricos
JMP	Joint Monitoring Program
MDG	Milennium Development Goals
ME	Millions of Euro
MFPDR	Ministère des Finances, du Plan et du Développement Régional
MIT	Ministerio das Infrastructuras e Transportes
PIN	Programme Indicatif National
PIR	Programme Indictatif Régional
PRS	Programme Régional Solaire
PRSP	Poverty Reduction Strategy Paper
SAAS	Service Autonome d'Eau et d'Assainissement (municipalité)
SCAC	Service de Coopération et d'Action Culturelle (France)
UNDP	United Nations Development Program
WSSD	World Summit on Sustainable Development
W&S	Water and Sanitation

EXECUTIVE SUMMARY

The review of the EU cooperation with Cape Verde shows a concentration of the resources in the basic infrastructures such as water and sanitation. Cape Verde is one of the ACP country were, from the 5th EDF onwards, the EU has granted water and sanitation as a focal sector, financing mainly infrastructures in urban and in rural areas. Cape Verde is also amongst the 10 countries in which the EUWI seeks to facilitate a country dialogue. The EC committed itself to start the country level dialogue on WSS in Cape Verde and this activity is now on-going.

Water is scarce in Cape Verde due to limited and irregular rainfalls (227 mm/year in average) and mountainous slope of most islands, resulting in little recharge of ground water (about 13% only of the rainfall). Salt intrusion from the sea is taking place due to over-pumping. Drinking water production and distribution costs are high as they involve desalination of brackish or seawater. Despite considerable progress in water supply, coverage rates and service levels fall short of what is needed, and a significant percentage of the population still has no access to regular water supply. The water and sanitation sector in Cape Verde is rather poorly coordinated, the institutional frame of the water sector is rather complicated and the municipalities are quite autonomous regarding the management of their water and sanitation services.

The EU actions in the WS sector in Cape Verde may be considered as globally positive and coherent with the EU and the national policies. By focusing on an optimum use of the available resources and productivity improvement of human capital the EU has targeted the poverty issues. Social impact of the projects is assessed as highly positive in the medium and long term.

The important part dedicated to investments and the choice of financing basic infrastructures for water supply and sewerage systems in urban areas has certainly improved the livelihoods of the beneficiaries. Practical and pragmatic works have been undertaken that have led to better conditions, less poverty and increased economic development potential, even if the connection rates to the water and sanitation networks remain still under the objectives. On the other hand, the rural sector suffered for long delays, heavy procedures and lack of efficiency where the weight of papers seem to have overtaken the weight of provided benefits. Success is generally higher when a project focuses on the household level rather than on collective systems where responsibilities for payment and management are shared.

The option taken through the EUWI in favour of a better and smooth dialogue between the different stakeholders in the sector in Cape Verde is particularly relevant. This initiative should be reinforced and could reinforce the integrated water resources management approach: there is a lack of strategy and overview of the national water resources, and of the options to be taken for the next 10 years. An update of the water resources master plan should be encouraged and supported, with an environmental monitoring plan covering communities, coastal waters, groundwater, rivers with social, biological, physical and chemical parameters, monitoring of water and sanitation services. In this master plan a special attention should be given to the renewable energy sector.

As a preamble however, the EU should commit an evaluation on the past results of the 6th; 7th and 8th EDF investments and define lessons for both rural and urban areas. The EU does not have a clear view of its signature and is not really in a position to present and reflect its experience and results as tools for the 9th EDF and further activities. This

evaluation could also contribute to a better-integrated water resources management approach and advocacy.

1. INTRODUCTION

1.1 Evaluation overview, objectives and general approach

The mission had the goal of testing and evaluating the manner on which Water and Sanitation (W&S) policies and plans financed by the EC are being implemented in the context of overall development cooperation at country level. Information were gained in order to evaluate:

- Relevance, impact, effectiveness, efficiency and sustainability;
- Consistency and internal coherence between W&S sectoral support and other European Union (EU) policies; and,
- Coordination and complementarity of European Commission (EC) actions and strategies with policies of member states and donors.

This note summarises the findings of the Cape Verde study. The mission took place between the 30/05 and the 8/06/2005, with the most part dedicated to works in Praia and 2 days for field visits.

The mission started with a briefing and ended with a debriefing to the Delegation. The Delegation briefing allowed us to review some sensitive issues, prepare the activity schedule, and agree on key stakeholders to be contacted. Key documents and references were identified and prepared with the EU, and although the time was short and the EU representative very busy, the doors were always open and we must give a special thanks to the EU representative for his kind interest and efficient co-operation to the mission.

A National Consultant[1] assisted the mission by preparing the groundwork, identifying the main W&S sector stakeholders including other member states co-operation representatives, organising appointments. He also participated to the meetings and field visits.

1.2 Reasons for case study country selection

A long history

The review of the EU cooperation with Cape Verde shows a concentration of the resources in the basic infrastructures such as water and sanitation. Cape Verde is one of the ACP country were, from the 5th EDF onwards, the EU has granted water and sanitation as a focal sector, financing mainly infrastructures in urban and in rural areas. Two years after its independence (1975), within the Lomé II convention, the country benefited of 37,5ME under the 5th EDF wherein the EU assistance focused in the sector of infrastructures, notably W&S and energy for the capital Praia.

The Lomé III (46.7 ME) for the 6th EDF and Lomé IV (53.1 ME) for the 7th EDF allowed Cape Verde to reinforce the interventions in the focus sectors of basic infrastructures (water, sanitation, energy and roads) and developments of new districts or rehabilitation

[1] Antonio Advino Sabino

of old districts in Praia. Moreover, the first regional programmes started through Lome III with (amongst others) the Regional Solar Programme (PRS) implemented under the management of the CILSS. With the Lomé IVbis convention, the Cape Verde benefited in total of 63.4 ME under the 8th EDF, made up with an additional 3ME after the mid-term review in October 1999 that proved satisfactory results.

The main intervention sectors (in ME and % of the PIN) were:

Sectors	6th PIN		7th PIN		8th PIN	
	ME	% of PIN	ME	% of PIN	ME	% of PIN
Water and Sanitation	9,6	39,0	8,7	35,0	7,8	22,0
Energy	2,5	10,0	4,2	17,0	1,8	6,0
Roads infrastructures	-	-	3,2	13,0	14,3	43,0
Urban development and management	6,3	26,0	2,8	11,5	-	-
Health / Education	1,9	8,0	1,6	6,5	3,0	9,0
Institutional support (studies/TA...)	0,2	1,0	2,1	8,5	2,0	6,0
Others	4,0	16,0	2,1	8,5	4,1	14,0
TOTAL	24,5	100,0	24,7	100,0	33,0	100,0

The Country Strategy Paper for the 2002-2007 period set as focal sector the basic infrastructures in W&S, carrying on and strengthening the priorities and experiences between the EU and the Cape Verde. The envelope of the 9th EDF PIN is 39 ME. The "A" envelope amounts 32 ME, of which 25 ME (78%) is allocated to the W&S focal sector.

An EUWI on-going

Under the European Union Water Initiative (EUWI) a Working Group (WG)[2] on Water Supply and Sanitation in Africa was created in Ouagadougou in October 2003. This WG agreed that the focus in the sector should be on national policy dialogues, that 10 countries should be chosen as pilot countries for the exercise, and that one of the EU Member States should be identified to lead the process in each of those chosen countries. Cape Verde is amongst these 10 countries in which the EUWI seeks to facilitate a country dialogue aiming at:

- Coordinating EU Member State and other donor activities;
- Raising awareness about the EUWI;
- Identifying policy issues and institutional bottlenecks that impede investments in WSS;
- Setting up a participatory approach to define country actions consistent with the MDGs and the WSSD targets;

[2] The African Ministerial Council On Water (AMCOW)

- Promoting joint donor-supported programmes for capacity building, piloting of innovative financing mechanisms, and generally to ensure that there is a better socio-economic justification for increased spending on water sector development

The EC committed itself to start the country level dialogue on WSS in Cape Verde and this activity is now on-going.

For all these reasons, Cape Verde appears to be a relevant example to assess the EU W&S approach and strategy implementation.

2. DATA COLLECTION

2.1 Methods used availability, limits and potential constraints

The method used during the mission consisted of the following steps:

- Delegation briefing to introduce the field work programme, identify the contact person and key stake-holders, set up an activity and site visits schedule;
- Collection of the summaries of relevant national water sector development programmes, policies, acts and laws specific to the W&S sector, and the existing documents related to W&S programmes, especially those financed by EC;
- Meetings with beneficiaries, stakeholders, and related institutions and member states and donors;
- Field visits to the target group to understand the relevance and extend to which the programmes suit and meet: (1) the needs and aspirations of the target groups, (2) impact in terms of whether it has contributed towards W&S objectives, (3) effectiveness of service delivery and whether the objectives have been met, and (4) sustainability and the likelihood of service delivery continuing in the post project situation.

A list of the documents consulted is attached in annex A. Projects documents and general national policies were available and relevant for the mission.

2.2 Meetings and briefings

The mission had the opportunity to meet some main government institutions representatives (Foreign Affairs, Agriculture, INRGH, CNAG), member states cooperation representatives, private sector (Electra) and some beneficiaries on the spot during the field visits. The given time to the mission was too short to develop a sound debate with the partners and only an overview and feelings may be collected through this actual approach. The results of the analysis are in concordance with the means allowed to the exercise.

The interviews were conducted according to the evaluation's rationale and methodology, and adapted to the specificity of the person met.

2.3 Site visits

A selection of field visits was made in consultation with the Delegation in the Santiago and Fogo islands. A short field trip was undertaken in Santiago Island (one day) were most of the programmes financed by the EC and other member states projects are implemented.

PRS systems were visited in Fonte Almeida and Flamengos, a water pumping station in Santa Cruz, agricultural management infrastructures in ribeiras[3] Flamengos and Seca, a project financed by the Austrian cooperation in the valley of Ribereita (municipality of São Miguel) and a salt intrusion management dam (Ribeira de Saltos). The mission had the opportunity to talk briefly with some beneficiaries. In Praia some part of the water system network and the desalinisation plant in Palmarejo were also shortly visited. In Fogo island (one day) the mission could appreciate the SAAS Agua Brava (Autonomous Water and Sanitation Service) who is managing the water supply for the Municipality of San Felipe, visit boreholes and pumping stations implemented by the INRGH under German funds, and land reclamation and anti erosion works.

3. BRIEF SECTOR PROFILE

3.1 Context – Water & Sanitation

A difficult environment

Cape Verde is made of 10 islands covering 4,033 km^2. Natural resources are rare and the land is mostly bare and organically poor. Only an estimated 10% of the land is suitable for agriculture (only 40,000 hectares). According to the 2000 Census, the country had a resident population of 434,625 of which 55% lived in urban areas. Santiago is the most populated island with 54% of the resident population and Praia, the capital, has 23% of the resident population. The emigration flow is particularly high and it is estimated that there are more Cape Verdian living in other countries than in Cape Verde: the country is practically dependent of the emigrants remittances and foreign aids. They represent about 34% of the GDP and a significant proportion of the development efforts is based on transfers.

A country open to the world

The economy is consequently very open to the world, depending heavily on imports. Two of the major contributions to the GNP come from outside: the international aid funds and the money transferred by the Cape Verdian migrants. Over the past 15 years, the Government has implemented a strategy based on strong and sustained economic growth, anchored on the private sector and integration of Cape Verde in the world economy. Private investment –especially external private investment- played and still plays a key role in this process by replacing gradually public investments. The economic acceleration of the past decade led to the creation of jobs and their more balanced distribution in terms of gender: the country benefited of a reduction of unemployment rates, even for the female employment. Nevertheless, poverty increased significantly in Cape Verde mainly due to the pressure of the population growth, and the poverty profile[4]

[3] Valleys - Watersheds
[4] Source: Growth and Poverty Reduction Strategy Paper

shows that (amongst other causes) poverty is mostly found in rural areas although it has also increased in urban area.

Scarce water

Water is scarce in Cape Verde due to limited and irregular rainfalls (227 mm/year in average) and mountainous slope of most islands, resulting in little recharge of ground water (about 13% only of the rainfall). Torrential run-off and heavy sediment limit the exploitation of the surface water. Catchments and storage of surface water is very rare. Water supply is unreliable: of the estimated 124 million m3/y of ground water recharge, only half can be exploited. About 94% of the exploitation of ground water are for irrigation purposes of which 50% is lost. Salt intrusion from the sea is taking place due to over-pumping.

Drinking water production and distribution costs are high as they involve desalination of brackish or seawater[5]. According to the RGPH[6] 2000, about 45% of the population get their water through public taps, 25% from water supply network systems, 8.5% from cistern trucks and 22% from rainwater harvesting and storage systems[7], mainly managed by the Municipalities through the "Serviço Autónomos de Agua e Saneamento" (SAAS) companies. Despite considerable progress in water supply, coverage rates and service levels fall short of what is needed, and a significant percentage of the population still has no access to regular water supply[8]. The situation is worse in rural areas due to the dispersion of communities and the difficult access.

The availability of figures in W&S is limited and it is very difficult to disaggregate the covering rates**.** There is no centralisation of data and no reliable figures from the Municipalities in charge of the water supply systems through municipally-controlled companies (SAAS) on production, customers, quality of service, unit consumption, recovery rate, etc. In urban areas, because of a rather complicated institutional situation of the main water and energy supplier company Electra, it is very difficult to collect recent data on service delivery.

The table below illustrates data coming from various official documents[9] where some discrepancies appear.

[5] These are desalinisation plants for the main cities of Praia, Mindelo and the islands of Sal and Boa Vista.
[6] Recenseamento Geral da População e Habitação
[7] Which entails contamination risks
[8] Water supply through public network increased only 1% per year since 1990, while the population growth average is 2,4%
[9] Source: Programa Energia, água a Saneamento – Unidade de coordenação.

Drinking Water Supply (covering rates in %)	Rural					Urban					Global				
	1990	1991	1995	2000	2004	1990	1991	1995	2000	2004	1990	1991	1995	2000	2004
Visão Nacional sobre a Agua[10]	34	--	49			52	--	65			--	42	56		
Global WSS Assessment Report (2000)	--			89		--			64		--			74	
WHO/UNICEF Mid-term report (2004)					73					86					80

Sanitation (covering rates in %)	Rural					Urban					Global				
	1990	1991	1995	2000	2004	1990	1991	1995	2000	2004	1990	1991	1995	2000	2004
Visão Nacional sobre a Agua	10	--	14			--	43	42			24	--	27		
Global WSS Assessment Report (2000)	--			*(?)* *32*		--			95		--			*(?)* *71*	
WHO/UNICEF Mid-term report (2004)					19					61					42

Sanitation

The sanitation situation is precarious, particularly in the rural areas, and the lack of public (and far more private) sanitation facilities exposes the population to various water borne diseases. Sewerage systems are only available in some parts of the main cities (Praia, Mindelo). About 61% of the population do not have access to a minimum service of evacuation of the excreta, turning to the environment for their natural needs, and 39% own a sanitation facility (generally septic tanks), mainly in the urban areas. Of them 9% only benefit of a sewerage system (Praia[11] and Mindelo). A national sanitation policy was published in January 2003 but has not yet started to be implemented[12], the funds allocated to sanitation being by far not enough.

3.2 Governance, administrative arrangements, roles and responsibilities

The specific laws and the most important collateral regulations as well are based on the "Water Code[13]" – Law nº 41/11/84, dated June 1984. This law establishes the general

[10] Visão nacional sobre a água, a vida e o ambiente no horizonte 2025 - CNAG/INGRH (2000)
[11] The Praia sewerage output has been partially destructed since 1999.
[12] The policy considers different "market shares" for respectively water borne sanitation, septic tanks and dry latrines according to the size of the settlements.
[13] Código da Agua – June 1984

basis for the legal status of ownership regime, protection, conservation, management and exploration of water resources.

Suffering of many natural problems, the W&S sector is facing also insufficient coordination in the water resources management. Water services (municipal and/or private companies) generally operate at losses due to inadequate tariff policy, subsidies for irrigation water, lack of skills in some public services, high overheads in central services and inefficient management.

There is no coherent and long-term strategy for water and sanitation in the country and the institutional structure does not reflect the scarcity of the water resources. Actually it seems particular that for a country so stressed with such water concerns, there is no comprehensive strong national "Water Authority". According to the "Código da Agua" the present management system for W&S involves various organisations, i.e.:

- The Government defines the policy;
- The Conselho Nacional de Aguas (CNAG), is an interministerial organisation under the presidency of the Ministry of Agriculture, Fisheries, Water and Environment, and defines and supports the implementation of the water resources policy. The CNAG comprises representatives from the Ministries of Health, Energy, Industry and Trade, Infrastructures and local autonomous authorities (Municipalities);
- The Instituto Nacional de Gestão dos Recursos Hídricos (INRGH) is the national authority for the water resources management
- The Agencia Reguladora (Regulation Agency) ARM, is the economic regulation agency for the water and sanitation operators and,
- The INERF (Instituto Nacional de Engenharia Rural e Florestas) is a works execution agency.

In practice there is little coordination to articulate the sector. At present the majority of the administration and management of the water supply and distribution systems is operated by the Council of the Municipalities through the SAAS. The SAAS ensure the production and distribution of the drinking water for the Municipalities. The drinking water supply and the sanitation systems (with secondary and tertiary treatments to be introduced) of the main centres is under the responsibility of Electra SA, who is now not able to invest in the development of such facilities.

Cape Verde should have a clear strategy for its water resources management and sanitation development. The only two strategic documents (National Water Resources Master plan prepared in 1993 by the UNDP) and the Irrigation Master Plan (prepared in 1997) need to be updated. In the short and mid term, the national strategies for water resources and sanitation are defined in a State Programme for the period of 2000-2005 that recommends:

- An urgent definition and implementation of a National Sanitation policy,
- The approval of a normative and legal framework to clarify the responsibilities of the several institutions involved in the sector;
- To pay special attention to the strategic localisation of the infra-structures for production and water treatment;

- To develop infrastructures of water distribution and brackish water treatment in order to increase the drinking water covering rates;
- To increase the projects for wastewater treatment and solid waste management mostly in the rural centre and promote adapted sanitation facilities (scaled to the users quantities).

The water and sanitation sector in Cape Verde is rather poorly coordinated (diluted between many institutions), the institutional frame of the water sector is rather complicated and the municipalities are quite autonomous regarding the management of their water and sanitation services. The local authorities are specific levels, not always well articulated with the central government level.

A Coordination Unit for Energy, Water and Sanitation (Unidade de Coordenação do Programa de Energia, Agua e Saneamento – UC- PEAS) is financed by the World Bank under a credit line 3205-CV of June 1999. The objective of the Unit is to improve the quality of the energy, water and sanitation services delivery and development, find and manage additional funds for the extension and maintenance of the sector, and promote renewable energies (solar and wind).

Cape Verde has a very strong municipal tradition, and WSS services are under the responsibility of municipal councils (with the exception of urban areas where a private company under concession contract, Electra, provides services). After a period of direct management by municipal departments, the situation progressively evolved toward "Autonomous municipal services", which in fact still have strong links with the municipalities (except in some specific cases like in Boa Vista and Sal where a private company has been set up). WSS services management is therefore a local issue, even if the municipal councils and the semi-autonomous companies do not have yet all the required capacities to do it, which justifies the support provided by several bilateral aid agencies (France, Luxemburg, Austria and Germany).

In 2002, the Water and Energy State Company "EMAP" has been privatised. The new company ELECTRA (SA) and the Government signed a contract allowing the service concession for energy and W&S over a period of 36 years. The assets of the energy production, of the desalinisation plants and the water treatment equipment's of the new ELECTRA company have been shared between the strategic partner, EDP-Electricity & Water of Portugal owing 51% of the shares, the cape verdian government owing 34%, and the Municipalities owing 15%. The assets of the distribution mains, i.e. the whole W&S network, remained in the public sector. ELECTRA is in charge of:

- The production of electricity over the whole country,
- The production of desalinised water in the islands of Sal, São Vicente, Boavista and for the city of Praia,
- The management of the wastewater in the island of São Vicente and in the city of Praia.

3.3 National strategies, programmes and plans

The fight against poverty is a major objective for the Government. The difficult deal is to ensure a steady and sustainable economic growth, with high rates of employment, in a stable framework compatible with the social solidarity in the fragmented geography of the islands, under a well-balanced environmental process.

In September 2004, the Government finalised a Growth and Poverty Reduction Strategy Paper (GPRSP) where five main options for long-term developments and investments are described. These priorities concern good governance through the reform and modernisation of the administrations, promotion of the enterprise capacity and competition, the growing and widening of the production base, education and human resources development, social development (poverty alleviation, social cohesion strengthening), basic infrastructures, environment and land protection measures development.

In the framework of the 9th EDF CSP for 2001-2007, the cape verdian government committed itself to:

- Ensure the conditions foreseen in the concession contract with ELECTRA;
- Ensure a covering rate of water supply under water supply systems network up to 30% at national level for the horizon 2005;
- Allow the access to water for all by guarantee an affordable price to the services for the poorest;
- Strengthen and reinforce the implementation of municipal water enterprises;
- Make explicit in the national budget the subsidies granted to the Municipalities.

3.4 Programmes and projects

The programmes implemented or on-going of the EU in the sector are:

- Santo Antão Water supply and sanitation : 1,4ME (7.ACP.CV.43) finished and nearly closed;
- Praia Water supply and Sanitation (phases I & II): 7ME (7.ACP.CV.07) + 0,217ME (7. ACP.CV.09), both closed in 2000;
- Praia Water Supply and Sanitation (phase III): 7,9ME (8..ACP.CV.05), project in execution.
- Mindelo Water Supply and Sanitation (phase III)
- Calheta Water Supply and Sanitation (9ème EDF)
- Urban solid waste disposal integrated management in the island of Santiago
- Regional Solar Programme (phase I and II). The PRS II (8.ACP.ROC.042 and CV.01) amount is 1.812.000 E (PIR) + 2 960 044 E (PIN), for a 6 years period (2001-2007);
- Amélioration des conditions de vie des résidents dans les quartiers illégaux de la ville de Praia (Africa 70);
- Maio Island Sustainable Development Project (IMVF);
- Water and sanitation tariff study: 0,052ME (7.ACP.CV.52), on-going study.

The total amount allocated to Cape Verde under the 9th EDF is splitted:

	Initial Allocation 9th EDF	Initial allocation 9th EDF + transfers from previous EDF	Total

		(end 2003)	
Envelope A	E 32.000.000	E 32.406.050	E 44.906.150
Envelope B	E 6.500.000	E 6.500.000	E 6.500.000

	Initial allocation		Reviewed allocation indicative after mid-term review	
Focal sector - Water Supply and Sanitation	ME 25.0	78%	ME 25.4	57%
Other sectors	ME 7.0	22%	ME 19.5	43%
	ME 32.0	100%	ME 44.9	100%

The strategic choices and proposed interventions bear on the cities of Praia, Mindelo, Calheta and the solid waste component on the island of Santiago.

4. PRELIMINARY FINDINGS

4.1 EC support to safe drinking water and basic sanitation

To what extent has EC support facilitated improved and sustainable access to safe drinking water and basic sanitation?

% of households having access to an improved and sustainable water source

- We could not identify reliable data or figures on projects beneficiaries in the available projects reports. The availability of figures in the W&S sector is limited and it is very difficult to disaggregate covering rates. There is no centralised data system and the Municipalities in charge of the WS seem not to monitor data on production, customers or quality of service. Due to the complicated situation of Electra (and hard discussions with the Government) it's difficult to collect recent data from the Company. We could not identify a "pre" and a "post" estimation for this %. The population reached by the urban WS programmes was estimated to be 251,000 people in 2000, or 54,570 households[14].
- The EU has spent a considerable amount of money on several urban projects but have few or no evaluation report on the impacts of the 6th, 7th, and 8th EDF projects as a whole. We could not identify an evaluation report on the several EDF results in the available documentation (An evaluation of "phase I" (?) is quoted in an internal EU document). A mid-term evaluation is on going for the PRSII (rural area), but since nothing has been implemented yet for this programme, no trend can be assessed. For the PRS 1 program, 40 systems were installed. If we assume that there are about 1,500 beneficiaries per systems, this would bring us to 60,000 people.
- The studies conducted for now under the 9th EDF will be able to give more information on these indicators and statistics.

[14] Rapport diagnostic sur l'eau, l'assainissement et lês déchets solides au Cap Vert – Dangroup/MIT – Janvier 2003

Daily water availability

- A 2003 report[15] states that the average water consumption in Praia was 47L/day/p in 1980 for a population of 30,000 inhabitants. In 2000 the average consumption in Praia was estimated as 27L/day/p, which is a decreasing. The daily consumption was estimated as 13L/d/p for public taps and 47L/d/p for people with a connection to a water supply distribution system. The minimum water consumption's observed in the main centres is due to an insufficient production in drinking water by Electra, to the habits of the population used to reduce their consumption but mainly because of the high prices applied for water, especially for the poors.
- The new desalinisation plants, the extension and rehabilitation of urban networks provided by the EU supports have increased significantly the access to drinking water. To assess this more properly an evaluation report should be available.

Quality of O&M organisation

- The O&M organisation are either under Electra or the SAAS / Municipalities responsibilities. Reports mention some lack of skills but mainly financial problems: according to the PEAS and the Austrian Cooperation, water services (municipal and/or private companies) generally operate at losses due to inadequate tariff policy, subsidies for irrigation water, lack of skills in some public services, high overheads in central services and inefficient management.
- Figures from the PRSII/INRGH project unit show that 23 of these systems (57%) are out of order today.
- Generally, although undermined by financial difficulties, the water supply systems seem at least to be fairly maintained by the SAAS and Electra.

Cost effectiveness of the WS system

- Under the 6th, 7th and 8th EDF about 20,5 ME were spent for the WS in Praia. If we consider the actual inhabitants (120,000) who benefited of this amount, the cost effectiveness is around 170 E/inhabitant. Common cost per person for access to drinking water supply is generally agreed to be around 50 to 100 US$ (PNUD).
- The PIN + PIR amount allowed to PRSII is 2,96 ME for 25 systems reaching about 50,000 beneficiaries (?), i.e. about 60 E/beneficiary. Unlike the urban programmes, the PRS produced numerous reports and studies but seems to have mitigated results and there is a discrepancy between "papers" and "physical results". This programme seems to suffer from heavy procedures and little flexibility and it could be wise eventually to deeply revise its approach and objectives.

Inclusion in EC support of water treatment facilities, groundwater protection measures and drainage systems

- All the EC programmes have included water treatment facilities (even desalinisation plants) and drainage systems. We assume that protection measures were taken to protect the resources.

[15] idem

% of population having access to improved sanitation facilities, appropriate sewerage systems or sanitation facilities

- Sewerage systems are only available in some parts of the main cities (Praia, Mindelo). About 61% of the population do not have access to a minimum service of evacuation of the excreta, turning to the environment for their natural needs, and 39% own a sanitation facility (generally septic tanks), mainly in the urban areas. Of them 9% only benefit of a sewerage system (Praia and Mindelo).
- The same comments as above apply: there are no evaluation reports giving this kind of figure for the EU funded programmes.

Inclusion in EC support of sanitation facilities, water collection and drainage, used water treatment plants – Existence of water protection policy

- The EC programmes generally included sanitation treatment facilities and when applicable sewerage systems (Praia, Mindelo). The solid waste issue is well perceived and new actions have been taken to reduce the burden of anarchic waste disposal (Praia, Mindelo, Calheta, Santo Antao: 9th EDF). The programmes seem well conceived and coherent.
- There were no small sanitation facilities foreseen in the PRSII (latrines, septic tanks…).
- A relevant national water and sanitation policy was published in 1984 with several improving amendments. What is missing is a comprehensive strategy with a regular monitoring and evaluation system.

4.2 Support contribution to a reduction of poverty

How far has EC support for access to water and sanitation contributed to a reduction of poverty?

% of EC budget aimed at poor population groups, areas suffering from water scarcity, low-income urban or peri-urban areas

- All programmes were directed at poor population groups and areas suffering of water stress, in urban or rural areas. By supporting since the beginning of its cooperation the water sector as a focal sector, the EU reached certainly the main national issue, and the continuity of the approach through the several EDF is a forfeit for more efficiency.

Inclusion in EC support of land value improvement measures, soil and land conservation measures, availability for agriculture, livestock and industrial uses

- The WS urban programmes have certainly added value to the land supplied with the new facilities and therefore reduced poverty. There was no specific activity for soil and land conservation measures or agriculture, these activities being well supported by several others financing agencies (USAID, Austria, France…). In many islands there are many remarkable soil conservation works: in Fogo for example the islands seem in some places “striped” by small walls, dams, trenches and ditches aimed at water and soils conservation.
- Due to the shortage of water, great care must be given in livestock development: livestock must remain a reasonable domestic food contribution only.

Pricing policy

- The CNAG and the Regulation Agency fix the prices applied for water for private or public connections. It may be noted that: i) the tariffs applied for public taps ("chafariz") are often higher than those applied for private connections, ii) the users of chafariz pay a basket of 20 L at a fixed rate: this leads sometimes to a water price by m3 (300 to 700 Esc) almost the double of the price of a private connection (100 to 190 Esc)[16].

Changes in economic activities, outputs and productivity

- We have no specific data on changes in economic activities, but Praia could never have increased his population from 30,000 inhabitants in 1980 to more than 120,000 in 2004, with its inhabitants living in fair conditions[17] without the support and investments of the EU in the WS sector.
- The EU support contributed certainly to the reduction of poverty, how far may be assessed in some reports that we are not aware of. The 2000 Census do not record extreme poverty (revenue less than 2US$/d).
- The rural areas were less concerned with the water projects (PRS ± 5,5 ME – All urban programmes ± 25 ME) although the drinking water supply and poverty situation are worse in rural areas. The 2000 Census estimated that the urban population is 55%.

4.3 Support contribution to better health

How far has EC support for improved water supply and sanitation contributed to better health?

Inclusion in EC support of linkages with health and hygiene promotion measures, coordination with the health sector - % of population affected by waterborne diseases, reduction of mortality through changes of habits

- Although it seems that there was no (?) specific awareness campaign on health and hygiene during the implementation of the different programmes, the impact of the water and sanitation facilities provided has certainly contributed to a better health of the beneficiaries.
- Water harvesting in storage cisterns (currently used in Cape Verde islands) is more liable to affect the quality of the drinking water. The same applies for the delivery of water by trucks to the chafariz. Despite difficult conditions waterborne diseases remains relatively controlled due to a fair awareness of this problem by the population and natural dry conditions.
- On the other hand the solid waste management is going worse and endangers the health conditions of the population in some areas. The 8th and 9th EDF funds foresee specific activities to deal with this problem.
- The strengthening of basic infrastructures in the sectors of water, energy, transport (roads network) and health aimed to improve the livelihood conditions of the populations, to increase the economic environment, as well as to increase

[16] 2.7 – 6.3 Euros / 0.9 – 1.7 Euros

[17] The national GDP is the second in value for the sub-saharian countries and Cap Verde may be even not more considered as a "less advanced country" in the forthcoming years

the competitiveness of productive sectors. This approach constitutes an instrument of the fight against poverty. The EU by investing heavily in the W&S sector set also its attention to strategic questions upstream the water supply and distribution issues, i.e. the production of electricity and drinking water, notably through desalinisation units, and policy management approach for W&S towards the users.

4.4 Support in accordance with the principles of IWRM

How far has EC support contributed to the adoption of national policies and legal instruments that are in accordance with the principles of IWRM?

Inclusion in CSP/NIP of IWRM principles and strategy

- The IWRM approach is not mentioned as such in the 2001-2007 CSP but the strategy adopted works towards the principles.

Overall national water sector policies and legal framework include water resources master plan, approach combining economic, social and environmental goals

- The "Codigo da Agua" law of 1984 establishes the general basis for the legal status of ownership regime, protection, conservation, management and exploration of water resources, but there is no clear national strategy on IWRM. The only two strategic documents (National Water Resources Master plan prepared in 1993 by the UNDP) and the Irrigation Master Plan (prepared in 1997) need to be updated.
- Due the natural context, catchments and storage of surface water is very rare. About 94% of the exploitation of ground water are for irrigation purposes of which 50% is lost. Salt intrusion from the sea is taking place due to over-pumping. EU programmes did not involve in integrated management of resources as such, but the country has a strong experience in small river basin (ribeiras) development with the help of several external aids programmes (US, Austria, France).
- There is no coherent and long-term strategy for water and sanitation in the country and the institutional structure do not reflect the scarcity of the water resources. Actually it seems particular that for a country so stressed with such water concerns, there is no comprehensive strong national "Water Authority".

4.5 Support to the adoption and implementation of IWRM

To what extent has EC support facilitated and contributed to the adoption and implementation of IWRM into the planning and implementation of water and sanitation service delivery?

% of EC budget aimed at the promotion and the implementation of IWRM principles, extensive consultation process, coordination and exchange mechanisms

- The EC committed itself to start the country level dialogue on WSS in Cape Verde under an EUWI project. This initiative seeks to facilitate a country dialogue aiming at i) coordinating EU Member State and other donor activities; ii) raising awareness about the EUWI; iii) identify policy issues and institutional bottlenecks that impede investments in WSS; iv) set up a participatory approach to define country actions consistent with the MDGs and the WSSD targets; v) promote joint donor-supported programmes for capacity building, and generally to ensure that there is a better socio-economic justification for increased spending on water sector development.
- The amount aimed at this initiative is not really significant, although there is no need to spend large amounts to cover its actual objective. More means and an increasing attention should be allocated to this support.

- This “governance improvement objective” is one part of the IWRM, and needs to be supported by a wider view on the other aspects of IWRM such as the quantity and the quality management issues, the economic sharing of water resources, the strengthening of technical skills (SAAS) and renewable energy. The EU is aware of this need but is not in a position to cover all the aspects and a close cooperation with the other EU member states cooperations must be seeked.

4.6 Addressing gender inequalities

How far have the EC addressed existing gender inequalities as a key goal in its water and sanitation service delivery programmes, and how successful have these efforts been?

Degree to which the design of projects in the W&S sector are based on a through knowledge of gender and specific resource allocations

- In Cape Verde the gender issue is well-accounted, and good results and positive impacts are noted. Gender equity is achieved at the level of primary education; as far as secondary and higher education is concerned, girls are presently outnumbering boys. Women nevertheless remain more exposed to illiteracy and unemployment. Overall, women’s autonomy is however increasing.
- The EU delivery programmes of water and sanitation facilities have certainly improved the burden of the water drudgery for women and children and the results may be considered as positive.

Change in position or status of women

- The female employment rate increased the last years and trends to be at the same level than the male employment rate, growing from 25% to 38,6%. Nevertheless, in 2003 the women hold only 16,3% of executive management positions. At legal, decentralised and administrative power levels, the proportions were respectively 11,1%, 13,8% and 18,1%
- Generally the progress made in gender equity and autonomy of women are remarkable. The women show a considerable influence inside the cape verdian society through their increasing role of head of household that many of them assume, this proportion increased from 38,3% in 1990 to 40,1% in 2000. The gender issue has been institutionalised and the number of women in the state organization (Parliament, Government) grows in strength.

4.7 Water and sanitation delivery programmes implementation

To what extent have EC water and sanitation delivery programmes been implemented in an efficient way?

Quality of the technical, human resources and financial management, quality of monitoring and evaluation systems

- The low rates of access to water and sanitation facilities (respectively 25% and 7% in 1998) in the capital Praia justify the implementation of projects aimed to increase the rate of connection to the W&S networks. The objective to increase the water consumption of the beneficiaries of the services (public or private connected) has been reached.

- Coherent logical frameworks[18] have been drawn and the works seem to have been properly executed, after the drafting of appraisals, tenders and the necessary technical specifications documents.

Level of mainstreaming and optimising of local contributions for design, construction and O&M

- In order to avoid to limit the activities to physical works only and to take into account the strategic questions, the programmes included a technical assistance to the EMAP, at the time a state company (now privatised under the name of Electra) in charge of the energy and water supplies management. This part has lost his relevance with the privatisation of Electra and the management of the w&S networks in 2000. The approach of the EU towards Electra (to promote the use of the former investments by favouring the amount of private connections to the network and ensure the maintenance and the development of the executed investments) must be reviewed. We think that it is not to the EU to finance a better customer's base for Electra, but to Electra to show a better commercial strategy by reducing its present high level of costs for the private connections.
- According to the monitoring reports of the EU, the works have been implemented without major problems, in due delay and keeping the amounts allocated. They allow increasing significantly the water supply and the sewerage networks in the districts of Praia and other cities. The implementation efficiency may be considered as good and the Ministry of Infrastructures & Transport (MIT) played an important role during the works supervision periods. The good coordination with the programme PNEAS financed by the world bank should also be noted. The main weakness is the low rate of private connections to the networks due to the high level of fees charged by Electra.
- There were (and is) no monitoring of the efficiency of the systems done by Electra and the Municipality is no more in a position to gather the necessary information's. Electra and the PNEAS financed by the WB only are likely to gather some data. The information shows that the rate of use of the infrastructures is well below what was expected by the objectives mainly in the sanitation sector. The rate of individual connection to the water supply network seems to be around 35% to 40% (objective was 50% in 2002). Only 2000 connections to the sewerage systems have been realised, i.e. a connection rate of about 10%.
- The sustainability of the water supply system seems to have been improved through the investments made by ELECTRA in the desalinisation plant of Palmajero. The financial balance is not reached yet and additional investments are needed if the demand, which is for now around 7,000 m3/d, follows the expected growth. The viability of the whole system will be reached only if the water consumption and the use of the sewers increase noticeably, which supposes to more include the most defavourised categories of the population and to take into account the technical, social and financial constraints that restrain their participation.
- The EU delegation should: i) promote the set up of a monitoring system to assess the impact of the WS & S activities ii) assess and analyse more globally the past activities and results, and analyse the factors limiting the efficiency and

[18] See annex

the impact of the activities and results. This could be very useful for the on-going phases under the 9th EDF funds.

Level of application of appropriate technology

- The PRS I & II programmes do not appear to present the same efficiency as the urban programmes. Their results are rather mitigated. Those weak achievements lead to a bad appreciation of the solar energy by the users and the communities that do not really trust those equipments anymore. This is more distressing if we consider that the Cape Verde is a country where this kind of energy has to be strongly promoted and developed since this is of utmost importance for its future. Heavy procedures and a lack of national technical response hampered the smooth running of the programme that should be probably deeply revised.
- In the rural areas, an approach too focused on an "all-in" community management may be detrimental to the good management of the services. The community approach is indeed essential when defining the needs and sharing the information, but one may wonder if a community (in its wide sense) is able to manage water and sanitation services. The community somewhere does not exist in this case, but so do users and customers that agree to pay for services rendered in due time and within a reasonable price.

4.8 Support consistency and coherence

To which extent has EC support to the water sector and other EU development policies affecting the sector, been internally consistent and coherent? And to what extent has EC support to the water sector at country level (as defined in the CSPs, NIPs, etc) been coherent with policies, strategies and actions of member states and other major actors?

Scope and quality of enabling mechanisms frameworks

- The on-going national workshop for a better dialogue on water resources management supported by the EU under the EUWI aims to identify policy issues and institutional bottlenecks that impede investments in WSS, setting up a participatory approach to define country actions consistent with the MDGs, and promoting joint donor-supported programmes for capacity building in the water sector. As such the support is consistent and coherent, even if this is limited at this stage.

Reference to coherence and complementarity in the CSP and actions of member states

- The on-going programmes financed by the EU or on the start cover a large range of sectors such as roads construction, basic infrastructures, health sector support, budget support, and institutional strengthening. These actions complete or reinforce past interventions and results during the former EDF funds in the water and sanitation sector. The provisional actions intend to extend the coverage of the water supply and sanitation networks and to make profitable the previous upstream investments.
- The chosen community strategy is in coherence with the other policies of the UE and the country. As agreed in the Cotonou agreement the commercial / trade policy is fully integrated in the actual EU strategy for Cape Verde cooperation.

Degree to which synergies and compatibility with the actions of member states and other actors have been pursued

- The coordination between the various funding agencies and member states cooperation is based on a sharing of the interventions and sector of activities. Several important sectors where the community does not intervene such as education, private sector and decentralisation are covered by other member states bilateral cooperation. The framework of the various sector allocations of the EU member states and other funding agencies is given in annex.
- Although this is not specific to the W&S sector, it must be pointed out that the EU heavy procedures slow down not only the EU projects implementation processes but also the coordination with the other EU member states cooperation programmes. The member states willingness to cooperate is there and meetings with exchange of information are hold on a regularly basis, formally or informally. Nevertheless join projects are difficult to manage since the different member states MS – EU procedures do not fit with the same timing. For the MS cooperations, implement a joint programme would often lead to delays and negative results. As an executive civil servant explained to us " *the procedures are killing the chicken before you get the eggs*".
- The decentralisation of the EU delegations with a centre of decisions in Dakar is not in favour of Cape Verde. The exchange processes of documents and decisions between Dakar and Praia lead to delays and is sometimes a cause of some tenseness.
- The European Investment Bank signed in October 2002 an important financing contract of 20ME intended to the modernisation of the aerial transports. The EIB signed also in March 2003 a global loan of 5ME with the 3 main banks of the country in order to finance investments for the private sector for small and medium enterprises. In 2004, the EIB forecasted a second loan for the construction of the new Praia airport and eventually a loan to Electra in order to increase its capacity in energy production in the island of Santiago (10 to 12ME). This loan would be the fourth in favour of the company.

5. CONCLUSIONS

5.1 Main country specific issues

The actions in the WS sector in Cape Verde may be considered as globally positive and coherent with the EU and the national policies. By focusing on an optimum use of the available resources and productivity improvement of human capital the EU has targeted the poverty issues. Social impact of the projects is assessed as highly positive in the medium and long term.

The important part dedicated to investments and the choice of financing basic infrastructures for water supply and sewerage systems in urban areas has certainly improved the livelihoods of the beneficiaries. Practical and pragmatic works have been undertaken that have led to better conditions, less poverty and increased economic development potential, even if the connection rates to the water and sanitation networks remain still under the objectives.

On the other hand, the rural sector suffered for long delays, heavy procedures and lack of efficiency where the weight of papers seem to have overtaken the weight of provided benefits. Success is generally higher when a project focuses on the household level rather than on collective systems where responsibilities for payment and management are shared.

The option taken through the EUWI in favour of a better and smooth dialogue between the different stakeholders in the sector in Cape Verde is particularly relevant. This initiative should be reinforced and more means should be allocated, while still maintaining the present level of pragmatic investments (water and sanitation infrastructures, water treatment facilities). A “soft” approach should be fostered that could be beneficial bothin rural and urban areas. This support could reinforce the integrated water resources management approach: at this moment infrastructures and governance are taken into account but there is a lack of strategy and overview of the national water resources, and of the options to be taken for the next 10 years in terms of quantities and quality.

An update of the water resources master plan should be encouraged and supported, with an environmental monitoring plan covering communities, coastal waters, groundwater, rivers with social, biological, physical and chemical parameters, monitoring of water and sanitation services. This work could benefit from a long and relevant experience of the national counterparts especially of their knowledge of water and soils conservation issues (agriculture as a major consumer, salt intrusions). In this master plan a special attention should be given to the renewable energy sector.

As a preamble however, the EU should commit an evaluation on the past results of the 6^{th}; 7^{th} and 8^{th} EDF investments and define lessons for both rural and urban areas. The EU does not have a clear view of its signature and is not really in a position to present and reflect its experience and results as tools for the 9^{th} EDF and further activities. This evaluation could also contribute to a better-integrated water resources management approach and advocacy.

The only known reference to an “EU water policy” by the national stakeholders is the booklet of the “guidelines for sustainable water resources management”. These guidelines were apparently used during the implementation and the survey process and

are bearing so the witness of their utility. They are now to be updated and adapted to the development of the IWRM principles.

5.2 Main thematic issues to be fed into the synthesis

The poverty alleviation strategy in the water and sanitation sector trends to answer to the fixed objectives. A policy of investments in basic infrastructures designed within a coherent logic allows the development of the capacities of the beneficiaries. *Success is generally higher when a project focuses on the household level rather than on collective systems where responsibilities for payment and management are shared.* Although the management of the infrastructures is more difficult than construction works, there is no way to ask the users to pay for low services: the quality pays and is paid.

The evaluation of the activities should be reviewed to allow regular monitoring and tools to promote the EU views and results. The IWRM approach is not well perceived and should be promoted. The only known reference to an “EU water policy” by the national stakeholders is the “guidelines for sustainable water resources management” that need to be updated and adapted to the development of the IWRM principles.

6. ANNEXES

6.1 List of Documents Consulted

Ref	Generated	Title and Subject	Date/Ref	Comments
EC Family – Country Strategy Paper updates, water and sanitation programmes and projects, evaluations, project preparation, mid term reviews, investment, etc				
1	EU	DAO par procédure restreinte international pour les Etudes et surveillance des travaux de distribution d'eau et assainissement à Mindelo	Janvier 2005	
2	EU	DAO par procédure restreinte international pour les Etudes et surveillance des travaux de distribution d'eau et assainissement de Praia et Calheta	Janvier 2005	
3	EU/ Hydea pour le SONEDF	AEPA des villes de Praia, Mindelo et Calheta et gestion intégrée des déchets solides urbains de l'île de Santiago. Projet de proposition de financemen	Janvier 2004	
4	EU/ Hydea pour le SONEDF	TdR pour une AT au Ministère des Infrastructures et des Transports (MIT), 9ème EDF	Janvier 2004	
5	EU/ Hydea pour le SONEDF	Projet d'AEPA de Praia – 3ème phase. Avant-projet sommaire. Rapport final	Janvier 2004	
6	EU/ Dangroup Intl / MIT	Rapport diagnostic sur l'eau, l'assainissement et les déchets solides au Cap Vert, annexe au rapport final	Janvier 2003	
7	EU/ Dangroup Intl / MIT	Rapport diagnostic sur l'eau, l'assainissement et les déchets solides au Cap Vert, rapport final de l'AT	Septembre 2002	
8	EU/ Hydea pour le SONEDF	Projet d'AEPA de la ville de Calheta. Avant-projet sommaire. Rapport final	Janvier 2004	
9	EU/ Hydea pour le SONEDF	Projet d'AEPA de la ville de Mindelo – 3ème phase. Avant-projet sommaire. Rapport final	Janvier 2004	
10	EU/ Hydea pour le SONEDF	Plan directeur d'AEPA de la ville de Mindelo – 3ème phase. Etude économique et financière. Rapport final	Janvier 2004	
11	EU/Cap Vert	Document de stratégie de coopération pour la période 2001-2007	2002	
Country Specific - Water laws, acts and statutes, development programmes, poverty reduction strategies, privatisation and decentralisation plans and initiatives, investment etc				
1	Republica de Cabo Verde	Official decree nº 130/73 (B.O. nº 37)	July 15th, 1973	Wastewater policy regulations
2	CNAG/INRGH	Visão nacional sobre a água, a vida e o ambiente no horizonte 2025	February 2000	
3	Republica de Cabo Verde	Loi 41/II/84 portant Code de l'eau au Cap Vert (original in Portuguese)	1984	

4	Republica de Cabo Verde	Contrato geral / especifico de concessão de transporte distribuição (de energia electrica e) de agua e de recolha e tratamento de aguas residuais para reutilização, assinado entre o Estado de Cabo Verde e a Electra, Sarl	May 2002	
5	Republica de Cabo Verde	Law nº 82/87 (B.O. nº 31 - 01/08/87)	July 1st, 1987	Set the norms for water resources quality
6	CNAG/INRGH	Reunião de consulta com os parceiros de desenvolvimento de Cabo Verde. Programas estratégicos prioritários : as infra-estructureas e ao ordenamento do territorio	April 2003	
7	CNAG, UNICEF, INRGH	Politica nacional de saneamento	January 2003	
8	Republica de Cabo Verde	Programa Nacional de Desenvolvimento 2002-2005. Anexo 32. Programação e reforço do saneamento basico	2002	
9	Republica de Cabo Verde	Decree nº 5/99 (B.O. nº 46-I)	December 13th, 1999	Revision of the Water Law
10	CV Ministry of Finance and Planning	Growth and Poverty Reduction Strategy Paper (GPRSP). Original version in Portuguese	September 2004	
Development banks, member states and key donors – Country programmes, water and sanitation development policies, projects and initiatives, coordination plans, investment, etc				
1	Banque Mondiale	Rapports d'avancement du "Programa Energia, Agua e Saneamento"		
2	MIT/OPEP	Ligaçoes domiciliarias as redes de agua e de esgotos da Praia. Memoria descritiva (versao provisoria, volume 1)	June 2004	
3	Austrian Cooperation	Programa Indicativo de Cooperação (PIC) para os anos 2003 - 2005 entre Cabo Verde e Austria	2003	
4	World Bank	Project Appraisal Document for an Energy and Water Sector Reform and Development Project	1999	
UN Family - Country programmes, water and sanitation development policies, projects and initiatives, poverty and emergency programmes, coordination plans, investment, etc				
1				
NGOs, Private Sector – Water and sanitation sector partnerships, investment, studies, design, construction, monitoring and evaluation operation and maintenance, etc				
1				

6.2 Paramètres socioéconomiques du Cap Vert

**Source Institut National des Statistiques du Cap-Vert (recensement 2000) et Rapport de Développement Humain 2002 du PNUD, si non spécifié les valeurs indiquées se réfèrent à l'année 2000.*
*** Les chiffres officiels actualisés ne sont pas encore disponibles pour le Cap-Vert mais il est fait généralement état d'un niveau de pauvreté de 30% et d'extrême pauvreté de 14% dans les rapports et documents gouvernementaux, chiffres remontant à 1993.*

Démographie		
A.1	Population 2002	450 489
A.2	Taux annuel de croissance démographique (%) 2000-2015	1,9
A.3	Densité de population (hab/km²) 2002	112
A.4	Population urbaine (%) 2002	55
A.5	Population des moins 15 ans (%) 2002	41
A.6	Age moyen de la population 2002	19
A.7	Indice de masculinité (Femmes pour 100 hommes)	108
Pauvreté		
B.1	Proportion de la population disposant de moins de 1 USD par jour (extrême pauvreté)	-
B.2	Proportion de la population disposant de moins de 2 USD par jour (pauvreté)	-
Santé		
C.1	Espérance de vie à la naissance (ans)	69,7
C.2	Probabilité mortalité avant 60 ans à la naissance (% de la cohorte)	21
C.3	Taux de mortalité des enfants de moins de 5ans	40
C.4	Proportion d'enfants d'un an vaccinés contre la rougeole	-
C.5	Taux de prévalence du VIH parmi les femmes enceintes âgées de 15 à 24 ans	-
C.6	Pourcentage d'enfants de moins de 5 ans présentent une insuffisance pondérale	14
C.7	Pourcentage d'enfants de moins de 5 ans présentent une croissance subnormale	16
C.8	Proportion d'accouchements assistés par du personnel qualifié	53
Education		
D.1	Taux d'alphabétisation des adultes (% des 15ans et plus)	74
D.2	Espérance de survie scolaire (ans)	11,4
D.3	Taux d'inscription brut dans l'enseignement (primaire, secondaire et tertiaire combiné, %)	77
D.4	Taux net de scolarisation dans le primaire (%)	99
D.5	Taux de scolarisation en fin de cycle primaire (%)	96
D.6	Proportion de filles par rapport aux garçons dans l'enseignement primaire, secondaire et supérieur	0,957
Dépénses Publiques		
E.1	Dépenses de santé, public (en% du PIB) 2001	2,7
E.2	Dépenses publiques d'enseignement (en % du PNB) 2001	9,3
E.3	Dépenses militaires (en % du PIB) 2000	1,3
Genre		
F.1	Taux d'alphabétisation des adultes (femmes pour 100 hommes)	78
F.2	Taux d'alphabétisation de la jeunesse (femmes pour 100 hommes)	93
F.3	Taux d'inscription brut féminin dans l'enseignement (primaire, secondaire et tertiaire combiné, %)	79
F.4	Taux de masculinité dans l'enseignement tout âge et niveau confondu	103
F.5	Taux d'inscription net primaire (femmes pour 100 hommes) 1998	101
F.6	Menages dont le chef est une femme (%)	40,1
Accès au Services		
G.1	Proportion de la population ayant accès à une source d'eau améliorée	74

6.3 Activity Schedule

29/05/2005	Brussels – Lisbon – Sal – Praia
30/05/2005	Briefing EU delegation Review of documentation
31/05/2005	INRGH Electra PRS II EU – Review of documentation
1/06/2005	Field trip Santiago Island - PRS (Fonte Almeida, Flamengos), pumping station Santa Cruz, agricultural management infrastructures in ribeiras Flamengos and Seca, Sao - salt intrusion management dam (Achada Laje)
2/06/2005	Coopération Luxembourgeoise Coopération Autrichienne AFD DG Plan PEAS Banque Mondiale
3/06/2005	DG Agriculture DG Plan Ministère Affaires Etrangères INRGH
4/06/2005	Field trip Fogo Island - SAAS Agua Brava - Municipality of San Felipe, German cooperation - land reclamation and anti erosion works.
6/06/2005	Electra SONEDF EU Delegation Min. Finances
7/06/2005	Desalinisation plant in Palmarejo INRGH Debriefing EU delegation
8/06/2005	Praia – Sal – Lisbon – Brussels

6.4 List of People Met

- M. Eduardo Sorribes-Manzana Head of EU Delegation Praia
- M. A. Fernades-Antunes – EU Delegation
- M. Antao Manuel Fortes – Coordenator Programma Energia, Agua e Saneamento – Unidade de Coordenaçao
- Ms. Elsa Barbosa Simoes – Direçao-Geral da Agricultura e Pecuaria
- M. Jose Luis Monteiro – SONEDF
- M. Claude Jentgen – Coordonateur resident Coopération GD Luxembourg
- Ms. Eva Kohl – Conselheira de Embaixada – Representante Austria Cooperaçao
- Ms. Maria de Lourdes Lima – INRGH Presidente
- Ms. Raquel D. INRGH – Coordonatrice PRS2
- M. Eduardo Delgado – Electra Chef Département Eau & Assainissement
- M. Carlos Lima Dias Ministère des Infrastructures et des Transports
- M. Victor Alfonso G. Fidalgo- Conseiller, Ministère des Finances et du Plan
- M. Martin Walshe – DG Dev Bxl
- M. Benoit Bazin – DG Dev Bxl
- M. Johan Holmberg – Swedish Water Institute SIWI
- M. Bruno Valfrey – EUWI Consultant

6.5 List of Specific Programmes and Projects

List of water and sanitation projects – Cape Verde (1995 – 2004)

Year	Status	CRIS Code	Title	Decision Amount (E)	Contracted Amount (E)	Paid Amount (E)	Sector Heading
1995	Closed	EDF/6-ACP CV-9	ALIMENTATION EAU & ASSAINISSEMENT VILLE DE PRAIA (+7/9).	116,063.73	116,063.73	116,063.73	Water supply and sanitation - large systems
1996	Closed	EDF/7-ACP CV-46	ETUDE 2EME PHASE DISTRIBUTION EAU & ASSAINISSEMENT PRAIA	56,371.98	56,371.98	56,371.98	Water supply and sanitation - large systems
1996	Ongoing	EDF/7-ACP CV-43	ADDUCTION D'EAU ET ASSAINISSEMENTS URBAINS A SANTO ANTAO.	1,400,000.00	1,228,006.44	1,131,084.70	Water supply and sanitation - large systems
1997	Closed	EDF/6-ACP CV-10	AT A L'INGRH (FORMATION A L'UTILISATION DU SIG)	4,464.77	4,464.77	4,464.77	Water resources policy and administrative management
1997	Closed	EDF/7-ACP CV-48	EVALUAT. PROJET 7CV7-DISTRIBUTION EAU & ASSAINISSEMENT PRAIA	39,959.99	39,959.99	39,959.99	Water supply and sanitation - large systems
1998	Ongoing	EDF/8-ACP CV-5	DISTRIBUTION D'EAU ET ASSAINISSEMENT DE PRAIA	7,799,575.00	5,574,961.96	5,211,391.27	Water supply and sanitation - large systems
1998	Closed	EDF/7-ACP CV-54	EXPERTISE SPECIALISEE POUR LE COMPTE DU MAITRE D'OUVRAGE	17,502.52	17,502.52	17,502.52	Water supply and sanitation - large systems
1998	Closed	EDF/7-ACP CV-53	MISSION D'APPUI JURIDIQUE AU MAITRE D'OUVRAGE	26,228.81	26,228.81	26,228.81	Water supply and sanitation - large systems
1998	Closed	EDF/7-ACP CV-52	TARIFICATION SERVICES D'EAU & ASSAINISSEMENT VILLE DE PRAIA	49,366.95	49,366.95	49,366.95	Water supply and sanitation - large systems
2003	Ongoing	EDF/7-ACP CV-61	ETUDE EAU ET ASSAINISSEMENT" DE LA VILLE DE MINDELO"	79,500.00	75,000.00	30,667.02	Water supply and sanitation - small

Year	Status	CRIS Code	Title	Decision Amount (E)	Contracted Amount (E)	Paid Amount (E)	Sector Heading
							systems

List of projects with potential relevance for the water and sanitation sector – Cape Verde (1995 – 2004)

Year	Status	CRIS Code	Title	Decision Amount (E)	Contracted Amount (E)	Paid Amount (E)	Sector Heading
1996	Closed	EDF/7-ACP CV-42	AT A L'ORDONNATEUR NATIONAL	286,517.12	286,517.12	286,517.12	Economic and development policy/Planning
1996	Closed	EDF/8-ACP CV-3	A.T. A L'O.N. CONCEPTION, INSTRUCTION, COORDINATION, GESTIO N DES PROJETS ET PROGRAMMES, FACILITATION""	306,436.09	306,436.09	306,436.09	Economic and development policy/Planning
1999	Ongoing	EDF/8-ACP CV-6	A.T. AU MINISTERE DES INFRASTRUCTURES ET DE L'HABITATION	750,000.00	675,774.49	675,774.49	Economic and development policy/Planning
1999	Ongoing	EDF/8-ACP CV-8	PROGRAMME DE MICROREALISATIONS	2,000,000.00	2,000,000.00	1,725,080.93	Multisector aid for basic social services
2000	Ongoing	EDF/6-ACP CV-11	ASSISTANCE TECHNIQUE AUX SERVICES DE L'ORDONNATEUR NATIONAL DU EDF	111,355.44	105,238.19	105,238.19	Economic and development policy/Planning
2000	Ongoing	EDF/7-ACP CV-56	ASSISTANCE TECHNIQUE AUX SERVICES DE L'ORDONNATEUR NATIONAL DU EDF	348,644.56	312,947.47	300,313.60	Economic and development policy/Planning
2000	Ongoing	EDF/8-ACP CV-13	ASSISTANCE TECHNIQUE AUX SERVICES DE L'ORDONNATEUR NATIONAL DU EDF	792,500.00	646,354.67	165,005.69	Economic and development policy/Planning
2001	Ongoing	EDF/7-ACP CV-58	APPUI A L'ADJUSTEMENT STRUCTUREL ET STRATEGIE DE COOPERATION	13,000.00	11,907.51	11,907.51	Economic and development policy/Planning

MATRICE DES DONNATEURS AU CAP VERT : COMMUNAUTE EUROPEENNE ET ÉTATS MEMBRES
(par secteur d'intervention)

Secteurs	Éducation	Santé	Eau	Gouvernance	Renforcement Société Civile	Culture	Transports	Entreprises	Agriculture
Code CAD	110	120	140	150	15050	16350	210	250	311
Bailleurs	DE-DK-ES-FR-LU-AT-PT **- EC**	DE-FR-LU-**EC**	DE-FR-LU-AT-**EC**	FR-LU-PT **EC**	**(EC)**	FR-PT-ES	LU-PT-**EC**	LU-NL-PT-SE-AT- **EC**	**IT-EC**
Secteurs	Industries Minérales	Commerce	Environ.	Services Sociaux	Developt Rural	Ajustement Structurel	Aide Alimentaire	Indefini	
Code CAD	322	331	410	43020	43040	510	520	99810	
Bailleurs		**EC**	DE-DK-LU-NL	FR-AT-LU- **EC**	AT **–IT-EC**	**EC-NL**	BE-FR-AT-IT-**EC**	NL-(**EC**)	

Logique d'intervention Secteur Eau et Assainissement		Projet Eau et Assainissement sur Praia	Projet Eau et Assainissement sur Mindelo	Projet Eau et Assainissement sur Calheta	Projet de Gestion des DS sur Santiago	Projet de Gestion des DS sur Mindelo
Objectifs Globaux						
G.1.	Amélioration des conditions de vie de la population					
G.2.	Amélioration des conditions sanitaires de la population					
G.3.	Amélioration des Conditions de vie des populations les plus pauvres					
G.4.	Conservation e amélioration de l'environnement					
Objectifs Spécifiques		**Objectif Global**	**Objectif Global**	**Objectif Global**	**Objectif Global**	**Objectif Global**
S.1.	Amélioration de l'accès et de la gestion de l'eau potable (et gestion des déchets solides)	Amélioration de l'accès et de la gestion de l'eau potable	Amélioration de l'accès et de la gestion de l'eau potable	Amélioration de l'accès et de la gestion de l'eau potable		
S.2.	Amélioration de la gestion des résidus solides				Amélioration de la gestion des résidus solides	Amélioration de la gestion des résidus solides
Résultats		**Objectif Spécifique**	**Objectif Spécifique**	**Objectif Spécifique**	**Objectif Spécifique**	**Objectif Spécifique**
R.1.	Ampliation du système de distribution d'eau et d'assainissement de la ville de Praia	Ampliation du système de distribution d'eau et d'assainissement de la **ville de Praia**				
R.2.	Ampliation du système de distribution d'eau et d'assainissement de la ville de Mindelo		Ampliation du système de distribution d'eau et d'assainissement de la **ville de Mindelo**			
R.3.	Ampliation du système de distribution d'eau et d'assainissement de la ville de Calheta			Ampliation du système de distribution d'eau et d'assainissement de la **ville de Calheta**		
R.4.	Amélioration et/ou mise en place d'un système de gestion/traitement coordonné des déchets solides pour l'île de Santiago				Amélioration et/ou mise en place d'un système de gestion/traitement coordonné des déchets solides pour l'**île de Santiago**	
R.5.	Amélioration du système de gestion/traitement des déchets solides de la ville de Mindelo					Amélioration du système de gestion/traitement des déchets solides de la **ville de Mindelo**
Activités		**Résultats**	**Résultats**	**Résultats**	**Résultats**	**Résultats**
Se referrer aux cadres logiques individuels pour les <u>Activités spécifiques</u> à chaque volet d'intervention du programme.						
Pour les <u>Indicateurs</u> des objectifs globaux voir chapitre 3						
Pour les <u>Hypothèses</u> voir engagements du gouvernement au titre du DSP						
	Distribution EP	Augmentation de l'apport en eau de la ville	Renforcement et réhabilitation des stations de pompage d'EP	Renforcement des Capacités de production d'EP	**Gestion des Déchets Solides** Etablissement d'un plan Directeur Général pour la gestion des DS.	**Gestion des Déchets Solides** Renforcement des capacités de stockage primaire des DS.
		Augmentation des capacités d'extraction d'EP naturelle (souterraine)	Augmentation et amélioration de la capacité de stockage d'EP	Ampliation du réseau de distribution d'EP	Renforcement et systématisation des CET (stockage long terme)	Renforcement des capacités de collecte des DS.
		Augmentation de la capacité de stockage d'EP			Renforcement des capacités de collecte des DS	
		Amélioration de l'accès à l'eau pour les populations les plus pauvres	Ampliation du réseau de distribution d'EP	Amélioration des conditions d'accès eau réseau d'EP	Amélioration des la Gestion des déchets médicaux	Renforcement des capacités de stockage long terme des DS (décharge centrale).
		Ampliation du réseau de distribution d'EP			Évaluation de la faisabilité de la mise en place d'une filière de recyclage	
	Assainissement	Renforcement des systèmes dorsaux du réseau d'égouts	Renforcement des systèmes dorsaux du réseau d'égouts	Mise en place d'un réseau d'égouts		
		Ampliation du réseau d'égouts secondaire (de quartier)	Ampliation du réseau d'égouts secondaire (de quartier)	Mise en place d'un système de traitement primaire des ER		
		Instauration d'un système d'assainissement adéquat pour l'hôpital de Praia	Augmentation de la capacité de traitement primaire des ER	Augmentation de la capacité de traitement primaire des ER		
				Mise en place d'un système d'assainissement pour les plus pauvres		
		Activités longitudinales			**Activités longitudinales**	
		Programme de gestion des Branchements Domiciliaires pour les villes de Praia, Mindelo et Calheta *(Sensibilisation et accompagnement des bénéficiaires)*			Actions des Sensibilisation des bénéficiaires à la gestion des DS et à la conservation de l'environnement au niveau national	

<u>EP</u> = <u>E</u>au <u>P</u>otable
<u>ER</u> = <u>E</u>aux <u>R</u>ésiduelles
<u>DS</u> = <u>D</u>échet <u>S</u>olides
<u>CET</u> = <u>C</u>entre d'<u>E</u>nfouissement <u>T</u>echnique

Conditions Préalables Générales : ***(Hypothèses générales ; pour les hypothèses spécifiques à chaque niveau d'intervention consulter les cadres logiques individuels)***

- Appui du secteur par les autres bailleurs de fonds
- Intérêt des bénéficiaires pour le projet
- Acceptation par les bénéficiaires de l'ONG maître d'œuvre délégué pour les actions de sensibilisation

CADRE D'INTERVENTION POUR LE VOLET EAU & ASSAINISSEMENT SUR LA VILLE DE PRAIA

			Logique d'intervention	Indicateurs Objectivement Vérifiables *(Année de réf. 2000 ; horizon 2015)*	Sources de Vérification	Hypothèses
Objectif Global		G.1.	Amélioration de l'accès et de la gestion de l'eau potable			
Objectif Spécifique		S.1.	Ampliation du système de distribution d'eau et d'assainissement de la **ville de Praia**	Augmentation de : La consommation annuelle en EP en 2010 est augmentée de 1.2Mm^3 ; Les volumes d'ER traités en 2010 sont augmentés de 0.6Mm^3	Bilans de gestion de ELECTRA	Une politique de gestion des ressources hydriques et d'assainissement assure la durabilité de l'apport en eau naturelle ; L'amélioration de la gestion d'ELECTRA permet la baise des prix de l'EP.
Résultats						
	Distribution EP	R.1.	Augmentation de l'apport en eau de la ville	Construction et mise en route de 2 stations de pompage (+18.500m^3/j total) ;	Rapports d'avancement du projet (travaux)	ELECTRA continu son programme d'investissement pour l'AEP de la ville de PRAIA
		R.2.	Augmentation des capacités d'extraction d'EP naturelle (souterraine)	Réhabilitation des forages (3) et réservoirs (3) faite ;		
		R.3.	Augmentation de la capacité de stockage d'EP	La capacité de stockage en EP atteint 20.000m^3 en 2010 ;		
		R.4.	Amélioration de l'accès à l'eau pour les populations les plus pauvres	3 BF construites dans les quartiers populaires		
		R.5.	Ampliation du réseau de distribution d'EP	40ha de réseau de quartier construits		
	Assainissement	R.6.	Renforcement des systèmes dorsaux du réseau d'égouts	Connexion du réseau au quartier de «Citadela» ;	Rapports d'avancement du projet (travaux)	ELECTRA continu son programme d'investissement pour l'assainissement de la ville de PRAIA (Notamment la remise en fonctionnement de la station de traitement des ER de Palmarejo)
		R.7.	Ampliation du réseau d'égouts secondaire (de quartier)	Taux de branchement aux égouts atteint 43% en 2010 ;		
		R.8.	Instauration d'un système d'assainissement adéquat pour l'hôpital de Praia	Station de traitement des ER contaminées biologiquement construite		

Activités				**Moyens**	**Coûts**
Distribution EP	R.1.	A.1.	Renforcement des stations de pompage	Travaux sur réseau d'EP	2.226,4 KE
	R.2.	A.2.	Réhabilitation des systèmes d'adduction d'eau souterraine	Travaux sur Réseau d'Assainissement	1.741,9 KE
	R.3.	A.3.	Construction d'un réservoir de 1000 m^3	Etudes (APD, etc.) et Surveillance des travaux (18%)	714,0 KE
	R.4.	A.4.	Construction de 3 BF en quartiers populaires	Autres études et divers (A.12 + A.13)	608,2 KE
	R.5.	A.5.	Renforcement des conduites d'eau de l'usine de production d'EP	Imprévus sur travaux (15%)	595,2 KE
		A.6.	Branchement du nouveau réservoir au réseau EP	Imprévus sur autres études et divers (10%)	132,2 KE
		A.7.	Ampliation du réseau secondaire d'EP	**Total**	**6.017,9 KE**
		A.8.	Réalisation de branchements domiciliaires		
Assainissement	R.6.	A.8.	Construction de collecteurs principaux des ER		
		A.9.	Connexion du nouveau quartier « Citadela »au réseau d'égouts		
	R.7.	A.9.	Ampliation du réseau secondaire d'égouts		
		A.10.	Réalisation de branchements domiciliaires		
	R.8.	A.11.	Construction et installation d'une station de prétraitement des ER contaminées biologiquement		
MA		A.12.	Programme de gestion des Branchements Domiciliaires *(Sensibilisation et accompagnement des bénéficiaires)**	500 branchements domiciliaires réalisés EP et égout ; Compagne d'IEC mise en place et menée	Rapport de l'ONG responsable
		A.13.	Etude sur la réduction des pertes d'eau dans le réseau de distribution d'EP	Les pertes d'eau dans les réseaux d'EP sont réduites de 10 % en 2010	Rapport d'étude sur les pertes d'EP

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EP = Eau Potable
ER = Eaux Résiduelles
MA = Mesures d'Accompagnement

Conditions Préalables Générales :

- Appui du secteur par les autres bailleurs de fonds
- Intérêt des bénéficiaires pour le projet
- Acceptation par les bénéficiaires de l'ONG maître d'œuvre délégué pour les actions de sensibilisation

Cadre d'Intervention pour le Volet Eau & Assainissement sur la Ville de Mindelo

			Logique d'intervention	Indicateurs Objectivement Vérifiables *(Année de réf. 2000 ; horizon 2015)*	Sources de Vérification	Hypothèses
Objectif Global		G.1.	Amélioration de l'accès et de la gestion de l'eau potable			
Objectif Spécifique		S.1.	Ampliation du système de distribution d'eau et d'assainissement de la **ville de Mindelo**	Augmentation de : La consommation annuelle en EP en 2010 atteint … Mm^3. (, soit + 0.5Mm^3) ; Les volumes d'ER traités en 2010 atteignent … Mm^3. (, soit + 0.5Mm^3) ;	Bilans de gestion de ELECTRA	Une politique de gestion des ressources hydriques et d'assainissement assure la durabilité de l'apport en eau naturelle ; L'amélioration de la gestion d'ELECTRA permet la baise des prix de l'EP.
Résultats						
	Distribution EP	R.1.	Renforcement et réhabilitation des stations de pompage d'EP	Construction et mise en route de 1 station de pompage (+10.200m^3/j) et Réhab. de 2 stations existante (10.600m^3/j	Rapports d'avancement du projet (travaux)	ELECTRA continu son programme d'investissement pour l'AEP de la ville de MINDELO (Notamment la construction d'un 2ème centre de production d'EP à Lazareto)
		R.2.	Augmentation et amélioration de la capacité de stockage d'EP	La capacité de stockage en EP atteint 16.100m^3 en 2010 ;		
		R.3.	Ampliation du réseau de distribution d'EP	26 km de réseau de quartier construits		
	Assainissement	R.4.	Renforcement des systèmes dorsaux (réseau primaire) d'égouts	62 ha de réseau d'égouts construits	Rapports d'avancement du projet (travaux)	ELECTRA continu son programme d'investissement pour l'assainissement de la ville de MINDELO
		R.5.	Ampliation du réseau d'égouts secondaire (de quartier)	1.500 branchements domiciliaires réalisés		
		R.6.	Augmentation de la capacité de traitement primaire des ER	Extension et réhabilitation de la STER réalisées (2.000m^3/j)		

Activités				**Moyens**	**Coûts**
Distribution EP	R.1.	A.1.	Construction et réhabilitation des stations de pompage	Travaux sur réseau d'EP	3.298,00 KE
	R.2.	A.2.	Construction deux nouveaux réservoirs	Travaux sur Réseau d'Assainissement	4.237,00 KE
		A.3.	Réhabilitations d'anciens réservoirs	Etudes (APD, etc.) et Surveillance des travaux (12%)	904,20 KE
	R.3.	A.4.	Ampliation du réseau primaire d'EP	Autres études et divers (A.12)	PM* KE
		A.5.	Branchement des nouveaux réservoirs au réseau EP	Imprévus sur travaux (15%)	1.130,25 KE
		A.6.	Ampliation du réseau secondaire d'EP	Imprévus sur autres études et divers (10%)	PM* KE
		A.7.	Réalisation de branchements domiciliaires	**Total**	**9.569,25 KE**
Assainissement	R.4.	A.7.	Construction et réhabilitation de stations de relèvement des ER		
		A.8.	Ampliation du réseau primaire d'égouts		
	R.5.	A.9.	Ampliation du réseau secondaire d'égouts		
		A.10.	Réalisation de branchements domiciliaires		
	R.6.	A.11.	Extension et réhabilitation de la station traitement des ER (STER) existante		
MA		A.12.	Programme de gestion des Branchements Domiciliaires *(Sensibilisation et accompagnement des bénéficiaires)**	3.700 branchements domiciliaires EP réalisés ; Compagne d'IEC mise en place et menée	Rapport de l'ONG responsable

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EP = Eau Potable
ER = Eaux Résiduelles
MA = Mesures d'Accompagnement

Conditions Préalables Générales :

- Appui du secteur par les autres bailleurs de fonds
- Intérêt des bénéficiaires pour le projet
- Acceptation par les bénéficiaires de l'ONG maître d'œuvre délégué pour les actions de sensibilisation

Cadre d'Intervention pour le Volet Eau & Assainissement sur la Ville de Calheta

			Logique d'intervention	Indicateurs Objectivement Vérifiables *(Année de réf. 2000 ; horizon 2015)*	Sources de Vérification	Hypothèses
Objectif Global		G.1.	Amélioration de l'accès et de la gestion de l'eau potable			
Objectif Spécifique		S.1.	Ampliation du système de distribution d'eau et d'assainissement de la **ville de Calheta**	La dotation annuelle en EP en 2010 atteint 200Km^3 (, soit +40); Des volumes d'ER traités en 2010 atteignent …Km^3 (, soit +30Km^3)	Statistiques nationales et Services Autonome des Gestion de l'Eau et de l'Assainissement	Une politique de gestion des ressources hydriques et d'assainissement assure la durabilité de l'apport en eau naturelle ;
Résultats						
	Distribution EP	R.1.	Renforcement des Capacités de production d'EP	Equipement et réhabilitation de 2 forages ; équipement d'un troisième.	Rapports d'avancement du projet (travaux)	Le Service Autonome des Gestion de l'Eau et de l'Assainissement est restructuré, formé et rendu rentable. L'INGRH réalise un troisième forage pour l'alimentation en EP de la ville de Calheta.
		R.2.	Ampliation du réseau de distribution d'EP			
		R.3.	Amélioration des conditions d'accès eau réseau d'EP	750 branchements domiciliaires réalisés		
	Assainissement	R.4.	Mise en place d'un réseau d'égouts		Rapports d'avancement du projet (travaux)	
		R.5.	Mise en place d'un système de traitement primaire des ER	600 branchements domiciliaires réalisés		
		R.6.	Augmentation de la capacité de traitement primaire des ER	Station de traitement des ER construite		
		R.7.	Mise en place d'un système d'assainissement pour les plus pauvres	Le taux de connexion aux fosses septiques communes atteint 40% en 2010		

Activités				**Moyens**	**Coûts**
Distribution EP	R.1.	A.1.	Réhabilitation et équipement de forages	Travaux sur réseau d'EP	982,30 KE
		A.2.	Aménagement d'une piste de services vers les forages	Travaux sur Réseau d'Assainissement	382,30 KE
	R.2.	A.3.	Construction de nouveaux réservoirs	Etudes (APD, etc.) et Surveillance des travaux (20%)	76,50 KE
		A.4.	Réhabilitations d'anciens réservoirs		PM* KE
		A.5.	Branchement des nouveaux réservoirs au réseau EP	Autres études et divers (A.18)	57,30 KE
		A.6.	Ampliation du réseau primaire d'EP	Imprévus sur travaux (15%)	7,70 KE
		A.7.	Ampliation du réseau secondaire d'EP	Imprévus sur autres études et surveillance (10%)	
	R.3.	A.8.	Construction et branchement de nouvelles BF	**Total**	**523,80 KE**
Assainissement	R.4.	A.9.	Construction de collecteurs gravitaires ER		
		A.10.	Construction de statons de refoulement		
		A.11	Ampliation du réseau primaire d'égouts		
	R.5.	A.12.	Ampliation du réseau secondaire d'égouts		
		A.13.	Réalisation de branchements domiciliaires au réseau d'égouts		
	R.6.	A.14.	Construction de la station traitement des ER (STER) basée sur des bassins IMHOFF		
	R.7.	A.15.	Construction de fosses septiques communes		
		A.16.	Connexions domiciliaires aux fosses septiques communes		
		A.17.	Mise en place d'un circuit de vidange des fosses grâce à un camion vidangeur fourni		
MA		A.18.	Programme de gestion des Branchements Domiciliaires aux égouts et fosses septiques communes *(Sensibilisation et accompagnement des bénéficiaires)**	7 branchements domiciliaires (750 égouts et aux égouts réalisés et 65 aux fosses septiques	Rapport de l'ONG responsable

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MA = Mesures d'Accompagnement

Conditions Préalables Générales :

- Appui du secteur par les autres bailleurs de fonds
- Intérêt des bénéficiaires pour le projet
- Acceptation par les bénéficiaires de l'ONG maître d'œuvre délégué pour les actions de sensibilisation

Cadre d'Intervention pour le gestion des Déchets Solides sur l'Île de Santiago

			Logique d'intervention	Indicateurs Objectivement Vérifiables *(Année de réf. 2000, horizon 2010)*	Sources de Vérification	Hypothèses
Objectif Global		G.1.	Amélioration de l'accès et de la gestion de l'eau potable			
Objectif Spécifique		S.1.	Amélioration du système de gestion/traitement des déchets solides pour l'**île de Santiago**	Le taux de desserte de la population pour la collecte de DS atteint 90% en 2010 (, soit +28%)	Statistiques nationales	Une politique de gestion des ressources naturelles, de conservation des ressources naturelles et de la biodiversité contribuent à l'amélioration des conditions de vie de la population.
Résultats						
	Gestion des DS	R.1.	Etablissement d'un Plan Directeur Général pour la gestion des DS (PDGDS)	PDGDS approuvé.	Rapports d'avancement du projet	Les services de collectes des DS sur l'île sont organisés et coordonnés. Le gouvernement et les autorités locales continuent leur politique d'investissement et d'ampliation des services de collecte et de traitement des DS et DM
		R.2.	Renforcement et systématisation des CET (stockage long terme).	Deux (2) CET construites sur l'île (360.000m^3) et fermeture des décharges existantes		
		R.3.	Renforcement des capacités de collecte des DS.	Augmentation de 160m^3 des capacités de transports de DS sur l'île		
		R.4.	Amélioration des la Gestion des déchets médicaux.	Les DM des hôpitaux et centres de santé de l'île sont collectés et incinérés/décontaminés		
		R.5.	Evaluation de la faisabilité de la mise en place d'une filière de recyclage.	Etude de faisabilité approuvée.		

Activités				**Moyens**	**Coûts**
Gestion des Déchets Solides	R.1.	A.1.	Réalisation d'une étude pour l'établissement du PDGDS.	Etablissement d'un schéma directeur	350.000 E
	R.2.	A.2.	Construction de deux (2) CET régionaux.	Construction de décharges et fourniture de matériel	3.500.000 E
		A.3.	Fermeture des décharges de Praia, Santa Cruz et Calheta.	Programme de sensibilisation (A.13)	300.000 E
	R.3.	A.4.	Fournitures de camions-bennes à compressions et bulldozers	Amélioration de la gestion des déchets	550.000 E
		A.5.	Fournitures de conteneurs poubelles	Études de faisabilité pour le recyclage	300.000 E
		A.6.	Fourniture de matériel divers pour la manutention des DS		
	R.4.	A.7.	Réalisation d'une étude pour l'établissement du **PDG pour les déchets médicaux** des hôpitaux de l'île de Santiago	**Total**	**5.000.000 E**
		A.8.	Formation du personnel médical e t paramédical à la gestion des DM		
		A.10.	Fourniture de matériel de manutention et stockage temporaire pour DM		
		A.11.	Fourniture de d'un système de transport adéquat et de traitement des DM (incinérateur)		
	R.5.	A.12.	Réalisation d'une étude pour de faisabilité sur la mise en place d'une filière de recyclage sur l'île de Santiago		
MA		A.13.	Programme de IEC *(Sensibilisation et accompagnement des bénéficiaires)**		

Abréviations :

BF = Bornes sures Fontaines
CET = Centre d'Enfouissement Technique
DS = Déchet Solides
DM = Déchets médicaux
EP = Eau Potable
ER = Eaux Résiduelles
MA = Mesures d'Accompagnement

Conditions Préalables Générales :

- Appui du secteur par les autres bailleurs de fonds
- Intérêt des bénéficiaires pour le projet
- Acceptation par les bénéficiaires de l'ONG maître d'œuvre délégué pour les actions de sensibilisation

Cadre d'Intervention pour le gestion des Déchets Solides sur la Ville de MindelO

			Logique d'intervention	Indicateurs Objectivement Vérifiables *(Année de réf. 2000, horizon 2007)*	Sources de Vérification	Hypothèses
Objectif Global		G.1.	Amélioration de l'accès et de la gestion de l'eau potable			
Objectif Spécifique		S.1.	Amélioration du système de gestion/traitement des déchets solides de la **ville de Mindelo**	Le taux de desserte de la population pour la collecte de DS atteint 90% en 2010 (, soit +28%)	Statistiques nationales	Une politique de gestion des ressources naturelles, de conservation des ressources naturelles et de la biodiversité contribuent à l'amélioration des conditions de vie de la population.
Résultats						
	Gestion des DS	R.1.	Renforcement des capacités de stockage primaire des DS	Augmentation de 75m^3 des capacités conteneurs et poubelles de la ville	Rapports d'avancement du projet	Le service de collectes des DS de la ville de Mindelo est organisé. Le gouvernement et les autorités locales continuent leur politique d'investissement et d'ampliation des services de collecte et de traitement des DS et DM
		R.2.	Renforcement des capacités de collecte des DS	Augmentation de 40m^3 des capacités de transports de DS sur l'île		
		R.3.	Renforcement des capacités de stockage long terme des DS (décharge centrale)	La décharge municipale de la ville de Mindelo est réaménagée		

Activités				**Moyens**	**Coûts**
Gestion des Déchets Solides	R.1.	A.1.	Fournitures de conteneurs poubelles	Fourniture de véhicules de collecte	39.60 KE
	R.2.	A.2.	Fournitures de camions-bennes à compressions	Fourniture d'équipement de collecte et petit matériel	13.73 KE
					14.41 KE
		A.3.	Fourniture de matériel divers pour la manutention des DS	Travaux	8.13 KE
				Etudes et surveillances des travaux (12%)	10.16 KE
				Imprévus (15%)	
				Total	**86.00 KE**
	R.3.	A.4.	Réfection de la décharge de Mindelo		
MA		A.12.			

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EVALUATION OF THE WATER AND SANITATION SECTOR

Field Visit Country Note

South Africa

Authors: Ian Harmond
Mankone Ntsaba

August 2005

Evaluation for the European Commission

TABLE OF CONTENTS

ABBREVIATIONS AND ACRONYMS

BOTT	Build, Operate, Train and Transfer
CN	Country Note
CSPs	Country Strategy Papers
CWSS	Community Water Supply and Sanitation Strategic
DPLG	Department of Provincial and Local Government
DWAF	Department of Water Affairs and Forestry
EC	European Commission
EIB	European Investment Bank
EU	European Union
EPRD	European Programme for Reconstruction and Development
Evaluation	Water and Sanitation Sector Evaluation
Government	Government of South Africa
IWRM	Integrated Water Resources Management
MDGs	Millennium Development Goals
MIG	Municipal Infrastructure Grant
MIP	Multi Annual Indicative Programme
MT	Mvulva Trust
M&E	Monitoring and Evaluation
NGOs	Non Governmental Organisations
ODA	Official Development Assistance
O&M	Operation and Maintenance
PCC	President's Coordinating Council
RDP	Reconstruction and Development Programme
SADAC	Southern Africa Development Community
SALGA	South African Local Government Association
SSPs	Sector Support Programmes
SWAPs	Sector Wide Approaches
TDCA	Trade, Development and Cooperation Agreement
Team	Evaluation Team
ToR	Terms of Reference
Unit	Evaluation Unit
USAID	United States Agency for International Development
W&S	Water and Sanitation
WB	World Bank
WRC	Water Research Commission
WSAs	Water Services Authorities
WDSPs	Water Services Development Plans
WSSD	World Summit for Sustainable Development
WUAs	Water User Associations

Euro 1.00 = South Africa Rand = 8.04

EXECUTIVE SUMMARY

The field visit to South Africa was the penultimate being conducted in the Field Phase, and builds on the a standard format and analytical methodology in line with the approach set out in the Desk Phase Report. This CN summarises the findings of the field visit and commences with a brief description of the Evaluation goals, the role of the respective actors and confirmation of the country's selection. The data collection tools used to identify and assemble information have been described, and a brief sector profile establishes the legal framework and environment via which EC W&S polices and programmes are currently being implemented. The CN contains a number of preliminary findings based on the 9 Evaluation questions, and closes with a set of conclusions.

Although only limited analytical work has been carried out to date, it is possible to identify a number of key policy issues to feed into the Evaluation synthesis. Through the site visit to Limpopo Province, and meetings with beneficiaries, a detailed insight was gained into how the main EC funded programme in South Africa is being implemented. Meetings with DWAF and other key actors enabled information to be assembled on how sector wide development approaches work. While lacking detail in some areas the following crucial W&S issues have been identified:

- Project performance is hard to assess when examining sector-funded initiatives, as there are no evaluation rules to cover these operating modalities;
- Lack of hard data, and poor M&E procedures, hamper attempts to apply the 5 evaluation criteria (relevance, impact, effectiveness, efficiency and sustainability);
- Harmonisation of policies, programmes and projects is essential for achieving the 3 'C's (consistency, coordination and complementarity);
- Lessons from previous evaluations are not being seriously addressed, or built into future programmes and projects, with the result that 'project institutional memory' is fragile;
- Policies are broadly in line with international standards, although not always being implemented (i.e. water services infrastructure are being constructed without an IWRM plan), but there are no significant contradictions or clashes, with the exception of the free basic services policy;
- Social W&S service provision is becoming more prominent (internationally and within member states), and EC policies will need to address and accommodate this trend sympathetically;
- The Strategic Approach (See Reference 20) remains a central document in the planning and implementation of W&S interventions;
- Sector based development is proving successful in streamlining service delivery and is far more successful that previous approaches, but contains weaknesses and needs refinement - particularly in relation to co-donor participation; and,
- The move towards 'working partnerships' with recipient countries should be broadened and wherever necessary strengthened.

Although the sectoral issues described above are South Africa specific, experience of W&S evaluations generally, and the field visits to the other target countries, indicates that to a lesser or greater extent, many are replicated. Having now identified the relevant key factors, the challenge will be to apply the evaluation analysis methodology outlined in the Desk Phase Report consistently to ensure that responses are proportionate and logical.

1 INTRODUCTION

1.1 Evaluation overview, objectives and general approach

Responsibility for evaluation in the European Commission (EC) rests with the Joint Evaluation Unit (Unit) of the EuropeAid Cooperation Office (AIDCO). Its 2 major aims are to 'respond to the EC's obligation to account for its external co-operation activities and its management of funds', and to 'analyse critically its past and current actions, policies and policy conditionalities in such a way as to identify key lessons learned, which can be fed back into current and future strategic policy formation and programming'. In accordance with this requirement, the Unit has commissioned a Water and Sanitation (W&S) Sector Evaluation (Evaluation), which in addition to its specific goals, forms part of a major enterprise to assist the Unit in developing processes and procedures to shape future evaluation methodologies.

An important requirement of the Evaluation is for the Evaluation Team (Team) to undertake field visits to 7 target countries. The countries selected include Cape Verde, India, Russia, Samoa, South Africa, Morocco and Bolivia. The purpose of these visits is to test and evaluate the manner in which W&S policies and plans financed by the EC are being implemented in the context of overall development cooperation at country level. Information and data shall be collected in order to evaluate:

- Relevance, impact, effectiveness, efficiency and sustainability;
- Consistency and internal coherence between W&S sectoral support and other European Union (EU) policies; and,
- Coordination and complementarity of EC actions and strategies with policies of member states and donors.

This note summarises the findings of the field visit to South Africa, which took place between 26th July and 4th August 2005. The mission was comprised of the Team Leader and a National Consultant[1] who was appointed to assist the Team Leader, and prepare the groundwork in advance. The initial phase commenced with a briefing of the W&S Project Officer at the Delegation on the objectives of the Evaluation. Assistance with the collection of relevant information on the principal stakeholders, programmes and projects was requested, and the activity schedule discussed and agreed. A number of key documents and references were identified and made immediately available, while others were transferred electronically.

The identification of key W&S sector stakeholders was an early requirement of the field visit. These included the member states, development banks, UN agencies and Non Governmental Organisations (NGOs), Government ministries, departments and provincial agencies engaged in the W&S sector. A list of the relevant white papers, national policies, programmes and projects was prepared and preliminary arrangements were put in hand for a field visit to inspect a representative EC funded W&S project in Limpopo Province. The field visit concluded with a debriefing of the Delegation by the National Consultant, due to the non-availability of the Project Officer at the end of the mission. Details of the site visit to Limpopo Province and information on the persons and organisations consulted during the mission were provided.

[1] Mankone Ntsaba, Nametso Consulting (Pty) Ltd

1.2 Reasons for case study country selection

How and on what basis the 7 target countries were selected has been described in the Evaluation Terms of Reference (ToR). The main selection criteria that were applied in order of priority are as follows:

1. Countries being (in the present or in the past) among the major recipients of EC aid in the W&S sector;
2. Representative of each region – technically South Africa is not an Africa, Caribbean and Pacific (ACP) country and has historically been supported separately from EDF resources
3. Having W&S as a focal sector; and,
4. Not having been covered by the latest evaluations conducted by the Unit.

The Team were given the opportunity to suggest alternative countries at the Inception Note phase, but after a study of the logic and selection process this option was not considered appropriate and no changes were made. In the case of South Africa there was an opportunity to compare differing development approaches (i.e. call for proposals, budget support and sectoral investments) as well as the influence EC policies had on national programmes, which was far in excess of the level of investment.

As a guide for the field visits country portfolios were prepared for each of the 7 target countries and those for South Africa are included in the Desk Phase Report (See Annexes 6.4, 6.5, 6.6 and 6.7). One of the first tasks of the Team was to review the portfolio for South Africa, and this exercise demonstrated that much of the data was accurate, and that the projects summary was a reliable description of the EC's involvement in the W&S sector.

2 DATA COLLECTION

2.1 Methods used, availability, limits and potential constraints

The main data collection techniques applied during the field visit was comprised of literature reviews, briefings, debriefings, structured and unstructured interviews, and group meetings. A field visit to a representative EC partnered project in Limpopo Province allowed the range of data collection procedures to be expanded, and interviews with key stakeholders and beneficiaries to be conducted. In addition, the National Consultant had worked on number W&S evaluations and was familiar with the challenges confronting the sector. The most notable were the Final Evaluation of Masibambane, Phase I[2], and the Final Evaluation of the United States Agency for International Development (USAID) funded Bushbuckridge retail water distribution project[3].

The combination of these different data collection tools, methods and evaluation experience allowed the collection of qualitative and qualitative information on the W&S sector. This was assimilated and used to address the 9 Evaluation Questions (See Section 4).

2.2 Meetings and briefings

The Delegation was advised by the Unit of the Team's arrival in advance and had been provided with a copy of the ToR. They were familiar with the aims of the mission, and assisted with the necessary logistical arrangements. The mission commenced with a briefing meeting at the Delegation where the programme was discussed and a list of key stakeholders prepared. Discussions were centred on the current Country Strategy Paper (CSP) for the period 2003 to 2005[4], and the respective roles of member states and other donors engaged in the W&S sector.

Limited time meant that only a 'snap shot' of donor funded W&S programmes and projects was gained, and only representatives of a few member states were consulted. With the assistance of the Delegation, key meetings at national and provincial level were arranged and held with the Department of Water Affairs and Forestry (DWAF) who are the entity responsible for the W&S sector. A major decentralisation process to provincial and municipal organisations (including W&S services) has been underway for some years, and meetings were held with the Government departments and agencies associated with this transfer of responsibility.

In Pretoria and Johannesburg, interviews were held with Delegation personnel and actors responsible for projects that had a pertinent W&S component or influence. Past, current, and future projects and initiatives were reviewed and information was acquired on their implementation modalities, relative strengths and weaknesses. Using the CSP as a guide, the main W&S stakeholders were identified and a number of representative meetings held with key actors. A detailed list of Persons met during the field visit is included as Annex 6.3.

In the field, numerous meetings were held with beneficiaries, water users, and village beneficiaries (See Section 2.3 and 2.4). Visits were made to the DWAF provincial headquarters in Limpopo Province and to the Development Back of South Africa (DBSA), who are an influential participant in the development sector.

[2] Evaluation of the Water Services Sector Support Programme, DWAF, 10th August 2004

[3] Bushbuckridge Retail Water Distribution Project, Final Evaluation, USAID South Africa, 18th May 2005

[4] South Africa - European Community Country Strategy Paper and Multi Annual Indicative Programme for the Period 2003 – 2005, undated

2.3 Structured and unstructured interviews

Interviewing the main stakeholders and beneficiaries formed an important component of the field visit data collection process, and was accomplished through numerous structured and unstructured meetings. These were aimed at gathering general information on the following topics:

- The W&S situation in the country – past, current and projected constraints and challenges;
- The role of the EC in the sector – policies, programmes and projects (past, current and future);
- Involvement of other donors and member states active in the sector;
- Institutional and organisational relationships – linkages, roles and responsibilities; and,
- The engagement and role of beneficiaries in W&S service delivery.

The topics served as the basis for identifying, isolating, and gathering a range of information on specific W&S issues. The structured interviews were undertaken using the 9 key Evaluation questions, and were supported by unstructured interviews with stakeholders, beneficiaries and other stakeholders. The latter interviews were used to test and verify information gathered from the former.

2.4 Site visits

After much deliberation and discussion with the Delegation over which Masibambane sub project would provide the most suitable information, the Team undertook a field visit to the Chuene Maja Project in Limpopo Province. The primary aim of the visit was to review a representative EC funded project with a prominent W&S component. Other possible projects considered were located in KwaZulu Natal but these were precluded because of time constraints. Details of the visit itinerary, persons met, groups interviewed, and places visited is included as Annex 6.3

After initial meetings with DWAF in Pretoria, briefing took place with representatives of DWAF in Polokwane. Their 'mission statement', management structure, development approaches, and general information on the sites to be visited were presented. The programme for the field visits, beneficiary meetings, and general approach was discussed and confirmed.

The site visit examined a number of village based W&S initiatives served by the Chuene Maja Water Treatment Plant, which is part of Masibambane I, and had been extensively rehabilitated under the earlier Build, Operate, Train and Transfer (BOTT) Project. A review of the BOTT process carried out through a World Bank, UNICEF, DFID and DWAF funded programme used the plant to test implementation, and cost recovery modalities[5]. The Evaluation Team Leader participated in this review.

The main foci of this particular project initiative was the pumping, treatment and distribution of potable water supplies from a nearby reservoir to a number of villages via a system of piped mains and service reservoirs. Employees at the treatment plant were interviewed and the opportunity was taken to discuss service delivery with beneficiaries and to inspect practical (mostly technical) examples of the infrastructure works. No sanitation works were included in the project.

[5] Review of the Build, Operate, Train and Transfer Process, Directorate of Water Services, DWAF, S Masia, J Walker, Nomsa Mkaza, I G Harmond, M Walters, K Gray, and J Doyen, November 1998

3 BRIEF SECTOR PROFILE

3.1 Laws, acts and legal statues

The 2001 Census stated that there were 44.8 million people living in South Africa, all of whom had access to water supplies of some form or other. However, some 5 million (11%) had no access to a safe water supply, and a further 6.5 million (15%) lacked a defined 'basic service'. In addition, 18.1 million people (41%) were identified as having no adequate sanitation services. National responsibility for addressing these shortfalls rests with DWAF and under the Reconstruction and Development Programme (RDP) water has been identified as one of the major national priorities in the provision of 'basic needs'.

In its endeavour to address inadequate W&S services, DWAF prepared a strategy for the transfer of nationally owner and operated assets in August 1997[6]. This established procedures whereby the Operation and Maintenance (O&M) of refurbished assets (a prerequisite for transfer) would be taken over by local government. To assist this process a schedule of assistance covering a period of 5 years was been prepared whereby a decreasing subsidy would be paid to the recipient local government entity to cover O&M requirements. On the 6th year the subsidy would be zero. A model form or agreement was attached to the strategy document but doubts were been raised as to its legality. A summary of key policy and associated documents was assembled in 1997 but this could not be called an O&M policy statement[7].

Sustainable management guidelines prepared by DWAF[8] begin with a section on understanding sustainability. This identifies the so called 'silver bullets' to achieve sustainability over the past 3 decades as:

- Appropriate technology – 1970's;
- Empowerment of communities – 1980's; and,
- Capacity building – 1990's.

The guidelines go on to define the 2 phases of sustainability as the initial phase (establishment of the service through planning, design, construction, institutional infrastructure and initial commissioning) and the continuation phase (operation, revenue collection, maintenance and administration). The key to sustainability in the continuation phase is the support system, which should be in existence through the institutional arrangement of local government, district councils, provincial government and national government.

Following the approach adopted for the drafting and presentation of the Water Act, a white paper on water policy was prepared by DWAF[9]. This forms the basis of the National Water Act, which was enacted on 26th August 1998. The act makes water a national asset to be held in trust by government for the benefit of all. Many of the principles commonly developed and applied in the management of water resources in other countries have been built into the act. These include the concept of water allocations - which will not be permanent and can be traded - and pricing to include the full cost of providing water, catchment management charges and an environmental charge covering the disposal of wastes in rivers.

The Water Services Act of 1997 embodies the policies set out in the white paper and is the primary legal vehicle through which national water and sanitation policy is

[6] Policy, Guidelines and Procedures to Transfer Government Water Supply and Sewage Works, August 1997

[7] Water Services Operations, Key Policy and other Documents, DWAF, November 1997

[8] Sustainability Management Guidelines, DWAF, Draft 3, August 1998

[9] White Paper on a National Water Policy for South Africa, DWAF, April 1997

delivered[10]. It sets out the responsibilities of DWAF - exercised by the Minister - provides a regulatory framework and enables procedures to be established for cost recovery arguably the major challenge for the water supply industry. The act contains numerous references to the Local Government Transition Act, 1993, and this must be taken into consideration when developing O&M, asset transfer and cost recovery strategies.

The BOTT contract was an important W&S asset transfer initiative. It was centred on the 4 poorest provinces (Limpopo, Mpumalanga, KwaZulu Natal and Eastern Cape), and played a key part in establishing and strengthening the planning, implementation and transfer of W&S initiatives. It promoted the preparation of water development plans through participation in the planning forums, and the drafting of the area business plans. Not only are the contents of the business plans fed into the water development plans but DWAF and the municipal entities apply this process to build capacity, and strengthen the project selection and prioritisation process. Although the BOTT programme has finished, many of the principles it promoted are continuing, and the Team were able to review this process first hand during the site visit to Polokwane.

Many of the planning and implementation decisions associated with water supply and sanitation development in South Africa emanate from the strategic study carried out in 1996[11]. This examined and built on the policies set out in the 1994 white paper and quantified the magnitude of the task set down in the Community Water Supply and Sanitation Strategic (CWSS) strategy which was is 'to ensure some for all for ever'[12]. The CWSS paper identified some 12 million people as not having access to an adequate water supply and 21 millions lack basic sanitation. But the strategic study found that the enormity of the problem may be far greater and said that upwards of 18 million could lack adequate water supply. It was estimated at that time that to put this right would cost of R 9.5 billion.

Central to the provision of universal water supply coverage is the definition of basic supply, which the White Paper set at 25 litres per person per day within 200 metres (See Page 15 of White Paper). Water availability was fixed at 98% and water quality stated to be in accordance with currently accepted minimum standards. In the DWAF design guidelines four classifications have been described with the target water quality parameter (Class 0) as set down in the South African Water Quality Guidelines for Domestic Use, 2nd Edition. The guidelines do however imply that where little choice exists the target water quality parameter could be relaxed. One important point made in the white paper was that guidelines are not sacrosanct and should be approached with caution.

In 2003 DWAF published the Strategic Framework for Water Services defining the current situation in terms of sector vision, goal and targets. The institutional and financial framework under which it will operate in the future and its role as the water sector regulator were described[13]. The strategic framework was followed in 2005 by the publication of the Strategic Plan for 2005/6-2007/8. This was prepared in accordance with the Public Service Regulation of 1999, Part III, Section B.1 and describes DWAF's 'legally mandated core functions and medium-term key focus areas at a strategic level', and can be summarised as follows:[14]:

- 1 to 5 – relate to forest management, sustainable forest development, and empowerment of communities and disadvantaged groups to make use of forest products;

[10] Government Gazette, Water Services Act, 19th December 1997

[11] Community Water Supply and Sanitation Strategic Study, Biwater - Murry & Roberts JV, November 1996

[12] Water Supply and Sanitation Policy White Paper, DWAF, November 1994

[13] Strategic Framework for Water Services, Water is Life, Sanitation is Dignity, DWAF, September 2003

[14] Strategic Plan, Multi year 2005/4-2007/8, DWAF, undated

- 6 to 8 – water service provision and poverty alleviation, water resources conservation and protection, and the development of an effective management framework:
- 9 – application and promotion of IWRM practices;
- 10 to 12 – provision of sustainable basic W&S services, poverty alleviation, to underpin socio economic development, and the establishment of effective management institutions;
- 13 - work towards the achievement of the millennium targets; and,
- Promote IWRM in Africa.

The decentralisation of Government functions, whereby provincial and municipal entities now have the prime responsibility for W&S service delivery has resulted in a dramatic shift in DWAF's remit, and from being the countries pre-eminent service provider, it will now become a regulating body with greatly reduced sectoral responsibilities.

3.2 Governance administrative arrangements, roles and responsibilities

There is a major shift currently underway in South Africa in the way W&S services are being delivered. With the transfer of technical, financial and administrative responsibility from DWAF to the municipalities, districts and community based organisations there has been a corresponding redefinition of the role played by local government. One of the main actors in this regard is the Department of Provincial and Local Government (DPLG) who have participated in a 'systematic and phased approach to local government transformation'[15]. The pre interim phase ran from 1994 – 1995, the interim phase from 1995 – 2000 and the final phase from 2000 onwards. The process was greatly enhanced in 2001 when the President's Coordinating Council (PCC) endorsed the transformation programme. Five key strategic objectives were identified, which were later elaborated into 15 high level interventions in March 2003.

Confirming common experiences in many countries with a W&S services deficit, the issue of sanitation is not addressed with any real seriousness in South Africa, and DWAF are only now appearing to appreciate the implications on community health resulting from improved water supplies. A White Paper on Basic Household Sanitation was drafted in 2001 and establishes a sensible approach to addressing the needs of poor rural, and peri urban communities[16]. In their strategic framework DWAF mention 'sanitation' once in the 15 key focus areas, and then only in the tenth.

In order to reinforce and ensure that the 'regulatory environment of local government is progressive, sound and comprehensive' the DPLG have initiated Project Consolidate. This is designed to address the challenges of transforming current conflicts into a practical 'hands–on' programme of engagement and interaction between nation, and local government. A key actor in Project Consolidate is the South African Local Government Association (SALGA) who represents the interests of municipalities. They are key stakeholders, take an interest in W&S serviced delivery, and maintain a close association with the main implementation actors.

With the shift away from W&S service delivery from DWAF to local government entities, there has been a parallel change on the way funding is allocated. As a consequence, the primary financial vehicle will be the Municipal Infrastructure Grant (MIG). With its focus on 'programme to projects to sustainable services' the MIG

[15] Project Consolidate, A Hands-On Local Government Engagement Programme for 2004-2006, DPLG, May 2004
[16] White Paper on Basic Household Sanitation 2001, undated

replaces the old infrastructure grants managed by different departments in a 'uncoordinated and fragmented' manner. The MIG is managed by the DPLG and the eligible categories include electricity, W&S, storm water management, municipal roads, refuse removal and street lighting[17].

From its inception in 1994 the Mvulva Trust (MT) has been a key actor in South Africa's development sector. With EC financial support from the outset the MT has been active in the most deprived rural and urban areas, and provides community based self-help W&S services. It is adapting to the changes facing development and is working closely with municipalities to upgrade W&S service delivery[18]. The MT places a strong emphasis on sustainability and provides a level of service that is affordable and capable of being operated and maintained by the community. The MT was in each of the previous BOTT consortia but in recent times funding has proved elusive, and like many South African NGOs they are fighting to survive. With a strong social commitment the MT will most probably manage this crisis and are currently managing the EC funded Euro 5 million NGO Rural Water Supply Project. While technically the project is on-track, many of the classic problems regarding contracts, disbursements, and EC management procedures are being experienced.

The issue of free basic services (water, sanitation and electricity) is causing concern in some quarters cutting across the international view that water has an 'economic cost' and should be 'valued'. Legally, the provision of sustainable services, including free basic water services, is a local government responsibility in South Africa and not a matter for national Government. The Water Services Act says local authority cannot deny the poor access to water on the grounds if inability to pay. So legally poor consumers may be able to legally force the municipalities to provide them with fee water. The EC Delegation raised the matter with DWAF, and a point-by-point reply[19] attempting to justify the numerous W&S policy requirements set down in the Strategic Approach[20], was found to be far from convincing. Providing free (or subsidised) W&S services to those in the community who demonstrably can't pay is an issue that will not go away, and must be addressed in the context of current policies. In at least one member state (United Kingdom) the debate surrounding the provision of 'social water services' has already begun, and ways of providing free or subsidised water services to the needy are actively being explored.

An unpublished review of collaboration in the water services sector in South Africa[21] throws 'more light' on delivery opportunities and challenges. Although there is implied dissatisfaction with some of the issues raised in the review (it contains no specific conclusions and recommendations), Section 3, which looks to the future, identifies a number of critical issues. These include the question of whether efforts should be concentrated on service or infrastructure delivery, the impacts felt from decentralisation, the need to move from water service to municipal-focused collaboration, the benefits of moving away from Government-centred collaboration to a regime emphasising performance, and the broadening and institutionalisation of sector collaboration.

[17] The Municipal Infrastructure Grant, 2004-2007, DPLG, undated
[18] The Mvula Trust, Annual Report 2003/04, undated
[19] An Appraisal of South Africa' Free Basic Water Policy in Relation to EU Principles, DWAF, Draft 3, February 2003
[20] Towards Sustainable Water Resources Management – A Strategic Approach, September 1998
[21] Review of Sector Collaboration in the Water Sector, South Africa, Final Draft for Comment, WIN – SA and BPD, June 2005

3.4 Programmes and projects

The Country Strategy Paper (CSP) and Multi Annual Indicative Programme (MIP) for South Africa[22] have the Trade, Development and Cooperation Agreement (TDCA) at their centre. The TDCA was concluded in 2000, and is a 'bilateral agreement to govern trade and cooperation based on political dialogue, preferential trade relations and the deployment of significant resources for development and economic cooperation'. In line with the New Partnership for Africa's Development (NEPAD) the EU proposes to forge a new partnership with Africa in order to 'respond to Africa's emerging priorities'[23].

The CSP is in line with the new ACP- EU Agreement[24] and describes 4 main priority areas for EC and Government of South Africa (Government) cooperation and these are as follows:

1. Equitable access to and sustainable access to social services - W&S;
2. Equitable and sustainable economic growth;
3. Deepening democracy; and,
4. Regional integration and cooperation.

The W&S sector is scheduled under Area of cooperation 1 of the CSP, and is intended to 'contribute to improved access and use of W&S services by the poor'. Currently the EC, and the member states, is the largest provider of Official Development Assistance (ODA) in the world and commits on average some 40% of its ODA budget to Africa. For the period 1994 - 1999 EC funds committed to South Africa was some 40% of the total ODA budget, with USAID the nearest with about 14%. The indicative European Programme for Reconstruction and Development (EPRD) allocation under the MIP is Euro 515 million over 4 years, of which some 40 - 50% is earmarked for the W&S sector. Six cross cutting issues will be 'integrated into EC interventions' and these include:

- HIV/AIDS;
- Capacity building;
- Civil society and non-state actors;
- Governance;
- Environment; and,
- Gender.

In addition, under the framework contract between the European Investment Bank (EIB), and the Government signed in 2000, out of a total of Euro 825 million some Euro 626 will be committed during the 'period of the present strategy'.

The EC's support is primarily through Sector Support Programmes (SSPs) and supports the Sector Wide Approaches (SWAPs) promoted by Government. The current CSP does not contain a list of W&S sector interventions and their funding budgets, but a summary of EC investments for the period 1995 – 2001 is expressed, and provides a useful indication of past interventions. This is as follows:

[22] South Africa - European Community Country Strategy Paper and Multi Annual Indicative Programme for the Period 2003 – 2005, undated
[23] The EU and Africa, A Partnership for Development, Directorate General for Development, 30th July 2002
[24] The New ACP-EC Agreement – General Overview, 2000-2020, undated

Reference	Detail	Amount (Euro)	
		Allocated	**Disbursed***
95-75070-04	Water development in the Eastern Cape	18,900,000	18,673,029
96-73200-06	NGO Rural water supply (Mvula Trust)	5,000,000	4,498,889
98-73200-17	Budget support to water and sanitation in Northern Province – Limpopo	17,500,000	17,500,000
99-73200-17	Budget support to water and sanitation in Northern Province – Limpopo	20,000,000	18,000,000
00-73210-30	2001-2003 water services sector support	47,050,000	22,080,000
	Total:	**108,480,000**	**80,751,918**

*End 2001

The main W&S initiative in the country is the Masibambane programme (Phase I, 2000 – 2004) centred on the 3 poorest provinces (Eastern Cape, Limpopo and KwaZulu Natal). In additional to funding contributions from 2 member states (The Netherlands and Ireland) EC support to Phase I totalled Euro 75 million. Phase II of the Masibambane programme (2004 – 2007) has commenced and EC funding is Euro 50 million. The total cost of Masibambane II is Euro 2,699 million Euro and Netherlands and Ireland are also co-funding Phase II.

The NGO Rural Water Supply Project being implemented by the MT under the 'call for proposals' procedures is only now getting back on programme having started slowly. It is seriously constrained by EC project management policies, mainly as regards procurement, and lack of funding for the NGO sector generally is making is difficult for MT to establish and develop local NGO partnerships. There is considerable dissatisfaction in MT, who see themselves as the principle NGO in South Africa, and who thought they had a 'special relationship' with the EC dating back to post apartheid times. The more towards sector support has seriously impacted on their workload and there is a real danger that the experience they have acquired over many years is being under-utilised, and if the situation does not change it may even be lost.

Under the regional support programme the EC is also funding a water sector project for the Southern Africa Development Community (SADAC). With a budget of Euro 7.289 million the overall objective of the programme is to 'support integrated planning and management of water resources' and contribute to the 'achievement of an integrated regional economy'[25].

An independent evaluation of the CSP was carried out in 2002 and of the 5 core themes examined, Group 1 dealing with social services looked to a small a degree at W&S and was largely positive, but contained no specific recommendations as regards service delivery[26]. The evaluation contained a number of valid recommendations and these are as follows:

- Order interventions around a clearer core theme, which would also become an identifiable and measurable objective;
- Address cross cutting constraints and take on future capacity challenges;
- Develop additional knowledge tools to analyse, monitor and disseminate information;

[25] Support Programme for the Water Sector in SADAC, Financing Agreement SA/73200-01-06, 2003

[26] Evaluation of the European Commission's Country Strategy for South Africa, ODI, MWH and ECDPM, December 2002

- Carry out sector reviews of weak performers to determine whether it should drop or reorient some components;
- Maintain dual track support to NGOs and Civil Society Organisations (CSOs)
- Make more strategic use of regional instruments across EPRD sectors; and,
- Use examples of best practices from focused programmes in the design of future SSPs and SWAPs.

A final evaluation of Masibambane, Phase I was carried out in 2004 and the lessons from this exercise have been (presumably) built into Masibambane Phase II[27]. The evaluation expressed the 'overall impression that the programme has been successful and exemplary in the region and beyond' and made a number of specific points. Those with a bearing on this Evaluation have been summarised bellow:

- There was a mixed picture regarding specific areas that reflect the programme's ability to adequately adapt to some in the dynamics in the macro environment, and there was varying success with regard to effectiveness and efficiency;
- The delivery of W&S services was generally efficient however the impression is also that efficient delivery in not always matched by efficient utilisation and benefits to the target group;
- Many issues raised on the mid term review in respect to cross cutting issues remain unresolved, and relate mainly to the integration of planning, execution and reporting;
- Civil society appears to need redefining and gender mainstreaming remains largely misunderstood conceptually and as a result either inappropriately addressed or marginalized altogether; and,
- The issues noted on environment and the use of appropriate technology has been partially addressed but the same constraints are limiting success.

A mid term evaluation of Masibambane, Phase II is about to be carried out and it will be interesting to see if the lessons from the Masibambane, Phase I final evaluation, have been incorporated into the new project

[27] Financing Agreement, Water Services Sector Support Programme 2004 – 2007 (Masimbabane II), 2004

4 PRELIMINARY FINDINGS

4.1 Support to Water Supply and Sanitation

To what extent has EC support facilitated improved and sustainable access to safe drinking water and basic sanitation? (Question 1)

EC funded assistance to the W&S sector in South Africa is provided by way of budget support rather than direct project funding (i.e. call for proposals). As a consequence, success must be measured in terms of the broader water sector programme, which includes funding from Government and other donors. Although the lack of quantifiable evidence does not allow a definitive judgement on the 'extent' of EC support, it has undoubtedly **facilitated improved and sustainable access to safe drinking water and basic sanitation**. Evidence collected from interviews, the site visits and literature reviews confirms success in this regard, particularly in respect of the Masibambane Programme where RPD water supplies has been provided to some 2.256 million, and sanitation services to some 143,554 households[28].

In addition to the statistical facts, the EC has been instrumental in the conceptualisation and implementation of the SWAP, whose preconditions include among others: policy and strategy review, institutionalisation of collaboration, developing institutional capacity, delivering infrastructure and ensuring sustainability. EC assistance through the Programme has:

- Supported Government in developing a clear policy framework (i.e. Strategic Framework for water Services);
- Promoted a sector approach rather than a project approach;
- Required a comprehensive monitoring and evaluation programme; and,
- Assisted in developing a joint policy on asset transfers (i.e. decentralisation) and a suitable strategy to allow DWAF to assume its regulatory responsibilities.

The Programme has assisted DWAF in providing capacity building support to municipalities and the Water Services Authorities (WSAs), to SALGA and to DPLG. In many instances prior to Masibambane, municipalities lacked adequate resources for W&S service delivery, and participating municipalities have been supported with staff and management systems allowing them to assume their new responsibilities as WSAs.

Masibambane has also introduced comprehensive reporting protocols (in line with EC management guidelines), which has allowed sector partners to monitor performance, and provide advice or corrective action where necessary. The quarterly reporting procedures also supports learning and knowledge sharing among stakeholders, and documentation of experiences has led, not only to maintaining institutional memory, but to broader capacity building and knowledge management.

How far has EC support for access to water and sanitation contributed to a reduction of poverty? (Question 2)

Poverty eradication is a common goal of governments throughout the world. In South Africa, where the differences between rich and poor are so pronounced, numerous development initiatives are being implemented. These vary from direct Governmental intervention through legislation[29], programme and projects, including the Extended Public Works Programme. Access to free basic services, including

[28] Masibambane Annual Report, 2003/04, DWAF, December 2004

[29] Targeted Procurement in South Africa, An Independent Assessment, I G Harmond and T E Manchidi, DBSA, PWD and ILO, April 2002

W&S, electricity, subsidised housing, free education etc, are all initiatives actively being pursued.

It is difficult to isolate and demonstrate to what extent **EC support to W&S has contributed to a reduction of poverty** but the indication is that it has. Experience throughout the world has shown that improved access to W&S services must logically reduce baseline poverty levels. The facts that less time spent on water collection allows more productive work time, and that better access to education will raise the living standards of children, both point towards a clear and discernable link. However, no statistics to prove (or disprove) this fact were contained in the Masibambane Programme reports and reviews other than the reporting of 44,000 directly attributable new jobs for the period 2001-2004 (See Reference 28). Poor M&E was reported in the Phase I evaluation (See Reference 2), and the apparent lack of any credible baseline data has not allowed even the simplest comparison of poverty alleviation statistics to be made.

The main challenge for implementers (previously DWAF and now the municipalities) is to 'strip out' the external factors and quantify the benefits to enable programmes and projects to be correctly targeted, and the rewards maximised. It might be argued that there is no need to isolate W&S inputs as long as there is a general improvement of peoples' livelihoods. The principles of Project Consolidate (See Reference 15), a Government programme to support municipal services delivery, do not necessarily attempt to link any specific input to poverty eradication, but point to the importance of bringing all relevant sectors together to support poverty eradication programmes.

How far has EC support for improved water supply and sanitation contributed to better health? (Question 3)

Improved health is generally used as a motivation for W&S investments, yet it's difficult to isolate a discernible link between them. The question of linking improved health to W&S service delivery is similar to that for poverty reduction, and equally difficult to test and prove. Determining **how far has EC support for improved water supply and sanitation contributed to better health** has proved difficult but conventional wisdom suggests it has. Simple studies like examining health records pre and post W&S project works to quantify improvements is a common approach, but isolating improvements is difficult. No quantifiable information from the Masibambane Programme has been located (so far) to confirm or refute the hypothesis. This situation is not unique and the final evaluation of the USAID funded Buchbuckridge Project (See Reference 3) did not address this issue in any detail either.

As well as the more obvious positive examples (i.e. reduced diarrhoeal rates in children, mortality and morbidity rates, etc.) there can be some negative factors. These include storing water in unhygienic conditions, or allowing water to be kept in open tanks providing a convenient breeding ground for malarial mosquitoes. The sanitation programme of Kwazulu-Natal in 2001 was initiated as a result of the cholera outbreak. It proved successful and helped contain the spread of cholera, but its success can't be attributed to the sanitation programme alone, as the Department of Health also contributed to various interventions.

4.2 Water Resources Management

How far has EC support contributed to the adoption of national policies and legal instruments that are in accordance with the principles of Integrated Water Management Resources Management? (Question 4)

One of the MDGs specific targets was to 'have comprehensive policies and strategies' for Integrated Water Management Resources Management (IWRM) in the process of implementation by 2005. These policies have been developed in South Africa, and the introduction of the National Water Resources Strategy is one of the provisions of the National Water Act (See Reference 10). It is being implemented with **support from the EC and contributes to the adoption of national policies and legal instruments that are in accordance with the principles of IWRM**. The Act provides for the development of Water Services Development Plans (WSDPs), which are informed by water resources and catchment management strategies. The development of WSDPs, based on catchment water resources information, is a clear indication of intent, and an acknowledgement of the need to integrate water resources, and water supplies.

In broad terms, EC support to the water sector in South Africa has been centred on W&S and the management of water resources per se has been supported by a variety of bilateral donors. This separation of support between water resources and W&S is encouraged by the departmental structure of DWAF, which draws a clear line of demarcation between water services at the municipal level, and at the catchment level. The establishment of 19 new Catchment Management Agencies to manage water resources will address this issue and strengthen the IWRM process. The interests of all water users will be represented by the Agencies who will be supervised by a governing board. All the 'classic' problems of catchments crossing geo-political boundaries, and the technicalities associated with balancing intensive farming, industrial, environmental and socio economic demands present particular challenges in South Africa and will test the Agencies resolve.

To what extent has EC support facilitated and contributed to the adoption and implementation of Integrated Resources Management into the planning and implementation of water and sanitation service delivery? (Question 5)

Evidence from interviews, together with a study of the available literature, indicates that **EC support to facilitate and contribute to the adoption and implementation of IWRM into the planning and implementation of water and sanitation service delivery** has only been limited. Indeed, some schemes are being designed and built under the Masibambane Project without adequate resources information. This was an issue flagged during the BOTT Review (See Reference 5). Some municipalities are pushing ahead with infrastructure investment only to find that during droughts the available resource is proved inadequate. Clearly, without IWRM and good water management, the resource can't be estimated let alone conserved and allocated in a sustainable manner. With the move towards the adoption of a sector approach for development assistance, and the formation of 'real' working partnerships, the old cycle of 'rehabilitate – dilapidation – rehabilitate' might eventually be broken.

Examples were found to confirm that IWRM is applied to the planning and implementation of some EC funded W&S programmes and projects. However in a bid to meet delivery targets, municipalities are under pressure to deliver services and technologies that may not be appropriate. For example the Masibambane II Project has recently been 'rolled out' into more provinces, and is experiencing problems. In the Free State Province for example, communities insist on water borne sewerage as opposed to pit latrines. This problem has the potential to undermine the

Government's policy on the eradication of bucket toilets, which are not only indecent but unhealthy as well. The insistence on the provision of water borne sewerage in unsuitable circumstances undermines the principles of conservation, and environmental sustainability.

The selection of inappropriate technologies and the lack of an integrated approach to development, particularly in rural situations, is another sphere where advances are slow, and a failure to offer the level of service that communities can manage (and afford) is having a serious effect on sustainability. This combined with Government's free basic services policy is resulting in whole communities refusing to a pay for water and returning to old unhygienic water sources.

4.3 Cross Cutting Issues

How far has the EC addressed existing gender inequalities as a key goal in its water and sanitation service delivery programmes, and how successful have these efforts been? (Question 6)

Gender has been recognised as one of the crosscutting issues in the Masibambane Programme, and has been given appropriate status in planning and to some extent budgeting. However, implementation 'paints a different picture' as many of the programme and projects only consider gender as an afterthought and an imposed burden. The only evidence available is that some success has been recorded with women playing an important role in water management committees, and participating in the general decision making process. How deep and sustainable this might be is hard to know but on balance **the EC have not addressed existing gender inequalities as a key goal in its water and sanitation service delivery programmes.** This conclusion is underpinned by the fact that in the 15 key focus areas quoted in DWAF's Strategic Plan (See Reference 14), the word 'gender' is not mentioned once.

On a more positive note, DWAF has taken a lead in addressing gender inequalities in its own management structure, and has implemented corrective action when recruiting staff. It is not clear whether other sector partners have taken a similar route or not. It has been noted that gender is high on the national agenda, but questionable elsewhere. The DPLG has started to address the gender issue, and is currently developing a framework for gender mainstreaming within the MIG. Taking a cue from Masibambane, and similar programmes, DPLG is also developing approaches to involve civil society, and investigating the other cross cutting issues of environment and appropriate technology.

Participation of civil society is considered a crosscutting issue in the Masibambane Programme and one, which has not been addressed sufficiently. The engagement and representation of ordinary citizens has so far been facilitated through the use of NGOs. and to a lesser extent community based organisations. While this is in line with EC policies, the participation of civil society in W&S service delivery is unfortunately dwindling. Since most W&S funding from the EC comes by way of budgetary support to Government, the EC does not work directly with NGOs and other civil society groupings, other than on specific projects (i.e. NGO Rural water Supply Project). Therefore it is the prerogative of Government to involve civil society in a manner, and to an extent it sees fit. While DWAF has been instrumental in involving NGOs, and has developed working relationships (protocols) with them, it is not clear whether local government has the same vision and readiness. It is also not clear how the principles of Masibambane will influence the implementation of the MIG. There appears to be reducing interest by municipalities to involve NGOs in the delivery of services, to an extent that some NGOs have actually ceased to function.

4.4 Water Supply and Sanitation Service Delivery

To what extent have EC water and sanitation delivery programmes been implemented in an efficient way? (Question 7)

Confirmation from interviews and document reviews suggest that while EC supported W&S programmes are strong on policy and planning, challenges remain as regards implementation. Defining **to what extent EC water and sanitation delivery programmes have been implemented in an efficient way** is problematical, but the evidence indicates that on balance, it has been positive. Defining efficient programme service delivery in real terms is not straightforward, and the issue is complicated in a sector support context. The EC Guidelines state that efficiency links 'means through activities to results, assuming, risks and programme conditionality are mostly within direct donor control'[30].

Efficiency improvements are undoubted needed at municipal level. These can be achieved by the integration of department activities through 'Project Consolidate' (See Reference 15), which is a high level Government initiative coordinated by the DPLG. As a flagship for sector collaboration, the Masibambane Programme is in a position to allocate appropriate resources and support this initiative. A major challenge to the EC will be to seek out ways to influence the direction of this alignment, and ensure that the Programme maintains relevant to the broader national strategic objectives.

The delivery of water services infrastructure is generally efficient, and meets expectations in terms of quality and quantity. As a result the required increase in the number of people served has been achieved, and generally exceeded, however, issues of sustainability remain a serious challenge. In the Chuene Maja project visited by the Team it was found that while the infrastructure was generally functional[31], and there was adequate water in the system, serious water shortages were being experienced in the community. Water is available but can't be accessed properly because the community can't afford (or refuse) to pay. Members of the community are required to make monthly contributions to the municipality cost recovery office, which in turn allocates a pre-determined volume of water to the specific community. This essentially translates into a pre-paid service but in the event of some members defaulting, the supply is cut and the rest are unable to access water. The community then resort to collecting untreated water direct from the dam or from the river. The problem is exacerbated by the free basic water policy, which has caused the collection system to collapse because even fewer people are prepared to make contributions. Unfortunately to date the municipality has been unable to deliver free basic water as promised, which is causing chaos.

In terms of sanitation the White Paper (See Reference 16) forms the basis of the implementation of this component within the Masibambane Programme, and the sector as a whole. There is, however, a wide divergence between what the paper advocates and its efficient implementation in the field. The White Paper is very clear about the need to adopt a demand-responsive approach. This area of policy was implemented with considerable efficiency in the mid nineties (mainly by MT and other NGOs), but seems to have lessened with the transfer of W&S services from DWAF to local government. The latter seem to be following the classic civil engineering 'design and construct' approach at the expense of community participation in a bid to meet the set targets. This approach is inefficient and contradicts EC policies of sustainability, particularly when dealing with sanitation, and there has to be a balance between the meeting of service delivery targets and sustainability principles.

[30] A Guide to the Evaluation Procedures and Structures Currently operational in the Commission's, External Co-operation Programmes, 21st March 2001

[31] There is a problem with poor sedimentation rates from high lake silt loads, and the design through put is not being met

4.5 Coherence, Coordination and Complementarity

To which extent has EC support to the water sector and other EU development policies affecting the sector, been consistent and coherent? (Question 8)

The EC supported Masibambane Programme is essentially the implementation of the Strategic Framework for Water Services (See Reference 13), whose principles are directly aligned to those of the EC. These include among others; the sector wide approach, policy review, institutional development and capacity building, service delivery and sustainability. As a consequence **EC support to the water sector and other EU development policies affecting the sector, has to a large been consistent and coherent.**

With respect to policy, there is a clear indication of consistency and coherency in that EC support is channelled through National Treasury, allocated to DWAF[32], and used within the Masibambane Programme. There is no evidence of any EC funds allocated to the W&S sector being used contrary to the Strategic Framework or outside the Masibambane Programme, with the exception of the NGO Rural Water Supply Programme. There is therefore, no room for any form of implementation inconsistent with the national programme.

There are numerous other donor-supported W&S sector programmes implemented outside the Masibambane Programme, and notable donors include USAID, DFID, DANIDA, and the Republic of Ireland. All of these work through DWAF and support the implementation of the Strategic Framework. The implication therefore, is that their respective W&S implementation policies are aligned to those of DWAF and the EC.

To what extent has EC support to the water sector at country level (as defined in the CSPs, NIPs, etc) been coherent and complementary with overall EC development policies, strategies and actions of member states and other major actors? (Question 9)

The field visits provided the Team with an opportunity to meet not only with Government officials implementing the EC supported W&S programme, but also with other stakeholders including the DBSA, the MT, NGOs, and donors. The meetings confirmed that **EC support to the water sector at country level was coherent and complemented development policies, strategies and actions of member states and other major actors.**

The DBSA finances a variety of development initiatives including W&S projects, and are a key sectoral actor. They were instrumental in addressing the issue of inequities in the allocation of Government infrastructure design and construction contracts through 'targeted procurement' (See Reference 29) but are not actively engaged in EC funded projects. The DBSA has a strong interest in Southern Africa Development Corporation (SADAC) projects. Support to SADAC is delivered by the EC through the Water Sector Programme (See Reference 24), and is generally consistent with policies and programmes.

The MT are the largest and most active NGO in the sector, and were established in 1994 by DWAF and other partners to address the W&S backlogs caused by apartheid in a sustainable manner. Since then they have developed considerable capacity in implementing and managing demand responsive, and participative projects. While this is in line with EC implementation policies, this type of work carried out by the MT and other NGOs is unfortunately loosing ground due to the pressure of delivering infrastructure at the expense of participation, and broad consultation. The smaller NGOs are loosing work, and some have actually ceased

[32] This financing stream will alter early next year when funds are mover from DWAF and channelled through the MIG

trading as a result of local government pressure to deliver services through private contractors using the classic civil design and construct approach. In this way, 10 years of valuable experience is in danger of being lost, and there is a need for a concerted effort to engage the NGO community and transfer this experience from DWAF to the municipalities. This is vital for securing sustainable W&S service delivery.

5 CONCLUSIONS

5.1 Main country specific issues

The aim of the CN is to allow information to be gathered on EC support to the target country, which can then be fed into the synthesis report. From the interviews, meetings and the site visit to Limpopo Province a reasonable view on the EC's contribution to the W&S sector in South Africa has been gained. While not perfect and lacking detail in some respect it has been possible to identify key sectoral issues, which are as follows:

- Projects generally deliver benefits in line with EC policies and programmes although with the sector approach it is hard to isolate what works are directly attributable to EC funding[33]. It is generally believed that the EC have a much greater sectoral influence than it's relatively minor funding contribution might suggest through the imposition of its project management rules;
- The evidence indicates that poverty has probably been reduced, and health improvements have been made, but to what degree is hard to determine. Lack of base line data and coherent M&E systems makes quantitative evaluation difficult;
- The rational and appropriateness of the EC's water management and development policies are acknowledged by DWAF, and are generally in line with national standards, which are excellent, and reflect the high level of technical expertise available;
- Good water resources management is recognized, but infrastructure construction is being undertaken with inadequate application of IWRM. The structural division within DWAF between water resources management, and water supply service delivery, is untenable. The new Catchment Management Agencies should help to correct this weakness;
- Cross cutting topics, like gender, environment and civil society, are recognised mainstream issues in programmes and projects, but in the main are applied in a desultory fashion, relying more on hype than substance. The demise of the NGO sector through a shift in approach, is having an adverse effect on community engagement, and consequently sustainability;
- Project efficiency is hard to access, particularly when examining sector-funded initiatives, but on the whole success is mixed, and while the 'harder' infrastructure works are being implemented efficiently the 'softer' community based components are not;
- The NGO Rural Water Supply Project being implemented by the MT under the 'call for proposals' procedures is seriously constrained by EC project management policies – mainly as regards procurement;
- Policies are generally universal and apart from the free basic services policy there are no major clashes with member states, donors, UN agencies or the development banks; and,
- Liaison with other actors at country level is effective, although NGO's are not being consulted or used to implement small - scale low level technical community based development projects.

[33] Development Cooperation Ireland, joint Masibambane Programme funder, are in future seeking to identify specific budget lines that they can link to their funding stream

Although the above sectoral issues are specific to South Africa, they have been found replicated in other target field visit countries, to a lesser or greater extent. One of the challenges will be to apply the evaluation analysis methodology outlined in the Desk Phase Report in a consistent way, and ensure the responses are proportionate.

5.2 Main thematic issues to be fed into the synthesis

At this juncture it is too early to be in a position to decide with any confidence what the main W&S thematic issues are, how they should be applied, or their order or precedence. To do this will require more study and analytical work during the Synthesis Phase, but at this juncture it has been possible to identify some key factors with a bearing on the effectiveness of EC support to the W&S sector, and these are as follows:

- Project performance is hard to assess when examining sector-funded initiatives, as there are no evaluation rules to cover these operating modalities;
- Lack of hard data, and poor M&E procedures, continue to hamper attempts to apply the 5 evaluation criteria (relevance, impact, effectiveness, efficiency and sustainability);
- Harmonisation of policies, programmes and projects is essential for achieving the 3 'C's (consistency, coordination and complementarity);
- Lessons from previous evaluations are not being seriously addressed, or built into future programmes and projects, with the result that 'project institutional memory' is fragile;
- Policies are broadly in line with international standards, although not always being implemented (i.e. water services infrastructure are being constructed without an IWRM plan), but there are no significant contradictions or clashes, with the exception of the free basic services policy;
- Social W&S service provision is becoming more prominent (internationally and within member states), and EC policies will need to address and accommodate this trend sympathetically;
- The Strategic Approach (See Reference 20) remains a central document in the planning and implementation of W&S interventions;
- Sector based development is proving successful in streamlining service delivery and is far more successful that previous approaches, but contains weaknesses and needs refinement - particularly in relation to co-donor participation; and,
- The move towards 'working partnerships' with recipient countries should be broadened and wherever necessary strengthened.

These are the main responses and thematic issues emanating from the field visit to South Africa. At the synthesis stage they will be combined with those identified from the other 6 target countries and consolidated into a single information pool, which will enable the evaluation criteria to be modelled.

6 Annexes

6.1 List of Documents Consulted

Ref	Generated	Title and Subject	Date/Ref	Comments
EC Family – Country Strategy Paper updates, water and sanitation programmes and projects, evaluations, project preparation, mid term reviews, investment, etc				
1	EC	South Africa - European Community Country Strategy Paper and Multi Annual Indicative Programme for the Period 2003 – 2005	Undated	
2	Directorate General for Development	The EU and Africa, A Partnership for Development	30 July 2002	
3	EC	Support Programme for the Water Sector in SADAC, Financing Agreement, SA 73200-01-06	2003	
4	EC	Financing Agreement, Support Programme for the Water Sector in SADAC	2003	
5	EC	Financing Agreement, Water Services Sector Support Programme 2004 – 2007 (Masimbabane II)	2004	
6	EU	The New ACP-EC Agreement – General Overview, 2000-2020	undated	
7	EC	Towards Sustainable Water Resources Management – A Strategic Approach	September 1998	
Country Specific - Water laws, acts and statutes, development programmes, poverty reduction strategies, privatisation and decentralisation plans and initiatives, investment etc				
1	DWAF	Evaluation of the Water Services Sector Support Programme	10 August 2004	
2	DWAF, UNICEF, WB and DFID	Review of the Build, Operate, Train and Transfer Process, Directorate of Water Services, S Masia, J Walker, N Mkaza, I G Harmond, M Walters, K Gray, and J Doyen	November 1998	
3	DWAF	Policy, Guidelines and Procedures to Transfer Government Water Supply and Sewage Works	August 1997	
4	DWAF	Water Services Operations, Key Policy and other Documents	November 1997	
5	DWAF	Sustainability Management Guidelines, DWAF, Draft 3, August 1998	April 1997	
6	DWAF	White Paper on a National Water Policy for South Africa	April 1997	
7	DWAF	Water Supply and Sanitation Policy, White Paper	November 1997	
8	DPLG	Project Consolidate, A Hands-On Local Government Engagement Programme for 2004-2006	May 2004	
9	DPLG	The Municipal Infrastructure Grant, 2004-2007,	undated	

10	DWAF	Strategic Framework for Water Services, Water is Life, Sanitation is Dignity	September 2003	
11	DWAF	Strategic Plan, Multi year 2005/4-2007/8	undated	
12	Unknown	White Paper on Basic Household Sanitation 2001	undated	
13	DWAF	Masibambane Annual Report, 2003/04	December 2004	
14	DWAF	An Appraisal of South Africa' Free Basic Water Policy in Relation to EU Principles, Draft 3	February 2000	
Development banks, member states and key donors – Country programmes, water and sanitation development policies, projects and initiatives, coordination plans, investment, etc				
1	USAID South Africa	Bushbuckridge Retail Water Distribution Project, Final Evaluation	18th May 2005	
2	DBSA	Rural and Peri Urban Water Supplies in South Africa: Financing Issues	10th February 1998	B M Jackson
3	DBSA	A few Pointers for Rural and Peri Urban Water Supply and Sanitation	14th March 1999	B M Jackson
4	DBSA	Free Water – What are the Chances of Serving the Poor	22nd March 2001	B M Jackson
5	The Mvula Trust	Annual Report 2003/04	undated	
UN Family - Country programmes, water and sanitation development policies, projects and initiatives, poverty and emergency programmes, coordination plans, investment, etc				
1	Nil	-	-	
NGOs, Private Sector – Water and sanitation sector partnerships, investment, studies, design, construction, monitoring and evaluation operation and maintenance, etc				
1	ODI, MWH and ECDPM	Evaluation of the European Commission's Country Strategy for South Africa	December 2002	
2	WIN – SA and BPD	Review of Sector Collaboration in the Water Sector, South Africa, Final Draft for Comment	June 2005	
3	I G Harmond and T E Manchidi	Targeted Procurement in South Africa, An Independent Assessment, DBSA, PWD and ILO	April 2002	

6.2 Activity Schedule

26th July	
-	Travel from UK to South Africa

27th July	
Morning	Data collection and programme preparation
Afternoon	**Briefing at the Delegation** • C Reeves, M Nsaba, and I G Harmond Meetings and data collection

28th July	
Morning	**Meeting DWAF, National Level** • K U Pelpola, M Nsaba, and I G Harmond
Afternoon	Meetings and data collection

29th July	
Morning	**Field visit to Limpopo Province** • Meetings with DWAF, Provincial and District Level • C Mashaba, I jethro, M Nsaba, and I G Harmond
Afternoon	**Field visit to Chuene Maja Treatment works and reticulation infrastructure** • Meetings with beneficiaries, Ga -Thaba Village and cost recovery officer • M P Thaba, M N Lekothoane and K Kubjana

30th and 31st July	
Morning	Data assimilation, programming and drafting of CN
Afternoon	Data assimilation, programming and drafting of CN

1st August	
Morning	**Meeting DCI** • M White, M Nsaba, and I G Harmond
Afternoon	Data assimilation, meetings preparation and drafting of CN

2nd August	
Morning	**Meeting DWAF, National Level** • T Sigwaza, M Nsaba, and I G Harmond **Meeting DBSA** • B Jackson, S Appanna, M Nsaba, and I G Harmond
Afternoon	**Meeting Mvula Trust** • M Rall, M Nsaba, and I G Harmond

3rd August	
Morning	**Meeting DWAF, National Level** • S Mbedzi, M Nsaba, and I G Harmond **Meeting DPLG** • L Leseane, M Nsaba, and I G Harmond
Afternoon	Drafting of CN and preparation of follow up notes for National Consultant

4th August	
-	Travel from South Africa to UK

6.3 List of People Met

Item	Name	Organisation	Function
1	M Tsaba	Nametso Consulting Pty Ltd	Consultant
2	C Reeves	EC Delegation	Water and Sanitation Project Officer
3	K U Pelpola	DWAF	Director, Water Services Support
4	C Mashaba	DWAF	District Manager
5	M P Thaba	Ga -Thaba Village	Beneficiary
6	M N Lekothoane	Ga -Thaba Village	Beneficiary
7	K Kubjana	Cost Recovery Officer	Ga – Maja Moshate
8	I Jethro	DWAF	Limpopo, Manager
9	M White	Development Cooperation Ireland	Water and Sanitation Project Officer
10	T Sigwaza	DWAF	Director, Sector Collaboration
11	B Jackson	DBSA	Policy Analyst
12	S Appanna	DBSA	Policy Analyst
13	A Knight	Constitutional Law	Consultant
14	M Rall	Mvula Trust	Executive Director
15	S Mbedzi	DWAF	Executive Manager, Institutional Oversight
16	L Leseane	DPLG	Senior Manager, Fee Basic Services
17	B Pretorios	SALGA (past)	Water and Sanitation Coordinator

6.4 List of water and sanitation projects

Year	Status	CRIS-Code	Title	Decision Amount (€)	Contracted Amount (€)	Paid Amount (€)	Sector Heading
1995	Closed	Not known	Rural Development Services Network	3,163,449		3,146,115	Not known[34]
1996	Closed	Not known	Water Development Programme in the Eastern Cape	18,900,000			Not known[35]
1996	Closed	Not known	NGO Rural Water Supply	5,000,000		4,928,580	Not known[36]
1999	Ongoing	ENV/1999/ 003-542	Environmental and Waste Management Programme	759,462	759,462	202,523	Waste management /disposal
1999	Closed	Not known	Sector Support Programme for Community Water Supply and Sanitation (Northern Province)	37,500,000			Not known[37]
2000	Ongoing	AFS/2000/ 000-703	2000/30 - WATER SERVICES SECTOR SUPPORT PROGRAMME - SA/8030/000	47,080,000	47,080,000	47,080,000	Water supply and sanitation - small systems
2002	Ongoing	AFS/2002/ 004-556	SA/1008/00 SUPPORT PROGRAMME TO THE WATER SECTOR IN SADC	7,289,000	494,804	364,907	Water supply and sanitation - large systems
2003	Ongoing	AFS/2003/ 005-929	Water services sector support programme - phase II	27,920,000	27,920,000	27,920,000	Water supply and sanitation - large systems
2004	Ongoing	AFS/2004/ 016-760	Water Services Sector Support Programme 2004-2007 (Masimbabane II)	50,000,000	50,000,000	26,000,000	Water supply and sanitation - small systems

6.5 List of projects with potential relevance for the water and sanitation sector

Year	Status	CRIS Code	Title	Decision Amount (€)	Contracted Amount (€)	Paid Amount (€)	Sector Heading

[34] Project record was directly from DG Dev, unable to match the project with an entry in CRIS.
[35] Project record was directly from DG Dev, unable to match the project with an entry in CRIS.
[36] Project record was directly from DG Dev, unable to match the project with an entry in CRIS.
[37] Project record was obtained directly from DG Dev, unable to match the project with an entry in CRIS.

Year	Status	CRIS Code	Title	Decision Amount (€)	Contracted Amount (€)	Paid Amount (€)	Sector Heading
1997	Ongoing	AFS/1997/ 000-673	1997/04 community projects fund (CPF) SA/97/73200/04	17,000,000	15,764,035	6,583,484	Rural development
1998	Closed	AFS/1998/ 000-683	1998/05 - CLOSING THE GAP BETWEEN POLICY-MAKING AND IMPLEMENTATION	1,194,344	1,194,344	1,194,344	Economic and development policy/Planning
1998	Ongoing	AFS/1998/ 000-687	1998/11 - INSTITUTIONAL STRENGTHENING OF PUBLIC WORKS (RCBPWP)	2,148,194	2,132,484	2,057,433	Economic and development policy/Planning
1998	Ongoing	ENV/1998/ 005-700	World Congress on Land Use and the Sustainable Development of Natural Resources - B7-6200/98-03/ENV/VIII	309,548	309,548	309,548	Environmental policy and administrative management
1999	Ongoing	AFS/1999/ 000-694	1999/19 Support to the Wild Coast Spatial Development Initiative Pilot Programme	12,800,000	12,700,264	11,417,105	Environmental policy and administrative management
1999	Ongoing	AFS/1999/ 000-695	1999/20 - SUPPORT TO THE URBAN SECTOR NETWORK PHASE II	4,500,000	4,500,000	3,726,995	Urban development and management
2002	Ongoing	AFS/2002/ 004-555	SA/1007/00 - URBAN DVP SUPPORT TO THE ETHIKWINI MUNICIPALITY	35,000,000	10,208,061	10,208,061	Urban development and management

6.6 Regional water and sanitation programmes (ACP)

Year	Status	CRIS Code	Title	Decision Amount (€)	Contracted Amount (€)	Paid Amount (€)	Sector Heading
1995	Closed	FED/7-ACP RPR-479	MISSIONS D'EXPERTISE PROJETPREVISION DE CRUES/SIMUL.HYDROL""	33,000	33,000	33,000	Water resources protection
1995	Closed	FED/6-ACP RPR-540	TAZAMA PIPELINE (70755). (EX 7 TA 13).	13,000,000	13,000,000	13,000,000	Water supply and sanitation - small systems
1995	Closed	FED/7-ACP RPR-507	Oecs waste disposal (+ 8 rca 31)	4,009,037	4,009,037	4,009,037	Waste management /disposal
1996	Ongoing	FED/7-ACP RPR-600	SADC-HYCOS	1,964,000	1,782,836	1,768,520	Water resources policy and administrative management

Year	Status	CRIS Code	Title	Decision Amount (€)	Contracted Amount (€)	Paid Amount (€)	Sector Heading
1996	Closed	FED/7-ACP RPR-584	PACIFIC REGIONAL WASTE AWARENESS & EDUCATION PROGRAMME	614,283	614,283	614,283	Water resources policy and administrative management
1997	Closed	FED/7-ACP RPR-627	APPRAISAL OF SADC LAND & WATER MGMT TRAINING & RESEARCH PROG	195,837	195,837	195,837	Water resources policy and administrative management
1998	Ongoing	FED/7-ACP RPR-688	IGAD-HYCOS	85,000	64,012	64,012	Water resources policy and administrative management
2002	Ongoing	FED/6-ACP RPR-592	PROGRAMME DE FORMATION AU NUMÎRIQUE ET DE RECYCLAGE DES RADI OS ET TELES D'AFRIQUE DE L'OUEST	641,760	641,760	533,095	Waste management /disposal

6.7 Regional programmes with relevance or potential relevance for water and sanitation

Year	Status	CRIS Code	Title	Decision Amount (€)	Contracted Amount (€)	Paid Amount (€)	Sector Heading
1999	Closed	FED/8-ACP RAU-12	SADC LAND & WATER MGMT APPLIED RESEARCH PROGRAMME	0	0	0	Water resources policy and administrative management
2002	Closed	FED/8-ACP RAU-19	A.T. - LAND AND WATER MANAGEMENT PROGRAMME PHASE II	76,285	76,285	76,285	Water resources policy and administrative management
2002	Ongoing	FED/8-ACP RAU-18	SADC LAND AND WATER MANAGEMENT APPLIED RESEARCH PROGRAM	4,850,000	2,509,502	554,041	Water resources policy and administrative management
1997	Closed	ENV/1997/ 003-739	Macroeconomic Reforms and Sustainable Development in Southern Africa	461,016	461,016	461,016	Environmental policy and administrative management
2000	Ongoing	ENV/2000/ 004-756	Conservation and Development Opportunities from the Sustainable Use of Biological Diversity in the Communal Lands of Southern Africa	936,333	936,333	735,780	General environmental protection
2002	Ongoing	ENV/2002/ 004-277	Environmental Capacity Development Programme	882,774	882,774	160,978	Environmental policy and administrative management

EVALUATION OF THE WATER AND SANITATION SECTOR

Field Visit Country Note

RUSSIAN FEDERATION

Authors: Jean-Claude Ceuppens
Dmitry Kryukov
Martin Steinmeyer

July 2005

Evaluation for the European Commission

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ABBREVIATIONS AND ACRONYMS

CAS	Country Assistance Strategy
CBC-SPF	Cross-Border Co-operation Programme Small Projects Facility
CEES	Common European Economic Space
CSP	Country Strategy Paper
DfID	UK Department for International Development
EAP	Environmental Action Programme
EBRD	European Bank for Reconstruction and Development
EC	European Commission
EECCA	Eastern Europe, Caucasus and Central Asia
EU	European Union
GDP	Gross Domestic Product
GWP	Global Water Partnership
IBPP	Institutional Building Partnership Programme
IBRD	International Bank for Reconstruction and Development (WB)
IFI	International Financing Institution
IMF	International Monetary Fund
MDG	Millennium Development Goals
NAP	National Action Programme
NGO	Non Governmental Organisation
NIP	National Indicative programme
NIS	Newly Independent States
OECD	Organisation for Economic Co-operation and Development
PCA	Partnership and Co-operation Agreement
RF	Russian Federation
SIDA	Swedish International Development Agency
SME	Small and Medium Enterprise
TA	Technical Assistance
TACIS	Technical Assistance to the Community of Independent States
TEMPUS	Trans-European co-operation scheme for higher education
USAID	United States Agency for International Development
WHO	World Health Organisation
WFD	Water Framework Directive
WSSD	World Summit on Sustainable Development
WTO	World Trade Organisation
W&S	Water and Sanitation

EXECUTIVE SUMMARY

This note summarises the findings of the visit to the Russian Federation that took place between the 27/06 and the 7/07/2005. The EU is Russia's main trading partner and has an important strategic and economic interest in Russia's development. One of the main concerns for the EU that require continued engagement is the environmental pollution and cross-border water management specifically for North-West Russia and the Baltic Sea area, which form part of a proximity policy. Russia faces a range of global, regional and trans-boundary environmental concerns including wasteful energy use; risks to human health from water and air pollution; depletion of natural resources and management of wastes (including radioactive waste); loss of natural systems and biodiversity and pollution of the Baltic, Barents, Caspian and Black Sea. Much of the negative environmental situation in the Russian Federation (RF) is due to overexploitation, misuse and pollution of natural resources that may be aggravated by the current economic recovery.

There is a large amount of funds, programmes, agreements and assistance from the EU to the RF. Since 1991, the EU TACIS technical assistance has been one of the leading programmes supporting the transition process in Russia. The programme promotes the transition to a market economy and the reinforcement of the democracy and the rule of law in the partner States. The EU approach towards the RF is basically economic development and shield protection strategy against pollution issues which ignore borders. While a summary is hardly feasible, it may possible to identify some key sectoral issues, which are as follows:

- Projects seek to reduce pollution and improve quality of shared water resources such as transboundary rivers flowing into the Black Sea and protection of marine environment of the Black Sea.
- Projects generally deliver benefits in line with EC policies and programmes.
- A lack of base line data and coherent M&E systems makes evaluation difficult.
- The EU promotes a comprehensive approach and contributes to stability and security, as the competition for natural resources, and in particular water, is a potential source of conflict in Central Asia and South Caucasus.
- More emphasis should be placed on supporting investment-related activities, both large and small-scale investments, in cooperation with other donors.
- The EUs contribution assists the RF in developing plans for integrated water resources and water efficiency, including reform of tariffs, better demand-management and improved conditions for investment financing including, as appropriate, harmonisation with EU standards in this area.
- The EU assists in the establishment of environmental audits and the implementation of environmental guidelines for municipal facility operations and practices in order to meet the relevant environmental and health requirements.
- Capacity building comes out as a need of all analyses in the water sector (e.g. for the Municipalities that are in charge of the WS schemes operation and management) and is part of many on-going and planned projects, however an analysis of capacity needs and a structured approach to meet these needs are not available. Information on good practices and lessons learnt in the water sector are not readily accessible to water practicioners.

1. INTRODUCTION

1.1 Evaluation overview, objectives and general approach

The mission had the goal of testing and evaluating the manner on which Water and Sanitation (W&S) policies and plans financed by the EC are being implemented in the context of overall development cooperation at country level. Information were collected in order to evaluate:

- Relevance, impact, effectiveness, efficiency and sustainability;
- Consistency and internal coherence between W&S sectoral support and other European Union (EU) policies; and,
- Coordination and complementarities of European Commission (EC) actions and strategies with policies of member states and donors.

This note summarises the findings of the visit to the Russian Federation (RF). The mission took place between the 27/06 and the 7/07/2005. The mission started with a briefing to the Delegation on the objectives of the Evaluation. The Delegation briefing allowed us to review some sensitive issues and prepare the activity schedule, assistance with the collection of relevant information on the principal stakeholders, programmes and projects was requested, and the activity schedule discussed. A number of key documents and references were identified and made available by the Delegation.

The EU delegation in Russia is the biggest one in terms of personnel, a fact that reflects the relative importance of Russia for the EU, among other things with regard to trade. Despite the big staff, its staff-members were hardly available due to their workload. We could however hold meetings with the main experts dealing with programmes in the WATSAN sector and the mission would like to give special thanks for their time and interest.

A National Consultant[1] was appointed to assist the mission and prepare the groundwork in advance of the Team's arrival. This initial phase included the identification of W&S sector stakeholders, development banks, Government departments and ministries engaged in the W&S sector.

1.2 Reasons for case study country selection

Russia has been chosen by the evaluation unit as one of the field countries: how and on what basis the 7 target countries were selected has been described in the Evaluation Terms of Reference (ToR).

The EU is Russia's main trading partner and has an important strategic and economic interest in Russia's development. One of the main concerns for the EU that require continued engagement is the environmental pollution and cross-border water management specifically for North-West Russia and the Baltic Sea area, which form part of a proximity policy. EU assistance supports the consolidation of a market economy and the strengthening of administrative capacity, particularly in the areas of trade and the internal market. Due to its size and location, Russia is a key actor for the stability and security of the entire European continent and a bridge between the EU and Asia. A close partnership between the EU and Russia is a vital interest for both sides and for global environmental security.

[1] Dvitry Korneev

2. DATA COLLECTION

2.1 Methods used, availability, limits and potential constraints

The method used during the mission consisted of the following steps:

- Delegation briefing to introduce the field work programme;
- Collection of the summaries of relevant national water sector development programmes, policies specific to the W&S sector, and the existing documents related to W&S programmes, especially those financed by EC;
- Meetings with beneficiaries, stakeholders.

A list of the documents consulted is attached in annex A. Lack of time regarding a country as immense as Russia meant that only a snapshot of donors funding W&S programmes and projects was possible. One of the first tasks of the Team was to review the portfolio for Russia, which had been compiled from CRIS Saisie in Brussels and with the Delegation. This exercise showed that much of the data were out of date. Russia benefits from a wide range of programmes (regional, federal, national[2], cross border projects etc.), and some of the classifications are confusing. There is no document giving a complete review of the EC cooperation programmes with Russia, neither an overview of the several strategies developed under the numerous workshops, treaties etc. and the Delegation does not draft annual reports. While water and sanitation related projects make up a sizable element of the country portfolio in the current CSP (2002-2006), there is little mention of W&S, and this mainly under the Municipal Services support and environment components.

2.2 Meetings and briefings

The Delegation was advised by the Unit of the Team's arrival in advance and had been provided with a copy of the ToR. However they were not familiar with the aims of the mission, and due to a range of numerous and wide programmes the several Project/Programme Managers were hardly available. Discussions were centred on the current Country Strategy Paper (CSP) for the period 2002 to 2006, and the new programmes currently being drafted. In Moscow, interviews were held with Delegation personnel responsible for projects that had a pertinent W&S component or influence. Links to national and state government programmes and policies were explored. Using the CSP as a guide, the main W&S stakeholders were identified and a number of representative meetings held with key donors, member states, and banks. Interviewing the main stakeholders and beneficiaries formed an important component of the data collection process, and was accomplished through structured and unstructured meetings. These were aimed at gathering general information on the following topics:

- The water and sanitation situation in the country – constraints and challenges;
- The role of the EC in the sector – policies, programmes and projects;
- Involvement of other donors and member states active in the sector;
- Institutional and organisational relationships and,
- The engagement and role of beneficiaries in W&S service delivery.

The given time to the mission was too short to develop a sound debate with the partners and only an overview and impressions may be collected through this actual

[2] Russian Federation comprise 91 States

approach. The results of the analysis are in concordance with the means allowed to the exercise.

2.3 Site visits

After much deliberation and discussion with the Delegation over which project would provide the most suitable information, and due to the distance, the type of project and limited possible arrangements in such a short time (facilities under police controls, regional activities scattered in large area, necessary security permits and availability of responsible in July) there was no field visit. The field visit was also significantly affected by the lack of performance by the local Russian expert and we received only limited support from his side.

3. BRIEF SECTOR PROFILE

3.1 Context

Russia is the custodian of over 20% of the world's water resources and forests. The conservation of these immense environmental assets is a key concern and Russia has immense environmental problems. Inefficient cost-recovery for water services is a huge burden on public finance and fails to generate the resources that are essential for efficient operation, maintenance and investment in infrastructure. Municipal water supply is unreliable in many cities threatening water pollution, including severe contamination with heavy metals. One-third of all water pipes and 17% of sewage pipes urgently need to be replaced. Waste is exceeding the capacity of sewage pipes by 60%. Diseases and poisoning from heavy metals and other toxic materials are a significant factor in the decline in life expectancy, which for males is now only 58 years. A pressing priority is the condition of the water supply system, which is critical in many parts of Russia.

The condition of land is unsatisfactory and critical in some regions due to soil erosion, decline in humus content, desertification and flooding, salination and nitrification, and pollution by pesticides, heavy metals and radioactivity. Soil contamination as a result of oil leakage is also a major problem, as is risk of spillage from sea-borne transport of oil. Oil companies in Russia spill some 20 million tons of oil each year (5% of total extraction). The entire spillage of crude oil into Alaskan waters by the Exxon Valdez spillage in 1989 would be less than a day's spillage in the Russian countryside.

Russia therefore faces a range of global, regional and trans-boundary environmental concerns including wasteful energy use; risks to human health from water and air pollution; depletion of natural resources and management of wastes (including radioactive waste); loss of natural systems and biodiversity and pollution of the Baltic, Barents, Caspian and Black Seas.

Russia has in the main part of its territory adequate surface and underground water supply potential and water supply deficits occur only in the southern part of the country. Nevertheless in many regions the water quality does not satisfy the requirements of the national standards[3]. According to the UNECE review in 2003[4]

[3] Some levels under European standards

[4] Urban Water Sector Reform In EECCA Countries: Progress Since The Almaty Ministerial Conference. Background Document For Fifth Ministerial Conference Environment For Europe Kiev, Ukraine 21-23 May 2003 www.unece.org/env/documents/2003/inf/inf.14.e.pdf

and World Bank overview[5], water systems in Russia suffer from the following key problems:

- Excessively high consumption of water per capita[6];
- Deteriorating infrastructures which are inadequately maintained;
- Insufficient finance devoted to the W&S sector.

The coverage of water supply systems is relatively high in urban areas but the rate of connection to sewerage is generally low. Water resources withdrawal increases with the growth of industry and in many river basins (Don, Terek, Volga, Ob, Irtysh, Lena, Yenisei, Amur) demands from in-channel water uses (for hydropower, water supply, recreation centres and irrigation) exceed the available water resources that can be extracted of the rivers. Groundwater pollution is said of *"local character"* (?), the most widely spread-polluting substances in surface and groundwaters being oil products, phenols, organic substances, mining activities spills, heavy metals, hazardous waste, ammonia, nitrite nitrogen etc. Practically all NIS countries suffer from the lack of safe and clean water as well as sanitation and increasing levels of emissions to air and waste generation.

Many waterworks need reconstruction and the major obstacle on this way is not only financial resources deficit but also vagueness of the property for these constructions after the soviet period: quite a lot of waterworks (such as the dams) have no specific owner and it is not clear who is responsible for their reconstruction. More than 60% of municipal infrastructure is suffering from serious deterioration and about one quarter of fixed assets are beyond their designed lifetime. Planned maintenance and repair works of the pipelines and equipment has effectively become driven by emergencies[7]. The key issues are therefore to develop efficient municipal services to all sections of the community, including poorest groups, using modern management methods to ensure that tariff policies, cost savings and efficiency of service provision are optimised.

The most worrying picture concerns social indicators and demographic trends. The Russian population is expected to decline from 145 million today to perhaps 135 million by 2015 and 100 million by 2050, unless current trends reverse. By 2015, the dependency ratio will be 4 workers for every 3 non-workers. The health situation of Russia is a matter of deep concern: alcohol abuse, high rates of cardio-vascular diseases and poisoning from heavy metals and other toxic materials, coupled with a degraded medical service, have caused an unprecedented drop in life expectancy for males to 58 years. The health situation is particularly worrying with regard to communicable diseases: tuberculosis, hepatitis and diphtheria have re-appeared in Russia as major problems and the HIV/AIDS epidemic is spreading at an alarming rate.

[5] Water Supply and Sanitation Sector – Europe and central Asia
http://lnweb18.worldbank.org/ECA/ECSIE.nsf/ExtECADocByUnid/B578999E6897398C85256CE800639F4C?Opendocument&Start=1&Count=5

[6] Around 300 litres per day.

[7] Source "Gosstroy" of Russia

3.2 Governance, administrative arrangements, roles and responsibilities

The bases of the RF legislation on water resource management are stated in the Constitution of the Russian Federation of 12th December 1993, RF law *"On environment protection"*, Decrees of the RF President *"On the concept of the RF transition to sustainable development"* and *"Concept of the Russian Federation transition to the national safety"*. The State Duma adopted a Water Code on October 18th, 1995. There is a long list of law regulations, rules and instructions on water resource management[8] (e.g. *"Water of Russia – 21st Century"*, *"On improvement and Development of Water Management Complex Based on Basin Principle"*, *"Doctrine of Sustainable Water Use", "Concept of Improvement and Development of State Management of Water Resources Use and Conservation and of Water Sector Complex"* etc).

The National Action Programme is implemented at three levels: Federal, regional and territorial and is formulated through 89 sub-programs. Each of the following authorities are represented on the national and regional levels:

- The main authority responsible for water management is the Federal Water Agency under the Ministry for Natural Resources (MNR) as federal executive body;
- The Basin Departments under the Federal Water Agencies are in charge of interregional basin water management (IWRM) and responsible for the uses of the surface waters;
- The Federal Service for ecological, technical and nuclear inspections is responsible for the permissions for discharge of wastes and pollutants from industries and municipalities;
- The Federal Hydrometeorology and Environment Monitoring Service is responsible for the monitoring of rivers, lakes and other surface water utilities;
- The Federal Service for Sanitary inspectorate is in charge of the control of the surface and underground water quality (for human purposes);
- The Federal Geological Agency is in charge of the underground water monitoring and the delivery of permits for underground water uses.

To be mentioned also are: the RF Ministry of Health, the RF State Committee on Fisheries, and the Russian Academy of Science.

3.3 National strategies, programmes and plans

The federal law on local government stipulates that the organisation, maintenance, and development of municipal water supply and sanitation are responsibilities of local governments, although the central government retains ownership of a few systems (including Moscow and St. Petersburg). The municipalities set the tariffs, which rose from 2000 due to the economic growth and a chronic problem of unpaid bills remains.

Municipalities are entitled to transform water and sewerage departments of city councils into autonomous commercially oriented business entities, and allow for concessions and leases. Since 2003 there has been a rapid growth in the introduction of private companies to take over the management and operations of water systems[9]. Operators do not usually become the owner of the assets, but take

[8] JRMP/EECCA report 2004 p.33-37
[9] By mid-2004 private Russian operators controlled about 50 large utilities

over under a lease, rent or concession arrangement running for 25-50 years. These contracts are not subject to competitive tendering or review by a federal or regional property committee and municipalities can simply announce their intention to hire an operator: there is no requirement for financial disclosure and investment obligations are rarely clearly spelled out (what is sometimes described as “wild privatisation’s”). There is a risk of bankruptcies and exit by the private operators, especially as many of the companies have little or no experience in running water utilities, leaving the public authorities with debts and failures.

The national objectives are to progress toward an efficient, safe and accessible municipal services complex (i.e. heat, water supply, sewerage, civil transport, waste) by providing policy, legal and regulatory aspects for planning and designing municipal infrastructure development programmes and support modern management methods and approach to enhance the efficiency of municipal services.

Much of the negative environmental situation in the NIS is due to overexploitation, misuse and pollution of natural resources that may be aggravated by the current economic recovery. Measures to decouple environmental degradation from economic growth, more sustainable and efficient use of resources receive increased attention at international and national levels. Specific targets were adopted in relation to clean water and sanitation, loss of bio-diversity and renewable energy resources.

3.4 Programmes and projects

3.4.1. Over view of EU assistance

There is a large amount of funds, programmes, agreements and assistance from the EU to the RF. Since 1991, the EU TACIS technical assistance has been one of the leading programmes supporting the transition process in Russia, concentrating on building the legal, institutional and administrative framework to allow economic development through private initiative and market forces. Pursuant to the European Council in Dublin and in Rome in 1990, the Community introduced the TACIS programme in favour of economic reform and recovery in the former Union of Soviet Socialist Republics[10].

The programme[11] promotes the transition to a market economy and the reinforcement of the democracy and the rule of law in the partner States. The programme (art.2.2) aims to maximise impact through concentration on a limited number of significant initiatives (such as…) *“the promotion of environmental protection and management of natural resources through the development of sustainable environmental policies and practices, the promotion of harmonisation of environmental standards with European Union norms, the improvement of energy technologies in supply and end use, the promotion of sustainable use and management of natural resources, including energy saving, efficient energy usage and improvement of environmental infrastructure”*.

The art.2.3 mentions that particular attention shall be paid to the need to reduce environmental risks and pollution, including transboundary pollution, to the need to promote the sustainable use of natural resources, including energy resources, and to the social aspects of transition. The art.2.4 mentions that the programme shall aim to promote inter-State, interregional and cross-border cooperation, (…) cross-border cooperation shall primarily serve to assist border regions in overcoming their specific

[10] Council Regulation (EC, EURATOM) No 99/2000 of 29 December 1999 concerning the provision of assistance to the partner States in Eastern Europe and Central Asia » (JOCE L/12/1 – 18.1.2000)
[11] January 2000 to December 2006

developmental problems; to encourage the linking of networks on both sides of the border, and to reduce transboundary environmental risks and pollution.

The Russia CSP (2002-2006) takes its basis from the Regulation for the provision of assistance to the partner countries in Eastern Europe and Central Asia[12]. The priorities identified under the NIP are i) legal, administrative reform and regional policy; ii) judicial reform; iii) civil society, training and education; iv) deregulation and corporate governance; v) social reform; vi) municipal services. The EU's co-operation objectives with the Russian Federation are to foster respect of democratic principles and human rights, as well as transition towards market economy. They are based on the Partnership and Co-operation Agreement (PCA)[13], the EU's Common Strategy[14] and subsequently the Northern Dimension approach[15], specifically for north-west Russia and the Baltic Sea area, which form part of a proximity policy, reflecting the political and strategic importance of Russia to the EU.

The EU has taken an active role in the W&S sector, mainly through the EU Water Initiative (EUWI) and the related EU Water Facility fund allocated to water. The EU is the largest provider of development assistance for water-related initiatives on a global scale, investing around 1.4 billion Euro a year (between 2002-2004) in water-related development aid and scientific co-operation. In addition to interventions carried out in the context of country and regional programmes, water-related activities are also carried out in the framework of NGO co-financing, micro-projects and humanitarian aid. In complement to the main Tacis projects, a "BISTRO" programme provides support to small-scale activities (less than 0,2 ME), related to three areas of the CSP and implemented with regional counterparts as a priority.

The EU and Russia are also key partners in international agreements and fora, including the Convention on Biological Diversity; the UNECE European regional conventions; the Multi-lateral Nuclear Environment Programme for Russia (MNEPR); the Helsinki Convention (Baltic Sea); the Bucharest Convention (Black Sea); the OSPAR Convention (Atlantic), and Regional Fisheries Organisations in the Baltic and North-East Atlantic; the harmonisation of environmental standards and legislation; the safety of nuclear installations and radioactive waste management and cooperation on environmental monitoring and reporting, etc. The Baltic Sea Region (BSR) INTERREG III Neighbourhood Programme is partly financed from the European Regional Development Fund (ERDF) covering the period 2000-2006 and supports transnational co-operation to enhance balanced and sustainable environmental development.

There is also a Tacis Regional Programme under which a large number of projects with crosscutting environmental benefits are supported (e.g. co-financing of investments in municipal services, particularly waste water treatment in St Petersburg). The EU is also a co-founder and the main funder of the Russian Regional Environment Centre (RREC) established in 2001. The mission of the Centre is to promote co-operation between government bodies, local authorities, NGOs, the business community and others involved in environmental protection and to promote public participation in environmental decision-making. Two large Tacis

[12] Council Regulation EC-Euratom No 99/2000 of 29 December 1999

[13] Agreement on Partnership and cooperation between the EC and their Member States, and the Russian Federation (1996), with the objective to provide an appropriate framework for the political dialogue, to promote trade and investment and harmonious economic relations between the Parties, based on the principles of market economy.

[14] OJEC L157/1 Common Strategy of the European Union of 4 June 1999 on Russia – 1999/414/CFSP

[15] The Northern Dimension Environmental Partnership (NDEP) was developed during the course of 2001 between the Russian Federation, the EU and the IFIs (EBRD, EIB, NIB) for a concerted effort to address environmental problems in Northwest Russia. Of particular concern was the legacy of environmental damage in the region concerning water, drainage, energy efficiency and nuclear waste.

environmental projects will be launched in 2005: Institutional Support to Kyoto Protocol Implementation (budget 2 ME) and Improvement of Drinking Water Quality in North West Russia targeting Arhangelsk, budget 3 ME).

The EU is working with other International Financial Institutions (IFI) and donors to promote environmental investments in Russia. For example the EU has allocated 50 ME for the Nordic Dimension Environmental Fund (of which 10 ME for the environment).

3.4.2. Overview of EU assistance in water management

- **Aral Sea:** Tacis supports the Aral Sea Basin Programme together with UNDP/UNEP/WB (GEF project) through the Water Resources Management and Agricultural Production in Central Asian Republics (WARMAP) projects. End of 2003, an amount of 9.95 ME has been committed. Main objectives were the preparation of interstate agreements on water management, creation of regional information systems (WARMIS), analysis of water use and farm management (WUFMAS) and assistance to the GEF project.
- **Caspian Sea**: Tacis supports the Caspian Environmental Programme (CEP) together with UNDP/UNEP/WB (GEF project). Two projects of a total amount of 10.5 ME have been completed. The assistance included support to four Regional Thematic Centres located in the NIS, the identification of investment projects and support to the development of a draft sustainable fisheries management agreement. The main objective is the promotion of sustainable development and management of natural resources in the Caspian, the management of fish resources, pollution reduction and prevention and monitoring of environmental factors, including oil contamination, water level and the quality of the sea.
- **Black Sea:** Tacis has been one of the main donors of the Black Sea Environment Programme (BSEP) together with UNDP/UNEP/WB (GEF Project). Several projects have been completed representing an amount of around 18,7 ME. A technical assistance project supports the three Regional Activity Centres in the NIS establishing regional credibility and financial sustainability, maintain and develop the impetus of the technical work programme and developing regional strategy documents, including monitoring, priority setting for pollution reduction, biodiversity recovery, improvement of the management of the coastal zone, information and data exchange.
- **Transboundary Rivers Management:** A Joint River Management 4 ME project, supported through the Regional Cooperation Action Programme aimed at preventing, controlling and reducing adverse transboundary pollution impacts caused by the quality of four rivers: Kura (Georgia/Azerbaijan), Pripyat (Belarus/Ukraine), Tobol (Russia/Kazakhstan) and Seversky Donez (RussialUkraine). It links with the UNECE Convention on the use and protection of transboundary watercourses and lakes and assist in the application of guidelines on water-quality monitoring as well as promoting investment into transboundary river monitoring.
- **Water management and supply:** The general objective is to reduce pollution and health risks and provide water resources to the population while promoting a more efficient use of these resources. The specific objective is to strengthen the institutional capacity and regulatory compliance of water services operators (water supply, distribution and wastewater collection) as well as improving their financial, environmental and health performance.

- **Support to investment:** The Joint Environment Programme (JEP) has been developed under the Regional Cooperation Programme to leverage environmental investment through support to pre-feasibility and feasibility studies related to investment projects in the pipeline of the IFIs. The JEP started with the World Bank and has been extended to all other interested IFIs. Phase I (5 ME) has been completed in 2003 and is followed by a phase II (6 ME). Although not directly addressing water management issues, it includes support to studies related to investment projects on these issues. For instance, JEP supports a fisheries study related to the World Bank Syr Darya and Northem Aral Sea project in Kazakhstan as well as studies for WB planned investment projects related to the irrigation and drainage in the Amu Darya Basin (Uzbekistan) and in Georgia.
- **Policy development and implementation:** Tacis supports activities in the NIS concerning the development of National Environmental Action Programmes (NEAPs) raising public environmental awareness, information and education. A NEAP II project started in 2002 to assist the NIS implementing strategies, policies and actions related to environment and sustainable development, building on the commitments to be agreed at the Johannesburg World Summit and the Kiev Environmental Conference (2003). Being one of the main environmental challenges faced by the NIS, water management issues are included in this policy and awareness work.
- **Regional Environmental Centres:** Tacis has been the main donor supporting the establishment and the activities of the NIS Regional Environmental Centres (REC), including the Caucasus REC and the Central Asia REC (CAREC). The activities of these centres include water management issues.

3.4.3. EU humanitarian assistance in the Russian Federation

Since autumn 1999, ECHO assistance has focused on the humanitarian needs of the most vulnerable people in Chechnya and in the neighbouring republics of Ingushetia and Dagestan, where the population face a problematic access to water and sanitation facilities as well as to health, education and other social services. In 2005[16] ECHO will continue to respond to the humanitarian needs of the civilian population caused by the conflict in Chechnya (around 750,000 people) and include assistance to displaced people in Ingushetia and Dagestan (around 50,000 people) with food and non-food items distribution, medical care, shelter, water and sanitation, education and mine awareness activities, psychosocial projects, protection and security coordination.

Water and sanitation needs are barely covered in Chechnya, especially in Grozny where running water reaches a small part of the population only. Needs for garbage and sewage collection are also high – less than 15% of Grozny residents only are covered by an organised system of garbage collection. ECHO strategy is to continue to provide funding to projects implemented by ECHO partners like the Polish Humanitarian Organisation (PHO), the United Nations Children's Fund (UNICEF), International Rescue Committee (IRC) aimed at improvement of hygienic life conditions of people through water delivery, sewage disposal, and constructions of sanitary facilities.

[16] In 2004 almost 60% of ECHO-funded operations in RF were in Chechnya.

3.4.4. Others Member States interventions

While the final aim of supporting the process of economic reform prevails in the bilateral programmes, Member States' assistance often has a more focused regional approach. Finland, Sweden and Denmark, for instance, focus on Kaliningrad and North-West Russia, and on environmental protection (including nuclear safety and energy efficiency), transport and telecommunications. Most Member States support the Russian managers training programme. The British, German, French and Dutch Governments have the most comprehensive assistance programmes, while the majority of Member States consider the social sector as a key priority.

Among the EU members Denmark in April 2002 took up the challenge to lead the way forward for the development of the regional component for Eastern Europe, the Caucasus and Central Asia (EECCA). The EECCA component focus on key problems within two thematic pillars: i) water supply and sanitation including financing of water infrastructure and ii) IWRM, including transboundary river basin management and regional seas issues.

3.4.5. Others funding agencies main interventions

Several IFI's (International Funding Institutions) provide technical assistance or finance investments in the field of environment and natural resources management. Water is certainly the most important focal area. Assistance to water issues focus on regional seas (Black, Caspian and Aral Seas) and water supply and sanitation. As regards the regional seas, the Global Environmental Facility (GEF) is the most important donor (together with Tacis) with investment and technical assistance projects to the three seas implemented mainly by UNDP and the WB (funds available for the three seas represent more than $100 million). Other donors supporting the regional seas are the Asian Development Bank (Aral Sea), USAID (Black and Aral Seas), Canada (Black Sea), Japan (Caspian Sea), Norway (Caspian Sea), UK (Caspian Sea) and the private sector (Caspian Sea).

The most active bodies are the OECD and the World Bank. Most of the efforts of the international agencies are concentrated on promoting the introduction of the private sector. The priority is given to growth in the private sector, and support to public sector reform and social issues.

The European Bank for Reconstruction and Development (EBRD) promotes also water privatization, waste management in various ways and provided loans to finance a number of municipal water operators. At the end of 2002, the EBRD's net cumulative commitments to Russia totalized 4.8 billion Euro, representing 22% of the Bank's portfolio and making Russia the single biggest destination for EBRD investments. In 2005, the EIB enhances investments in the Kaliningrad wastewater sector that aim to reduce pollution of drinking water sources and transborders rivers, in line with the Baltic Sea environmental objectives. EBRD lended also 40 ME to the RF for the completion of the St Petersburg Flood Protection Barrier, co-financed with the Nordic Investment Bank (NIB).

The OECD runs official task forces for water in the region: the Task Force for the Implementation of the Environmental Action Programme (EAP) and a Group of Senior Officials on Urban Water Sector Reform in the NIS, has been set up in 2000 following the Almaty conference[17]. OECD publications mostly advance the orthodoxy of water privatisation, for example through a general briefing on PPPs in water, and in a booklet and briefing on financing strategies

[17] Last meeting in Paris in February 2004

USA assistance is concentrated on tax reform, business promotion, environment, civil society development and social issues, judicial training, support to human rights, ethnic and religious minorities. USAID has also provided significant support to the health sector and to management training. Both the WB and USAID finance studies and other technical assistance regarding the management of water resources, including development of legislation and collection of data.

4. PRELIMINARY FINDINGS

4.1 EQ1: Support to safe drinking water and basic sanitation?

EQ1: To what extent has EC support facilitated improved and sustainable access to safe drinking water and basic sanitation?

The coverage of improved WS&S in RF is high in the urban areas, while coverage in rural areas is much lower[18]. It is estimated, however, that a fairly high proportion of the population in urban areas has a low quality of water and sanitation services and irregular supply. Meeting the MDG for W&S would require service extension to 6.5 million people for water and 1.5 million for sanitation until 2015, with the majority of service extension in the rural areas. There are very few data on people reached by the projects activities: lack of quantifiable evidence does not allow a judgement on this question.

The EU projects and programmes followed basic priorities such as to ensure a supply of sufficient, good quality drinking water, adequate sanitation and hygiene facilities but many programmes dealt essentially with studies and technical assistance, mainly for the development of feasibility studies and the identification and preparation of large water investment projects (including possible co-financing of investments, where appropriate) as well as supporting small scale investments and pilot projects. In terms of water supply and sanitation facilities improvement, there were few construction projects, but often contributions to the transfer of knowledge and exchange of experience regarding investment financing in the water sector. In terms of supply, while additional external resources are needed, a lot can be done internally by improving technology, reducing waste of water and enhancing regional cooperation

As seen in the previous chapters, drinking water quality is still a concern, with significant contamination of micro-organisms and hazardous chemicals and the W&S services dependent on the Municipalities. The living standard of the population depend on the delivery of their appropriate services: one of the priorities identified in the CSP is the support to the municipalities, through the transfer of knowhow (including utility management, tariff policy, etc.), and investments required to modernise the facilities remaining on national and/or local funds. Main objectives were to improve the delivery of municipal services and therefore the living standard of the population and to reduce the discharge of untreated effluents by improving the management and delivery of basic social services in selected municipalities, primarily in Northwest Russia.

The EU has contributed to the drafting of long-term water and sanitation development programmes, one being the large St. Petersburg SW wastewater treatment plant (SWWWTP) and while moving water quality closer to EU standards, the EU actions bring significant public health and social advantages (reduction of the incidence of water-borne diseases and housing development).

The need for an increase in the policy profile of water and in the commitment in RF to action has been advocated. The advocacy has been supported by analyses of the status on water and sanitation coverage and the needs for renovation, the financial gaps to meet the MDG's, the preparedness to meet the WSSD target on IWRM plans to be in progress by 2005 and the status on transboundary river management. These analyses have been presented and possible solutions discussed and agreed in the form of political statements.

[18] Water supply coverage (improved WS through centralised systems: urban 86% - rural 39%). Sanitation coverage (improved Sanitation through centralised systems: urban 84% - rural 30%) - EECCA financial needs report – source: Ministry of Environment - February 2004

4.2 EQ 2: Support to a reduction of poverty

EQ 2: How far has EC support for access to water and sanitation contributed to a reduction of poverty?

The RF does not address poverty in the same way as other EU partner countries: there is no PRSP (Poverty Reduction Strategy Paper) since the RF is not a "developing country". As seen in chapter 3, the EU strategy towards the RF mainly focuses on the strengthening of democracy, the development of the private sector and trade, and the protection against the major environmental problems that have developed during the Soviet era and that cannot be contained by national borders. The programmes are concentrated almost only on the NE-SW border area between Europe and Russia.

The issues of poverty, public health and social protection have to be tackled in a country where inequalities between groups of population and regions have been growing. Even with steady economic development, Russia needs to address serious social problems, which could threaten the stability of the reform process. Many people are affected by poverty and this has been aggravated in some regions by serious energy crises: Russia needs to ensure that there are adequate social safety nets and that the costs of utilities remain fair and affordable.

Privatisation in the 1990s transferred considerable amounts of shares and property of former state enterprises (including real estate) to private hands. It has, however, often not been followed by serious in-depth restructuring of firms. The development of medium and small service companies has been slow. The country is heavily dependent on the exports of a small range of raw materials, primarily oil and gas, which are subject to fluctuating world market prices. Foreign directs investment remains low.

4.3 EQ3: Support to better health

EQ3: How far has EC support for improved water supply and sanitation contributed to better health?

Project reports generated by the programmes available at the Delegation[19] contain little quantifiable data on which to judge health improvement. The living standard of the population depends, among others, on the delivery of appropriate services by the municipal authorities. They cover areas such as water, heating, housing and also waste and wastewater treatment. The latter has a particular impact on large areas and groups of population. In addition to the transfer of know how to municipalities (including utility management, tariff policy, etc.), investments are required to modernise the facilities but for achieving the targets, political commitment (regional and local) is necessary.

The objectives of the EU programmes were to reduce pollution and health risks and provide water resources to the population while promoting a more efficient use of these resources. The action targeted the policy, institutional and management problems of water supply, distribution and wastewater collection on a multi-country basis, along with the strengthening of the financial and environmental capacity of vital municipal utilities.

Numerous investments in water treatment facilities are funded in northern Poland and the Baltic States under Phare and other EU instruments, leading to significant and rapid improvements of the ecological situation. St. Petersburg, by far the largest city on the Baltic Sea rim with 5 million inhabitants, and Kaliningrad have so far benefited from very limited EU/Tacis support, although they are the two major polluters of the Baltic Sea, because of insufficient capacities of existing treatment plants, reduction of the incidence of water-borne diseases and housing development.

[19] And the ROM report generated by Brussels

4.4 EQ 4: Support in accordance with the principles of IWRM

EQ 4: How far has EC support contributed to the adoption of national policies and legal instruments that are in accordance with the principles of Integrated Water Resources Management?

Regional programmes relevant for Russia have focused mainly on issues best addressed at a multi-country level, such as cross-border economic cooperation and environment (particularly water and waste management). The projects aimed to develop sustainable and equitable transboundary water resource management taking into account all relevant interests, integrating the competing needs of the various users.The i) Aral Sea support to Regional Water Management to achieve balanced and effective use of the water resources of the Aral Sea Basin, ii) the technical assistance to the Black Sea Environment Programme to reverse environmental deterioration for a return to economic growth, iii) the Sortavala Sewage Treatment Works Rehabilitation to eliminate the current pollution and the risk of future severe pollution from Lake Ladoga are examples of IWRM assistance.

Despite the fact that boundaries between EECCA states were internal boundaries before 1991, the cooperations however, deal largely with water sharing, joint management of water facilities and lack main IWRM features such as cross-sectoral integration under the aegis of transboundary water commissions. Transboundary cooperations raise remain mainly focused on the introduction of market mechanisms and trading of water, less in the resolution of global water resources issues.

The main challenge for IWRM in RF is the practice and development of water resource management, particularly when dealing with such typical IWRM features like i) sharing benefits from water use rather than sharing water; ii) stakeholders participation and their involvement, iii) cross-sectoral integration, iv) demand driven management. Existing basin organisations in practice have no mandate for IWRM and deal essentially with water distribution only.

4.5 EQ5: Support to the adoption and implementation of IWRM

EQ5: To what extent has EC support facilitated and contributed to the adoption and implementation of Integrated Water Resources Management into the planning and implementation of water and sanitation service delivery?

The progress in national IWRM seems slower than in transboundary water management. Basin organisations are in place in RF, however their mandate is largely limited to distribution of water rights and not the broad mandate like the one foreseen in the EU Water Framework Directive. Major revisions of the legal and institutional frameworks have taken place both in relation to water resources management and urban water management in RF since 1991, however there are some gaps and even contradictions between new laws, decrees and regulations.

The boundaries between the RF and the EC follow the dividing line between the extended Danube and Vistula basins on the one hand and the extended Dnepr and Dnestr basins on the other. The main exceptions relate to the Baltic States and the Kaliningrad oblast, and to the Bug, Prut and Tisza rivers. The river basins that cover both TACIS partner countries (upstream) and Central and Eastern European countries (downstream) need to be managed in an integrated, cross-border way. Projects for integrated management systems, bringing PHARE and TACIS funding together, need to be implemented, either starting from scratch, or building on previous projects in the same field, funded through Tacis or otherwise.

There is generally a positive attitude towards establishing good co-operation on trans-boundary water issues in RF, where many water allocation and pollution problems that were national during the Soviet Union era now require a new and negotiated legal and regulatory framework for water resources management. The recent enlargement of EU provides new opportunities, as the EU Framework Directive foresees that Member States should co-operate with their non-EU neighbours on shared transboundary basins with a view to developing transboundary basin management plans.

4.6 EQ 6: Addressing existing gender inequalities

EQ 6: How far has the EC addressed existing gender inequalities as a key goal in its water and sanitation service delivery programmes, and how successful have these efforts been?

In the RF, gender inequalities are not been acknowledged as such, and for a long period, a "Tovarich[20]" has been either a male or a female: they share the same loads, duties and rights.

We could not identify in the projects descriptions specific activities dealing with gender issues. However, in the kind of projects financed by the EU in the RF there seem to be little or no examples where gender issues as such could clearly be addressed.

4.7 EQ7: Programmes efficiency

EQ7: To what extent have EC water and sanitation delivery programmes been implemented in an efficient way?

How efficient EC funded W&S projects have been implemented is hard to access: in such an amount of programmes and money spent in an 8,500 km wide country, it would be unwise in such a short time to give a judgement on programme efficiency. This question is to be addressed through the evaluation of one or some specific programmes.

The EC strategy takes due account of the Russian long-term social and economic policy. As a matter of fact, external assistance will only be successful if it is complemented by the country's own efforts to undertake adequate policy reforms, and if it is well co-ordinated and integrated into these domestic policies. A high level of assistance needs to focus on areas with strong government commitments to reform and relative social consensus.

The EU's policy and cooperation objectives concerning the countries in Eastern Europe and Central Asia are built on the establishment of a relationship in which respect for democratic principles and human rights and the transition towards market economy are fostered, less in term of results oriented approach: projects are in line with Government policy and EU strategy and trend to meet the current environmental issues.

The Tacis Programme aims to maximise impact through concentration on a limited number of significant activities. It also says that particular attention should be paid to reducing environmental risks and pollution, promoting the sustainable use of natural resources, including energy resources, and the socials aspects of transition. It stresses that interstate and regional cooperation shall primarily serve to assist the partner states identify and pursue actions which are best undertaken on a multi-country, rather than national level, such as the promotion of environmental cooperation, networks and actions in the area of justice and home affairs.

[20] Comrade

4.8 EQ8: Internal consistency and coherence

EQ8: To which extent has EC support to the water sector and other EU development policies affecting the sector, been internally consistent and coherent?

The current objectives for support in the Water and Sanitation sector to the Russian Federation are being defined in the context of the EU Water Initiative, which was launched in 2002 during the WSSD. The NIS component of the EUWI, the "Strategic Partnership on Water for Sustainable development" defines two main thematic pillars:

- Urban water supply and sanitation, including financing of water infrastructure
- Integrated water resources management, including transboundary river basin management issues

Both pillars are broadly in keepingwith the areas cooperation stressed by the TACIS regulation No. 99/2000.

The most recent NIP (covering the period 2004 – 2006) specifically refers to the EU Water Initiative. The water-related focus in the NIP on the progress towards provison of efficient, safe and accessible municipal services with regard to water supply, sewerage and waste disposal is in keeping with the first objective defined in the Strategic Partnership on Water. The NIP is also consistent with the activity areas defined in the Strategic Water Partnership, including, most importantly, the improvement of water supply and sanitation infrastructure through investment and technical assistance, the improvement of the institutional and regulatory framework and a focus on ensure financial viability of utilities.

Support to municipal services is also an element in previous programming documents. The previous NIP lists support to the improvement to municipal services as one of the focal areas of support during the 2002 – 2003 period, with regard to large and small scale infrastructure and the reform of tariff policy. Earlier national programmes, like the second part of the 2003 National Action Programme and the 2002 NAP mention support for the improvement to municipal services, in particular water, waste and wastewater treatment.

The CSP 2002 – 2006 mentions that the second pillar of the Strategic Partnership will be primarily considered under cross-border and regional cooperation programmes. Consequently, both concepts are not dealt with extensively in the most recent NIP, but are picked up in the 2003 Regional Action Programme (Trans-Boundary River Basin Management, Phase II) and the Regional Indicative Programme, covering the years from 2004 – 2006.

Project selection has been made after appraisal of individual project ideas with the National Coordinating Unit, particular attention being given to the projects' anticipated systemic impact, to its coherence with the Russian government's reform and to co-ordination with Member States' and other donors' programmes. Due regard has also been paid to the needs and absorptive capacity of each sector, to the choice of counterparts, in particular to their commitment to the reform process and their implementation capacity, to the appraisal of risks and assumptions, as well as to the EU expertise available and to the comparative advantages of Tacis.

4.9 EQ9: Coherence and complementarity of support with actions of member states and other major actors

EQ9: To what extent has EC support to the water sector at country level (as defined in the CSPs, NIPs, etc) been coherent and complementary with policies, strategies and actions of member states and other major actors?

The CSP 2002 – 2006 mentions the issue of coherence only in connection with the Common Strategy of the EU towards the Russian Federation that had been adopted by the European Commission and the EU Member States in 1999. Issues of coherence and complementarity are not specifically discussed in the most recent NIP, covering 2004 – 2006. The NIP does briefly present the overall orientation of the cooperation of EU members states with the Russian government, however, only the sections for Denmark and France specifically mention their involvement in the water sector, in the case of Denmark in a little more detail, but for France again on a very general level.

Environment, i.e. the addressing of common challenges, is in fact mentioned in the Common Strategy (CS) as one of the prinicipal objectives of the agreement and is discussed in the agreement as a common concern, an element of the integration of Russia into a wider area of economic cooperation in Europe. However, Water is only mentioned twice in this agreement, in very general terms, as the common property of the people of Russia and the European Union, and thus the common concern. The agreement does not mention a specific division of labor or responsibilities between the European Commission and EU members states, which limits the actual value of the Common Strategy as a means for ensuring coherence and or complementarity.

Other platforms seem to have more potential for ensuring coherence and complementarity of the actions of EC and member states in the Water and Sanitaiton sector. In particular the Strategic Partnership on Water for Sustainable development, the EECCA component of the EU Water Initiative, and its association with the “Environment for Europe” process offers the opportunity for coordination and the achievement of coherence and complementarity among EU member states and the European Commission. Since the launch of the partnership, Denmark has been the lead country for the EECCA component. The EC has taken over the lead role in October 2004 for one year. An important milestone for the development of the Partnership was the High Level Meeting (HLM) in Moscow in March 2003 hosted by the Ministry of Natural Resources of the Russian Federation and the RREC acting as its Secretariat. Unfortunately, it was not possible to ascertain to what extent this platform has actually given impulses for coordination among the stakeholders.

As far as the work on country level is concerned, regular exchanges of views with, and information from, the Commission, particularly on the spot in Moscow, have led to a fair level of co-ordination on the spot among projects and programmes and prevented overlapping activities[21]. On its turn, the National Co-ordinating Unit (Department for International, Financial and Economic Institutions Co-operation of the Ministry of Economic Development and Trade of the Russian Federation) for its part carries out regular meetings and exchanges views with other donors and IFIs.

[21] Comments from interview with EU member states representatives

5. CONCLUSIONS

5.1 Main country specific issues

The EU approach towards the RF is basically economic development and shield protection strategy against pollution issues which ignore borders. While a summary is hardly feasible, it may possible to identify some key sectoral issues, which are as follows:

- Projects seek to reduce pollution and improve quality of shared water resources such as transboundary rivers flowing into the Black sea and protection of marine environment of the Black Sea.
- Projects generally deliver benefits in line with EC policies and programmes.
- Lack of base line data and coherent M&E systems makes evaluation difficult.
- The EU promotes a comprehensive approach and contributes to stability and security, as the competition for natural resources, and in particular water, is a potential source of conflict in Central Asia and South Caucasus.
- More emphasis should be placed on supporting investment-related activities, both large and small-scale investments, in cooperation with other donors.
- The EUs contribution assists the RF in developing plans for integrated water resources and water efficiency, including reform of tariffs, better demand-management and improved conditions for investment financing including, as appropriate, harmonisation with EU standards in this area.
- The social consequences of the reforms in the water management and supply systems, in particular as regards the access of low-income population groups to clean water are to be addressed.
- The EU assists in the establishment of environmental audits and the implementation of environmental guidelines for municipal facility operations and practices in order to meet the relevant environmental and health requirements.
- Partnership programmes between EU and Russian institutions, from both the public and non-governmental sectors, have been increasingly promoted within the framework of the revised Small Project Programmes (BISTRO).
- Capacity building comes out as a need of all analyses in the water sector (municipalities) and is part of many on-going and planned projects, however an analysis of capacity needs and a structured approach to meet these needs are not available. Information on good practices and lessons learnt in the water sector are not readily accessible to water practitioners. The web pages linked with the broader EUWI's web-site could have an important role in providing information by e.g. linking with relevant organisations and information's sources, making information available on good practices

5.2 Main thematic issues to be fed into the synthesis

- Projects generally deliver benefits in line with EC policies and programmes.
- Lack of base line data and coherent M&E systems makes evaluation difficult.
- Through the IWRM approach, the EU promotes a more comprehensive approach and contributes to stability and security, as the competition for natural resources, in particular water, is a potential source of conflict.
- More emphasis should be placed on supporting both large and small-scale investments into infrastructure that responds to the most urgent needs in the country,

in cooperation with other donors. TACIS primary function of providing technical assistance to the sector should be reviewed.

- Capacity building comes out as a need of all analyses in the water sector and a structured approach is needed. Information on good practices and lessons learnt in the water sector are not readily accessible to water practitioners.

6. ANNEXES

6.1 List of Documents Consulted

Ref	Generated	Title and Subject	Date/Ref	Comments
EC Family – Country Strategy Paper updates, water and sanitation programmes and projects, evaluations, project preparation, mid term reviews, investment, etc				
1	EECCA Component – Technical secretariat	Strategic partnership on Water for Sustainable Development – EECCA Component of the EU Water Initiative – Status report	Final – August 2004	
2	European Commission	Communication from the Commission to the Council and the European Parliament: "Water Management in Developing Countries - Policy and Priorities for EU Development Cooperation (Brussels, 12.03.2002; COM(2002) 132 final)	Final – March 2003	
3	European Commission	Launch of the European Union - States of Eastern Europe, Caucasus, and Central Asia Strategic Partnership on Water for Sustainable Development - Johannesberg Declaration, 3 September 2002.		
	European Commission	Country Strategy Paper 2002 – 2006 & National Indicative Programme 2002 – 2003, Russian Federation	Final – December 2001	
	European Commission	National Indicative Programme 2004 – 2006, Russian Federation	Final -	
4	European Commission	Tacis 2001, Action Programme - Russian Federation	Final – 15/10/2001	
5	European Commission	Tacis 2002, Action Programme – Russian Federation	Final - 2002	
6	European Commission	Tacis 2003, National Action Programme – Russian Federation (Parts I & II)	Final versions	
7	European Commission	Tacis Regional Action Programme 2003	Final version	
8	European Commission	Tacis Regional Cooperation: Strategy Paper and Indicative Programme 2004-2006	Final – 11/4/2003	
9	European Commission	Common Strategy of the European Union on Russia of 4th of June 1999, (1999/414/CFSP)	Final – 4/6/1999	
10	European Commission	Co-operatin in the Baltic Sea Region – Action Programme, TACIS	Final - 2003	
11	European Commission	Cross-Border Cooperation – Action Programme, TACIS	Final - 2003	
12	European Commission	List of Potential Norther Dimension Environmental Partnership (NDEP) Priority Environmental Projects	2003	
	European Commisson	2003 Annual Progress Report On the implementation of the Northern Dimension Action Plan	Final – 23.12.2003	
	European Commission	2002 Annual Progress Report on the Implementation of the Northern Dimension Action Plan	Final – 26.11.2002	

Ref	Generated	Title and Subject	Date/Ref	Comments
13	European Commission	Communication from the Commission – A northern dimension for the policies of the Union (COM/98/0589 Final)	Final – 1998	
	European Commission	Monitoring Report, Russian Federation: Kola Environmental Management	Final – 30.08.2004	
	European Commission	Monitoring Report, Russian Federation: Water Management of Lake Chudskoe Catchment, MR-40375.04 – 04/02/05.	Final – 4.2.2005	
2	European Commission	TACIS- Project n° ERUS 9901 – Regulation of Energy Resource Development and Environmental protection in the Timen-Pechora Region	Final Report – December 2003	
	European Commission (Mott Mac Donald)	Joint River management Programme – Overview interim report –	January 2003	
Country Specific - Water laws, acts and statutes, development programmes, poverty reduction strategies, privatisation and decentralisation plans and initiatives, investment etc				
1	Ministry of Environment, DANCEE	Financial needs for achieving the MDG's for water and sanitation in the EECCA region – Summary report	February 2004	
Development banks, member states and key donors – Country programmes, water and sanitation development policies, projects and initiatives, coordination plans, investment, etc				
1	Sida (Sweden)	Overview over key activities in the Water and Saniation sector; Website at http://www.sida.se/Sida/jsp/polopoly.jsp?d=622&a=6785		
2	European Band for Reconstruction and Development (EBRD)	Strategy for the Russian Federation	As approved on 16.11.2004	
3	European Band for Reconstruction and Development (EBRD)	Summary of Signed Projects (EBRD Investments in Russian Federation, 1991 – 2004)	2004	
4				
UN Family - Country programmes, water and sanitation development policies, projects and initiatives, poverty and emergency programmes, coordination plans, investment, etc				
1				
NGOs, Private Sector – Water and sanitation sector partnerships, investment, studies, design, construction, monitoring and evaluation operation and maintenance, etc				
1	Russian Regional Environmental Center (RREC)	Serving the Environment – Annual Report 2004	2004	
2	Russian Regional	On the Move - Annual Report 2003	2003	

Ref	Generated	Title and Subject	Date/Ref	Comments
3	Environmental Center (RREC) Russian Regional Environmental Center (RREC)	Annual Report 2002	2002	

6.2 Activity Schedule

27/06/2005: - Brussels – Moscow
28/06: - Briefing EU delegation
- Review of documentation
29/06 – 6/07: - Stakeholders interviews (EBRD, Finnish Embassy, German Embassy, COWI Consulting, National Environmental Centre, Vernadsky NGO, EBRD)
7/07/2005: - Moscow - Brussels

6.3 List of People Met

• Vladimir Korneev	EU Delegation – Institutional reforms cooperation programmes
• Pedro Henriques	EU Delegation – Head of thematic section – Cross-border cooperation & Neighbourhood Programmes
• Mario Ronconi	EU Delegation - Cross-border cooperation & Neighbourhood Programmes
• Michael Hackethal	EU Delegation - Russia Cooperation programmes - Counselor
• Aleksey F. Poryadin	Deputy Minister on Environmental Protection and Natural resources, Chairman of State Committee of Environmental Protection
• Petri Salo	Head of section Economy and Trade – Embassy of Finland
• Sergey L. Stepanischev	COWI Moscow representative Office Director
• Dvitry Kryoukov	National Environmental Research Centre
• Kirill A. Stepanov	Vernadsky Ecological Foundation (NGO) Director
• Selena Polikhoun	Vernadsky Ecological Foundation (NGO)
• Ekaterina Miroshnik	Associate Banker - European Bank for Reconstruction and Development (EBRD)

6.4 List of Specific Programmes and Projects

Note: Projects might be listed twice

Table 1: List of water and sanitation projects – Russia (1995 – 2004)

Year	Status	CRIS Code	Title	Decision Amount (€)	Contracted Amount (€)	Paid Amount (€)	Sector Heading
2001	Not known	Not known	Kaliningrad Waste Water Treatment – Sortvala (phase 1)	4,200,000			Waste Management / Disposal
2002	Not known	Not known	Kaliningrad Waste Water Treatment- Sortvala (phase 2)	1,000,000			Waste Management / Disposal
2002	Not known	Not known	Sludge Incineration Plant, St. Petersburg	24,000,000			Waste Management / Disposal
2003	Ongoing [22]	TACIS/2003/ 005-967/3	Municipal Services	10,000,000	0	0	Water resources policy and administrative management

The relevance of the projects in Table 10 for the Water and Sanitation sector will still have to be verified during the preparation of the field mission to Russia

Table 2: List of projects with potential relevance for the water and sanitation sector – Russia (1995 – 2004)

Year	Status	CRIS Code	Title	Decision Amount (€)	Contracted Amount (€)	Paid Amount (€)	Sector Heading
2004	Ongoing	TACIS/2004/ 006-231	2004 Northern Dimension Environmental Partnership Support Fund	20,000,000	0	0	Environmental policy and administrative management
2002	Ongoing	TACIS/2002/ 000-650/5	Small projects programmes	15,000,000	5,227,875	1,808,354	Other multisector

The evaluators were able to obtain a list of TACIS transboundary water projects from the team preparing the sector-specific evaluation guidelines for Water and Sanitation.

[22] Note: This project is listed as “ongoing” despite the fact that – according to CRIS – no funds have been contracted yet.

Table 3: List of transboundary water projects with Russia as partner (1995 – 2/2004)

Year	Status (2/2004)	Project name	Funding (Mio €)	Programme	Beneficiaries	Wider objective
2000	Ongoing	Management of Aquatic Resources of Lake Ladoga and its Catchment (MAQREL)	0.3	EC: TACIS CBC Small Projects Facility 2000 - 2001	Russia, Finland	To promote and establish best practices and procedures for management and sustainable use of the aquatic resources of Lake Ladoga.
2000	Ongoing	Sortavala Sewage Treatment Works Rehabilitation	4.5	EC: TACIS CBC AP 2000	Russia, Finland	To help eliminate both current pollution and the risk of future severe pollution from Lake Ladoga.
2000	Ongoing	Technical Assistance to Black Sea Environment Programme	2.8	EC: TACIS Regional AP 2000	Russia, Ukraine, Georgia	Support national and international efforts to reverse environmental deterioration as a prerequisite for a return to economic growth.
2001	Ongoing	Enhancing of Drinking Water Quality from Water Ecosystems in Twin Cities of Pskov and Kuopio	0.2	EC: TACIS CBC Small Projects Facility 2000 - 2001	Russia, Finland	To improve the quality of tap water in Pskov.
2001	Planned	Komi Uhta WaterServices	0.3	EC: JEP II (TACIS Regional AP 2001)	Russia, Barents Sea	To improve water supply and waste water treatment.
2001	Planned	Krasnador Agricultural Pollution	0.3	EC: JEP II (TACIS Regional AP 2001)	Ukraine, Russia	To reduce non point source pollution in the Krasnador Municipality.
2001	Ongoing	Nura River Clean-up	0.3	EC: JEP II (TACIS Regional AP 2001)	Kazakhstan, Russia	To accelerate the implementation of the Nura River Clean Up Project.
2001	Ongoing	Rostov Nutrient Removal	0.1	EC: JEP II (TACIS Regional AP 2001)	Russia, Black Sea	To address the degradation of the Black Sea by improving RVK Municipal wastewater treatment plant.
2001	Ongoing	Sakhalin Municipal Services Development Programme	0.3	EC: JEP II (TACIS Regional AP 2001)	Russia, Japan Sea	To improve water services, water system and water treatment.
2002	Planned	Caspian Environment Programme: Fisheries Conservation and Management	3.5	EC: TACIS Regional AP 2002	Azerbaijan, Kazakhstan, Russia, Turkmenistan	To improve environmental management of the Caspian Sea region.

Year	Status (2/2004)	Project name	Funding (Mio €)	Programme	Beneficiaries	Wider objective
2002	Planned	Integrated Management of Vistula Lagoon Catchment	0.2	EC: TACIS CBC Small Projects Facility 2002	Russia, Poland	To improve the environment of the transnational water body of the Vistula Lagoon .
2002	Planned	Investment Facility for the Black Sea	4.0	EC: TACIS Regional AP 2002	Georgia, Russia, Ukraine, Moldavia	To support investments in pollution remediation affecting the Black Sea and its basins.
2002	Planned	Small Waste Water Investments in Kaliningrad	1.0	EC: TACIS CBC AP 2002	Russia, Lithuania	To reduce pollution to drinking water and transboundary water pollution.
2002		Sludge Incineration Plant (SIP) at Southwest Wastewater Treatment Plant (SWTP)	22.0	EC: TACIS National Russia/S. Petersburg 2002	Russian Federation	To improve the delivery of municipal services and the living standard of the population
2002		Technical Assistance to St. Petersburg Vodokanal	2.0	EC: TACIS National Russia/S. Petersburg 2002 (evaluation)	Russian Federation	To improve the delivery of municipal services and the living standard of the population
2003	Planned	Waste Water Investments in Kaliningrad, Phase II	3.0	EC: TACIS CBC AP 2003	Russia, Lithuania	To reduce pollution to drinking water and transboundary water pollution.
2003	Planned	Water Investment Support Facility	3.0	EC: TACIS Regional AP 2003	All EECCA countries	To set up a water investment support facility to carry out feasibility studies and the identification/ preparation of large water investment projects.
2004		Environmental Collaboration for Black Sea	2.5	EC: TACIS Regional 2004	Moldova, Ukraine, Russia, Georgia	Reduction of pollution and improved quality of shared water resources such as trans-boundary rivers flowing into the Black Sea and protection of the marine environment of the Black Sea as foreseen in IP section 6.1.
2004		Strategic Action on the Caspian Marine and Coastal Environment and support to the Caspian Sea Framework Convention	2.5	EC: TACIS Regional 2004	Azerbaijan, Kazakhstan, Russia, Turkmenistan	To apply Integrated Water Resource Management (IWRM) and Coastal Area Management as an important contribution to reverse and prevent environmental degradation of the Caspian Sea

Year	Status (2/2004)	Project name	Funding (Mio €)	Programme	Beneficiaries	Wider objective
	Planned	Municipal Investment Support Programme to Archangelsk	0.3	EC: TACIS MISP	Russia, White Sea	To improve the water and sewerage system in the municipality.
	Planned	Municipal Investment Support Programme to Murmansk	0.3	EC: TACIS MISP	Russia, Barents Sea	To improve the water and sewerage system in the municipality.
	Planned	Municipal Investment Support Programme to Sakhalin	0.3	EC: TACIS MISP	Russia, Japan Sea	To improve the water and sewerage system in the municipality.

EVALUATION OF THE WATER AND SANITATION SECTOR

Field Visit Country Note

India

Authors: Ian Harmond
Subrata Ray
Cornelia Schmitz

June 2005

Evaluation for the European Commission

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ABBREVIATIONS AND ACRONYMS

ADB	Asian Development Bank
AIDCO	EuropeAid Cooperation Office
AKSP	Aga Khan Support Programme
ALA	Asia, Latin America
Delegation	Delegation of the European Commission to India, Bhutan, Maldives, Nepal and Sri Lanka
CN	Country Note
CSPs	Country Strategy Papers
EC	European Commission
EU	European Union
Evaluation	Water and Sanitation Sector Evaluation
IWRM	Integrated Water Resources Management
LRRD	Linking Relief with Rehabilitation and Development
MDGs	Millennium Development Goals
M&E	Monitoring and Evaluation
NIPs	National Indicative Programmes
NGOs	Non Governmental Organisations
O&M	Operation and Maintenance
PRIs	Panchayti Raj Institutions
RGNDWM	Rajiv Gandhi National Drinking Water Mission
Team	Evaluation Team
ToR	Terms of Reference
TSC	Total Sanitation Campaign
Unit	Evaluation Unit
W&S	Water and Sanitation
WASMO	Water and Sanitation Management Organisation
WB	World Bank
WSSCC	Water Supply and Sanitation Collaborative Council
WSSD	World Summit for Sustainable Development
WUAs	Water User Associations

Euro 1.00 = Indian Rupee 50.30

EXECUTIVE SUMMARY

The field visit to India was one of the first being conducted in the Field Phase, and seeks to establish a standard format and analytical methodology in line with the approach set out in the Desk Phase Report. This CN summarises the findings of the field visit and commences with a brief description of the Evaluation goals, the role of the respective actors and confirmation of the country's selection. The data collection tools used to identify and assemble information have been described, and a brief sector profile establishes the legal framework and environment via which W&S policies and programmes funded by the EC are currently being implemented.

Although some supporting data is still awaited, and only limited analytical work has been carried out to date, it has been possible to identify a number of key policy issues to feed into the Evaluation synthesis. Through the site visit to Gujarat, a detailed insight has been allowed into how at least one significant EC funded project in India is being implemented, and currently in the post disaster phase it was possible to examine the relationship and link between rehabilitation, reconstruction and development. While lacking detail in some areas a number of key W&S issues have been identified and these are as follows:

- Projects generally deliver benefits in line with EC policies and programmes;
- Lack of base line data and coherent M&E systems at the project level makes quantitative evaluation difficult;
- The evidence indicates that poverty has most probably been reduced, and health improvements made, but to what degree is hard to say - they might have been greater with better planning, better targeting or more diligent application;
- The EC's water management and development policies are being applied and are generally in line with national and state standards;
- Good water resources management is acknowledged, and where ever possible is being practiced – policies are universal;
- Cross cutting issues, like gender and environment, are not normally mainstream project components but are predictably included in some form or other, on the whole with success;
- Project efficiency is hard to access and is mixed, but undoubtedly hampered by EC rules and policies – particularly as regards procurement;
- Aligning EC management rules, like project disbursements, with national and state laws has caused problems but these issues have largely been resolved;
- Policies are generally universal and there are no major clashes with member states, donors, UN agencies or the development banks – NGO's are used effectively to implement small scale simple technical component development projects; and,
- Liaison with other actors is effective and no clashes were identified, although the relationship with ECHO is unclear with the later having little input into the preparation of the CSP presently being drafted.

Although the above sectoral issues are India specific, experience of W&S evaluations generally indicates that many of them will be replicated in the other target field visit countries, to a lesser or greater extent. Having identified the relevant key factors the challenge will be to apply the evaluation analysis methodology outlined in the Desk Phase Report consistently to ensure that responses are proportionate and logical.

1 INTRODUCTION

1.1 Evaluation overview, objectives and general approach

Responsibility for evaluation in the European Commission (EC) rests with the Joint Evaluation Unit (Unit) of the EuropeAid Cooperation Office (AIDCO). Its 2 major aims are to 'respond to the EC's obligation to account for its external co-operation activities and its management of funds', and to 'analyse critically its past and current actions, policies and policy conditionalities in such a way as to identify key lessons learned, which can be fed back into current and future strategic policy formation and programming'. In accordance with this requirement, the Unit has commissioned a Water and Sanitation (W&S) Sector Evaluation (Evaluation), which in addition to its specific goals, forms part of a major enterprise to assist the Unit in developing processes and procedures to shape future evaluation methodologies.

An important Evaluation requirement is for the Evaluation Team (Team) to undertake field visits to 7 target countries. The countries that have been selected include Cape Verde, India, Russia, Samoa, South Africa, Morocco and Bolivia. The purpose of these visits is to test and evaluate the manner in which W&S policies and plans financed by the EC are being implemented in the context of overall development cooperation at country level. Information and data shall be collected in order to evaluate:

- Relevance, impact, effectiveness, efficiency and sustainability;
- Consistency and internal coherence between W&S sectoral support and other European Union (EU) policies; and,
- Coordination and complementarity of EC actions and strategies with policies of member states and donors.

This note summarises the findings of the field visit to India, which took place between 21st and 30th of June 2005. The mission, comprised of the Team Leader and a Junior Expert, commenced with an introductory briefing of the Delegation on the objectives of the Evaluation. Advice and logistical assistance with the collection of relevant information on the principal stakeholders, programmes and projects was requested, and the activity schedule discussed and agreed. A number of key documents and references were identified, and provided by the Delegation who also made available a Project Manager to guide and assist the Team. At the conclusion of the field visit the Delegation were debriefed, and provided with a summary of the field visit activities.

A National Consultant[1] was appointed to assist the mission and prepare the groundwork in advance of the Team's arrival. This initial phase included the identification of key W&S sector stakeholders and actors, member states, development banks, UN agencies and Non Governmental Organisations (NGOs), Government departments and ministries engaged in the W&S sector. A list of national policies, programmes and projects was prepared and preliminary arrangements were put in hand for a field visit to inspect a representative EC funded W&S project in Gujarat.

[1] Subrata Ray, Water Management Institutions and Development Consultant

1.2 Reasons for case study country selection

How and on what basis the 7 target countries were selected is described in the Evaluation Terms of Reference (ToR). The main selection criteria that were applied in order of priority are as follows:

1. Countries being (in the present or in the past) among the major recipients of EC aid in the W&S sector;
2. Representative of each region - India is an Asia, Latin America (ALA) country;
3. Having W&S as a focal sector; and,
4. Not having been covered by the latest evaluations conducted by the Unit.

The Team were given the opportunity to suggest alternative countries at the Inception Note phase, but after a study of the logic and selection process this option was not considered appropriate and no changes were made.

As a guide for the field visits, country portfolios were prepared for each of the 7 target countries, and included in the Desk Phase Report. These have been reproduced for India in Sections 6.4 and 6.5. One of the first tasks of the Team was to review the portfolio for India with the Delegation and this exercise demonstrated that much of the data was out of date. A summary of EC funded projects in the current Country Strategy Paper (CSP) with a recognisable W&S component or predilection is as follows:

Project/Sector	Year	EC Cost Euro Million	Total cost Euro million
Orissa minor irrigation	1994	10.70	12.07
Saline land reclamation	1994	15.50	18.10
Ravine stabilisation	1995	7.90	9.90
Pondicherry tank rehabilitation	1995	6.65	8.21
SCALE – Argha Khan Foundation	2001	25.80	37.80
Floods in the eastern states*	2000	5.83	-
Floods in Orissa*	2001	0.65	-
Rural development	-	16.04	36.87
Water supply and management	-	1.58	3.50
Total:		**90.65**	**126.45**

*ECHO projects

Many of the projects listed above are now finished, or almost finished, and some of the classifications are confusing. For example the saline, flood protection and ravine stabilisation projects are not strictly related to W&S but they are of major sectoral importance. The former 2 with regard to water management and conservation, and the latter with respect to agricultural sustainability and land management.

A review of EC cooperation with India as defined in the current CSP (2002-2006) shows a number of apparent contradictions. The principle one being that while water related projects make up a sizable element of the country portfolio, and are described in the summary of ongoing EC projects, there is virtually no description of W&S (activities or

requirements) in the CSP itself. This is surprising given the water related crisis in India[2], and the fact that a sizable proportion of the projects listed in the CSP (excluding ECHO and NGO projects) are to some degree or other water related. The new CSP currently being drafted will include more emphasis on W&S, primarily through the Partnership initiative[3].

Another descriptive anomaly, which demonstrates the difficulty of identifying W&S projects in the CSP, is the SCALE project in Gujarat. While SCALE has a sizable W&S sub component (potable water supplies and irrigation) this is not immediately evident from reading the project/sector description.

[2] Per capita availibility of water in India has dropped from 5,200 cumec in 1951 to 1,820 cumec in 2001 and is expected to drop even further to 1,340 cumes in 2025

[3] European Union and India, Partners in Progress, 2003

2 DATA COLLECTION

2.1 Methods used, availability, limits and potential constraints

The main data collection techniques applied during the field visit were comprised of literature reviews, meetings, structured and unstructured interviews, informal group discussions and ordered Focus Group discussions. A field visit to a representative EC partnered project in Gujarat allowed the range of data collection procedures to be expanded to include interviews with key stakeholders and beneficiaries. Using the 9 Evaluation Questions (See Section 4) as the investigation's primary starting point, these data collection tools and methodologies enabled the collection of a range of qualitative and qualitative information on the W&S sector.

Lack of time meant that only a 'snap shot' of donor funded W&S programmes and projects was possible, and a limited number of member states were consulted. Notable by their absence were meetings with national government officials who were taking part in the 51st National Development Council meeting, and as a consequence unavailable. In spite of these constraints the Team believe that sufficient information was collected, and enough meetings were carried out to satisfactorily address the Evaluation requirements.

2.2 Meetings and briefings

The Delegation was advised by the Unit of the Team's arrival in advance and had been provided with a copy of the ToR. They were familiar with the aims of the mission, and had allocated a Project Manager to assist with the necessary logistical arrangements. The mission commenced with a briefing at the Delegation where the programme was discussed and a list of key stakeholders prepared. Discussions were centred on projects in the current CSP (2002 to 2006), and the sectoral approaches included in the next CSP currently being drafted.

After some discussion it was decided to supplement the data collection process by undertaking a field visit to inspect a project managed by the Aga Khan Support Programme (AKSP) in Gujarat. The AKSP is the social development branch of the Aga Khan Development Network and is a key international stakeholder in the rural development sector. Amongst other projects, it implements rural support and rehabilitation programmes in cooperation with the Government of India, and the EC, who are a major source of funding. In addition to the promotion of initiatives in the fields of water supply and management, watershed development, education and sanitation, the AKSP's projects in Gujarat provided the Team with a valuable insight into the effectiveness of Linking Relief with Rehabilitation and Development (LRRD), following the 2001 earthquake.

In Delhi, interviews were held with Delegation personnel responsible for projects that had a pertinent W&S component or influence. Past, current, and future projects and initiatives were reviewed and information was acquired on their implementation modalities, relative strengths and weaknesses, successes and disappointments. Links to national and state government programmes and policies were explored. Using Annex 2 of the CSP as a guide, the main W&S stakeholders were identified and a number of representative meetings held with key donors, member states, banks and UN agencies. These included UNICEF, UNDP, KFW, GTZ, the ADB and the ECHO representative

office for South Asia. A detailed list of persons met during the field visit is included as Annex 6.3.

At the end of the mission a debriefing took place at the Delegation where the Team's preliminary findings were presented. Details of the site visit to Gujarat, information on the persons and organisations visited during the mission, and preliminary Evaluation findings were shared with the Delegation.

2.3 Structured and unstructured interviews

A range of structured and unstructured interviews was conducted with the main actors and stakeholders active in the W&S sector. These were augmented by meetings carried out with beneficiaries of the SCALE project in Gujarat, and were aimed at gathering general information on the following topics:

- The water and sanitation situation in the country – past, current and projected constraints and challenges;
- The role of the EC in the sector – policies, programmes and projects (past, current and future);
- Involvement of other donors and member states active in the sector;
- Institutional and organisational relationships – linkages, roles and responsibilities; and,
- The engagement and role of beneficiaries in W&S service delivery.

The topics served as the basis for identifying, isolating, verifying, and gathering a range of information on specific W&S issues. The structured interviews were undertaken with stakeholders, actors and beneficiaries engaged in the W&S sector using the 9 key Evaluation questions, and were supported by unstructured interviews. The latter being used to test and verify information gathered from the former.

In the field, numerous meetings were held with beneficiaries, water user organisations, women's representatives, and several water village committees. A focus group was conducted at Anjar and a visit made to the Community-Learning Centre for Water Management personnel in Sayla, which receives funding assistance from the EC. Meetings were also held with the Water and Sanitation Management Organisation (WASMO) who are a semi autonomous government organisation responsible for delivering W&S services to rural communities.

2.4 Site visits

The primary aim of the site visit was to review a representative EC funded project with a prominent and representative W&S component. After much deliberation and discussion with the Delegation the Team undertook a field visit to Gujarat. Other possible projects considered were the Minor Irrigation Project in Orissa, and the new state partnership initiative with Rajasthan. Given the former is almost complete, and the latter is still being negotiated the decision was taken to visit Gujarat. Here the works are still underway, and the process had been developed over a sufficiently long period to enable achievement to be gauged. Details of the visit itinerary, persons met, groups interviewed, and places visited is included as Annex 6.3

After initial contacts in Delhi, a comprehensive project briefing and presentation took place with representatives of the AKSP in Ahmedabad. Their mission statement,

management structure, working relationship with the Delegation, and general development approach were presented. Detailed information on the sites to be visited was provided, the field visit programme was discussed, and the meetings with beneficiaries agreed.

The site visits examined W&S initiatives in Surendranagar, Kundhada, Tramboda, Mandiana and Bhalot. The main foci of the projects were rainwater collection systems, water related health awareness raising, irrigation schemes (drip and basin), wastewater and sewerage collection, treatment systems, and women's engagement. The project works in close cooperation with WASMO, and implements the W&S activities in accordance with a set of implementation guidelines. In each village the Team were given, and took, the opportunity to discuss service delivery with beneficiaries and to inspect practical (mostly technical) examples of project activities. These included rainwater collection tanks with hand pumps, trickle irrigation schemes, basic but very effective sanitary installations (pit latrines and waste water soak a ways) constructed at schools and village houses.

2.5 Focus group discussion

In Anjar, a Focus Group discussion was organised with women from 2 different villages, and from 2 different ethnic backgrounds. The objective of the discussion was to gather qualitative data and in-depth information on project related W&S service delivery from a variety of beneficiaries (rich and poor) with different perspectives, and through a reflective process and open exchange of information. Focus group's are used to augment and support other data collection tools and are a scientifically recognised reliable, and valid method of social research.

With the number of participants set at 20, the group was somewhat larger than desirable. Beside the Team moderator, a female translator from the project supported and guided the meeting. The participants were carefully selected by the AKSP organisers, and comprised women of different ages and backgrounds. They were considered to be representative of members of the community in their particular villages. Beside their role as community associates, the participants were also beneficiaries and therefore ideally placed to provide information on service delivery (i.e. consultation, planning, implementation, constraints, long term sustainability, impact, etc).

The questions put to the Focus Group included the state of W&S services in their villages before the project started, and the involvement of women in the planning, implementation and post construction stages. They were questioned about W&S improvements (educational as well as physical works), and strengths and weaknesses as perceived from their point of view. It's in the nature of a Focus Group that information while emotive and in depth, is qualitative by nature. With this proviso the Team received far-reaching information about real outputs, and their subsequent impact on the life of beneficiaries, their children, and overall community dynamics. Besides the technical aspects discussed, the Focus Group provided the Team with a sound insight into the social situation of women in their respective villages. This information has been used to frame the preliminary findings (See Section 4).

3 BRIEF SECTOR PROFILE

3.1 Laws, acts and legal statues

India is a Union of States. The constitutional provisions with respect to the allocation of responsibilities between the State and Centre fall into 3 categories: The Union List (List-I), the State List (List-II) and the Concurrent List (List-III). Article 246 of the Constitution specifies the laws to be made by the Parliament and by the Legislatures of the States. As most of the rivers in the country are inter-State, the regulation and development of waters of these rivers, is a source of inter-State differences and disputes. In the Constitution, water is a matter included in Entry 17 of List-II i.e. State List.

In case of disputes relating to waters, Article 262 provides:

- Parliament may, by law, provide for the adjudication of any dispute or complaint with respect to the use, distribution or control of the waters of, or in, any inter-State river or river valley; and,
- Notwithstanding anything in the Constitution, Parliament may, by law provide that neither the Supreme Court nor any other court shall exercise jurisdiction in respect of any such dispute or complaint as is referred to in Clause (1).

Entry 56 of List I of the Seventh Schedule provides that 'Regulation and development of inter-State rivers and river valleys, to the extent to which such regulation and development under the control of the Union is declared by Parliament, to be expedient in the public interest'. And entry 17 under List II of Seventh Schedule provides that 'Water, that is to say, water supplies, irrigation and canals, drainage and embankments, water storage and water power are subject to the provisions of Entry 56 of List I'.

In India, irrigation is a state subject (excepting inter-state rivers and river valleys whose regulation and development is under the control of the Parliament). The states have enacted their own legislation covering various aspects of irrigation to fulfil their primary responsibility to develop water resources. Not only are there different irrigation statutes for different states but also in most states there is a multiplicity of laws covering various aspects of irrigation management and administration resulting in inefficiency of their administration through multiple authorities

The Government's right to control the supply and distribution of irrigation waters is not merely a proprietary right but is a sovereign right. Though the Government's right to regulate irrigation in natural waters etc. is paramount and sovereign in character, it cannot be exercised arbitrarily. In exercising its right, the Government should not inflict injury on other riparian owners or diminish the supply, which the irrigators have hitherto utilised. The Government cannot abdicate its duty of seeing that there is equitable distribution of water between tenants under each channel source

Some of the state statutes contain provisions for entrusting certain functions relating to irrigation to irrigation panchayats[4] and irrigators' cooperatives, Notably, participatory irrigation management legislation enacted in Madhya Pradesh, Andhra Pradesh and other states envisage that irrigation systems and their operations would be handed over to user groups entrusted with the responsibility of constructing and maintaining small irrigation works such as tanks, tube- wells, water courses, field channels etc. and to regulate supply of water. Membership of such bodies should be compulsory or optional and the nature of duties to be entrusted to them.

[4] The panchayat is a form of governance and is normally centred on a commune or hamlet

All the irrigation statutes contain specific and detailed provisions regarding punishment of offences committed with a view to damage irrigation works, stopping supply of water and taking supply of water without permission and the quantum of punishment prescribed in various statutes varies from fine to imprisonment. The enforcement of the penal provisions of the irrigation Acts is the responsibility of the irrigation officials and revenue officials. A summary of the main laws relating to the use and regulation of water resources and the environment is included as Annex 6.6.

3.2 Governance administrative arrangements, roles and responsibilities

Water, a State subject in India, has received priority attention since the implementation of the First Five Year Plan. Until 1999, the Governments water and sanitation strategies were supply-driven, that is, the rural water supply and sanitation systems were designed and executed by the Department/Boards and, imposed on end-users without taking into account their demand preferences. This approach succeeded in increasing water supply and sanitation coverage as per government norms. However, their sustainability and their access to the poor and the marginalized groups continued to be critical concerns. Moreover, a large number of water supply systems/schemes failed due to, among others, poor operation and maintenance - by comparison with water supply, sanitation has had less priority. Thus, according to the 2001 Census, only 22 per cent of rural households have toilets, but most are not used by all household members every day of the year. And out of India's 700,000 rural elementary schools, fewer than 1 in 6 has sanitary facilities. Further, water contamination – faecal, excess arsenic and fluoride etc.- continues to be a health hazard in most villages.

In recognition of the above inadequacies, the Government revamped the Rural Water Supply Programme in 1999 via the strategic framework provided by the Rajiv Gandhi National Drinking Water Mission (RGNDWM) and related demand-driven water sector reform guidelines, which were amended in August 2000 and October 2000 by way of articulation of measures for source sustainability, among others. The water sector reform strategy rests on four pillars:

1. Demand-driven responsive and adaptable approach based on empowerment of villagers to ensure their full participation in the project through a decision making role in the choice of scheme design, control of finances and management arrangements;
2. Shifting role of Government from direct service delivery to that of facilitator, and regulator;
3. Decentralization of authority and responsibility to panchayats, in line with the 73rd Amendment to the Constitution, and,
4. Partial capital cost sharing either in cash or kind or both and 100% responsibility of Operation and Maintenance (O&M) by end-users.

The sector reform is being scaled up on a national scale through the vehicles of Swajaldhara and the Total Sanitation Campaign (TSC). Swajaldhara, a demand-responsive, community-based approach to rural water supply - now being operationalised nationally - was developed from the sector reform pilot projects implemented between 1999 and 2003 in 67 districts, and the World Bank (WB) supported Swajal project in Uttar Pradesh and Uttaranchal. TSC - now covering 398 of the 602 districts in the country - is based on stimulating demand for sanitation with an affordable range of options. Subsidies are to be phased out, and replaced with a range

of collective rewards (for example, the Nirmal Gram Puraskar scheme, introduced in June 2003) offered at district, block and village level, based on population criteria, for promoting full coverage and eliminating open defecation.

To ensure full commitment of the states in facilitating water sector reform measures, the Department of Drinking Water Supply, National Ministry of Rural Development, would now be required to enter into a formal and binding memorandum of understanding with each State Government. This formal agreement will set the pace and direction of reform in the rural water supply and sanitation sector, and will be based on the state's –

- Vision statement;
- Policy for water supply and sanitation; and,
- An agreed action plan for establishing the reforms, complete with milestones and a timeframe.

The Rapid Assessment of the Rural Water Supply and Sanitation Sector is predicated on this requirement – sector assessment is a prerequisite of signing the memorandum of understanding.

3.3 National strategies, programmes and plans

The 10th Five Year Plan, 2002-2007, has allocated Rs. 3600 crores[5] (€ 680 million) to the Ministry of Water Resources. Of this the major investments are in Command Area Development and Water Management, (Rs.1402 crores/ €264 million), Ground water survey and exploration, (Rs. 277 crores/ €52 million), Pagladiya Dam Project, (Rs. 250 crores/ € 47 million), Anti-erosion works in Ganga States (Rs. 192 crores/ € 36 million), Artificial recharge of groundwater, (Rs. 150 crores/ € 28 million) and Farraka Barrage Project (Rs. 150 crores/ € 28 million).

The plan specifies that as stated in the National Agenda for Governance, all habitations are to be supplied drinking water as per the stipulated norms (i.e. quantity in terms of litres per day, minimum access levels, water quality, etc). Also quality issues are to be examined and solutions found. The plan also stipulates that rural water supply is to be de-centralised in line with Art.243G of the constitution. As such Panchayti Raj Institutions, (PRIs) would be entrusted with drinking water supply systems. The plan also stipulates community involvement in all stages of planning, design, construction and implementation and management of drinking water schemes. This is a radical departure from earlier supply driven schemes. As envisaged, new supply schemes will be based on demand and the community's abilities to manage and operate water supply systems. The O&M costs and a part of the capital costs will also be borne by the community. As such the financial and technical capabilities of PRIs will be strengthened.

An Integrated Water Resources Management (IWRM) approach to rural water supply will be followed. This will include micro watershed based master plans with emphasis on conservation, protection of stored water from evaporation, rehabilitation of traditional water harvesting and storage systems, rainwater harvesting and educating farmers on appropriate crops and cropping patterns. The TSP will be expanded to include safe disposal of excreta, rainwater and domestic liquid and solid wastes, domestic sanitation and food hygiene[6]. School Sanitation is also seen as a priority.

[5] 1 crores = 10,000,000
[6] Currently concentrated on the construction of latrines

3.4 Programmes and projects

The National Water Policy 2002 has specified that 'the management of water resources for diverse uses should incorporate a participatory approach; by involving not only the various governmental agencies but also the users and stakeholders…in various aspects of planning, design, development and management of water resource schemes'. It lists some of the stakeholders as women, Water User Associations (WUA), municipalities and PRIs. The latter groups should be 'particularly involved' with a view to eventually transfer the management of the facilities to them. The National Policy also encourages private sector participation in planning, development and management of water resources projects wherever feasible and may help in generating financial resources and introduce corporate management and efficiency in service delivery and accountability.

Hence the National Policy explicitly recognises a wide spectrum of stakeholders to which may be added financial institutions, EC, member states, UN Agencies, NGOs, funding agencies and donors. UN Agencies, notably UNICEF, which has been working in the W&S sector in India since 1966, have made significant contributions to health and hygiene. The Asian Development Bank (ADB) has been active in the sector since 1994. Since 2003 the WB has initiated 10 water sector projects in several states. Similarly National funding agencies such as GTZ, DFID, EC, KFW have been active in the sector.

These agencies are largely supportive of national water policies and support the national and state governments in their efforts to meet national and MDGs. Conflicts in the allocation of water arise largely on issues of sharing waters between states (at least 6 states have ongoing, and it would appear, irresolvable, disputes with their neighbours). Another issue is in the distribution of water between various users. It is well known that irrigation accounts for by far the largest use of water, to the detriment of other users. Even within the irrigation sector there are conflicts between users, upstream versus down stream, and richer farmers versus the poor. Water charges are a political issue, with elections being lost by parties attempting to rationalise fees and charges. The issue has also led to violence and loss of life as farmers protest fees or the irregular supply of water.

The supply of water to soft drinks manufacturers has also led to violent (and possibly motivated) protests, and industry is often seen to waste water and pollute water sources.

The quality of water, with natural impurities such as arsenic or fluorides is a matter of concern, and man made pollution of water bodies is on the increase despite a plethora of laws.

4 PRELIMINARY FINDINGS

4.1 Support to Water Supply and Sanitation

To what extent has EC support facilitated improved and sustainable access to safe drinking water and basic sanitation? (Question 1)

Limited involvement in the W&S sector, and the lack of quantifiable evidence does not allow a definitive judgement on the 'extent' of EC support to the facilitation of 'sustainable access to safe drinking water and basic sanitation'. All the evidence points to success in this regard, particularly in respect of the SCALE project in Gujarat, but a closer examination of the evidence will be required before this question can be answered with any confidence[7]. A number of arguments supporting this view can be made and these are as follows:

- The Community-Learning Centre for Water Management at Sayla is a success and if a sufficiently commercial approach is adopted, water supply and sanitation service delivery will be strengthened;
- The introduction of water fees is essential for sustainability but there are serious practical problems in implementing and adapting this concept to ensure universal community benefit;
- Water supply (tanks, hand pumps and reticulation systems) and sanitation (pit latrines and soak a ways) interventions are well designed and generally sound, although in some villages badly maintained – sustainability is compromised;
- There is a welcome emphasis on education and schools are being targeted as a means of disseminating family health messages;
- The SCALE project is imminently replicable and can provide a useful vehicle for expanded rural development initiatives (i.e. rural livelihoods, agriculture, handy crafts, etc): and,
- Water supply and sanitation are seen and are being implemented as parallel complimentary activities.

In the case of the SCALE project there were no baseline surveys on which to measure or evaluate success. In addition there was no evidence to confirm the suitability and selection of the target group, nor that the needs of the poorest were indeed being addressed. On a positive note, the EC funded W&S programmes and projects are broadly in line with National and State development polices (Ref Section 3) and no major clashes were evident.

How far has EC support for access to water and sanitation contributed to a reduction of poverty? (Question 2)

The seasonal migration of the rural population during drought months is a crucial problem all over India, and in the villages visited in 'rain starved' Gujarat this is an acute problem. EC funded support for rainwater collection systems combined with irrigation and agricultural improvements has succeeded in raising incomes, and to a degree reduced the need for labour migration. The planting of Jetropha, a plant used for the production of bio-diesel, is one income earning initiative that has proven successful.

[7] Project evaluations are awaited from the Delegation and may provide some quantifiable evidence as regards effectiveness to feed into the Evaluation syntheses

Studies carried out by AKSP showed that in villages included in the SCALE project, incomes improved by some 40-80%.

However, the link between access to water supply and sanitation services, and poverty alleviation is notoriously hard to prove, let alone quantify[8]. Not only are the key measurement criteria hard to identify and measure, conditionality and the influence from extraneous 'one off' factors is hard to model. What may seem to be a reduction in poverty levels might simply be an early monsoon or good harvest. And there are some recorded instances where the imposition of a water charge to fund a new W&S initiative has in fact increased poverty levels for the truly poor, not reduced them.

In spite of these doubts, improved access to water supply and sanitation services must logically reduce baseline poverty levels. The fact that less time spent on water collection allows more productive working time, and better access to education can raise the living standards of children, all point towards a clear and discernable link. The challenge is to 'strip out' the external factors and quantify the benefits so that programmes and projects can be correctly targeted and rewards maximised. The EC's policies and programmes have the capability of addressing these challenges.

How far has EC support for improved water supply and sanitation contributed to better health? (Question 3)

The test in determining to what extent EC support to improved water and sanitation has contributed to better health is similar to that for poverty reduction described above. Simple studies like examining health records pre and post W&S project works to quantify improvements is a common approach, but isolating improvements is difficult. In spite of projects having to use logical framework diagrams with measurable success indicators, and be subject to Monitoring and Evaluation (M&E), experience has shown that rarely is this done properly, and often when it is undertaken the answers prove inconclusive. As a consequence few projects have sufficient quantifiable data to identify, isolate, measure and evaluate W&S project success, particularly as regards health and poverty improvements. The project monitoring report generated by the Delegation is a good guide to implementation, and is a useful management tool, but it contains little quantifiable data on which to judge or evaluate success.

No quantifiable information has been located (so far) to confirm or refute the hypothesis that improved water supply and sanitation services contribute to better health, although common sense would suggest it does. As well as the more obvious positive examples (i.e. reduced diarrhoeal rates in children, mortality and morbidity rates, etc) there can be some negative factors. These include storing water in unhygienic conditions, or allowing water to be kept in open tanks providing a convenient breeding ground for malarial mosquitoes. Some studies have shown that health benefits from water supplies are negated by increases in malaria infection through poorly maintained reservoirs and tanks. The best that can be said is that on the available evidence, the EC support to the sector has contributed to improved health in the target population.

As to service delivery mechanisms, arguably the most appropriate vehicle is probably the NGO route, where appropriate technology and traditional community based 'hands on' approaches seem to be the most successful. The EC have some 171 NGO managed projects in the current CSP covering the whole rural development spectrum,

[8] UNICEF is a key actor in the W&S sector and has been working for some time with limited success on linking the benefits from water and sanitation interventions to reduced poverty levels

and some quantifiable data linking W&S improvements to poverty reduction and better health should eventually emerge from this initiative.

4.2 Water Resources Management

How far has EC support contributed to the adoption of national policies and legal instruments that are in accordance with the principles of Integrated Water Management Resources Management? (Question 4)

One of the MDGs specific targets was to 'have comprehensive policies and strategies for IWRM in the process of implementation by 2005'. In India the principles of IWRM form a fundamental part of the National Water Policy prepared by the Ministry of Water Resources in 2002. While there are some textural differences, the approach it espouses are broadly in line with EC's principal policies and approaches to water management[9]. An analysis of IWRM policies shows that most countries apply similar international best practices. They are designed to value, raise the profile and conserve water, engage the private sector and reduce the decision making process down to the least possible administrative level. On the whole, most IWRM policies are consistent in their approach, and where the differences occur are in how they are implemented. Nowhere is this clearer than in India where political pressures, competing demands, a dwindling resource base, and a burgeoning economy will place intolerable strains on water in the future.

With perhaps less than 10% of the EC's total aid commitment in 1999 to 2004 allocated to IWRM[10], and over 60% to W&S, the influence of the former on the latter is tenuous at best. Clearly without good water management the resource cannot even be estimated let alone conserved, and allocated in a sustainable manner. With the move towards the adoption of a sector approach for development aid, and the formation of partnerships, the old cycle of 'rehabilitation – dilapidation – rehabilitation' might be broken. Building capacity in ministries and departments where salary levels are falling in real terms, moral is low, and the future holds little prospect will prove challenging, but this is the way forward as past project based strategies have failed to deliver the promised benefits. The EC's policies and the development programmes reflected in the new CSP are imminently suited, and support this approach.

To what extent has EC support facilitated and contributed to the adoption and implementation of Integrated Water Management Resources Management into the planning and implementation of water and sanitation service delivery? (Question 5)

Numerous examples were found to confirm that IWRM is applied to the planning and implementation of EC funded W&S programmes and projects in India. For example in Gujarat the SCALE project makes the preparation of a water management plan obligatory when considering priorities and designing W&S initiatives. Although used mainly to guard against limiting access to water from downstream users, IWRM is applied to access yields, estimate demand, and calculate the catchment water balance. With severe, and sometimes violent competition for scarce water resources, the importance of IWRM, and the river basin management plans they produce are vital. This is the only way to convince competing users of the need for conservation, and the importance of working together to achieve a common goal.

[9] Water Management in Developing Countries Policy and Priorities for EU Development Cooperation, 12th March 2003

[10] The precise percentage is impossible to determine from the CRIS data base

Member states typically use IWRM to provide a secure and defensible framework for their W&S projects. In the case of the KFW funded Integrated Water Supply, Sanitation and Health Programme project in Rajasthan, the principles of IWRM are used to estimate demand and set development priorities[11]. Overall, for the period 1999 to 2001 KFW committed Euro 118.40 million to the W&S sector. Some KFW funded post project evaluation data is available from the implementation manager (GTZ), and for the Evaluation synthesis this will be scrutinised to see if the link between IWRM and project service delivery can be defined[12].

4.3 Cross Cutting Issues

How far has the EC addressed existing gender inequalities as a key goal in its water and sanitation service delivery programmes, and how successful have these efforts been? (Question 6)

The issue of gender in India is complicated and there are understood to be few gender specific projects or programmes. The exception to this premise might be the EC funded Support to Women Project being implemented through the NGO programme, which appears by it's title at least, to directly address gender concerns. Many of the other projects in the CSP project portfolio have gender as a cross cutting issue, and the field visit to the SCALE project in Gujarat was used to investigate how gender was being addressed, and whether the issue had a discernable bearing on W&S service delivery.

To what extent and how successful most EC policies and programmes have addressed inequalities (gender, racial or ethnic) is hard to determine, perhaps even impossible to determine. What is clear however, is that most initiatives include a prominent gender component, and the bulk of the evidence suggests that some success have been recorded with women playing an important role in water management committees, and participating in the general decision making process. How deep and sustainable this might be is hard to know, and one of the aims of the Focus Group meeting at Anjar was to investigate and examine how the SCALE project had dealt with the issue (Ref Section 2.5).

On balance, the evidence suggested that gender inequality was indeed successfully addressed in the project, and the main messages emanating from the Focus Group discussions include the following:

- Women were quite clear that they are more respected by men now than before the project started, largely because of the technical training and health education messages they received;
- For girls, the changed situation enables them to attend school and become educated, because they don't have to spend hours every day collecting water for the family;
- The availability of sanitation facilities meant that daily ablutions for women and girls were private and more pleasant;
- Introducing separate toilet facilities at schools was also seen by girls as a welcome development; and,

[11] Watershed management rules used by GTZ have been adopted by local government, and even mainstreamed into Ministry working guidelines

[12] Review of Operation and Maintenance of Drinking Water Supply Schemes in Himachal Pradesh, 2005

- The sanitary education at schools provided children with a basic understanding of healthy living practices, and as a consequence the children bring these attitudes home, and good health and hygiene messages and practices spread throughout the family.

Most of the messages described above could have been predicted but it is satisfying to have them confirmed by the Focus Group. Once again the question of how successful the gender component was, and whether it could have been perhaps more successful cannot be determined through the lack of any baseline data or follow up evaluation.

4.4 Water Supply and Sanitation Service Delivery

To what extent have EC water and sanitation delivery programmes been implemented in an efficient way? (Question 7)

Of the 5 key evaluation criteria (relevance, impact, effectiveness, efficiency and sustainability), arguably the hardest to determine for evaluators is efficiency. Its use in logical framework diagrams is problematical, and it's hard to measure - requiring as it does a reliance on measurable indicators based on dubious verification parameters, and assumptions. How donors view efficient project delivery contrasts considerable, and depends on the implementation culture, and the particular circumstances prevailing at the time. For example the ADB appear content to see at least one major urban W&S project ($US 10 billion commitment in 5 years) overrun simply because the scale of the problems associated with its implementation are so complicated they would rather see the work finished late than not at all[13].

At community level delivery efficiency is relative, and the SCALE project's approach whereby the funding of community driven interventions is based on a percentage contribution (75% project and 25% community) means that 'value for money' is usually assured. And with the community development committee, or the WUA, supervising the work, authorising expenditure and managing the budget, project implementation is tightly controlled, and transparency possible. On balance the SCALE project was well designed, seemed to have been efficiently implemented, and works built to a budget. However, there has been no follow up analysis of the M&E records, or evaluation to date to quantify and confirm this supposition.

How efficient EC funded W&S projects have been implemented is hard to access. Experience of the Ravine Stabilisation Project in Uttar Pradesh indicates that not all projects have been completed on time, on budget and as designed. Indeed, the recommendations of previous evaluations of this particular project indicated that the same problems were being experienced for successive phases – hardly a sign of efficient implementation. In spite of these relatively isolated incidents (the Pondicherry Tank Rehabilitation Project seems to have suffered a similar fate) the signs are that lessons are being leant and efficient execution is recognised as an important project deliverable.

One issue that has caused concern is the way the EC make payments direct to projects, bypassing the central and state banking system, which has led to opposition from national and state governments. The administrative dilemma means projects run late, outputs are reduced, and an atmosphere of uncertainty is created amongst project

[13] Contractors are often prepared to halt work on a contract even when threatened with termination, and as a consequence the protracted legal procedures often means the works are never completed

implementers. Above all beneficiaries have their expectations raised unnecessarily, and soon switch loose interest

4.5 Coherence, Coordination and Complementarity

To which extent has EC support to the water sector and other EU development policies affecting the sector, been consistent and coherent? (Question 8)

As stated earlier, most (if not all) internationally recognised W&S best practices and development principles are enshrined in current international treaties and working practices. For example the MDGs targets and the World Summit for Sustainable Development (WSSD) objectives embrace all of the major elements contained in the EC's W&S and development policies. Therefore at least from a policy perspective there is clearly consistency and coherency. However, this is not necessary the case when considering their application, and some differences do exist in the way policies are implemented. For example in Cambodia endemic problems with 'leakage' have lead one member state attempting to bypass national institutions, and implement projects through community self help groups. While this will probably see better service delivery in the field, it will not promote good governance or build capacity. This 'do it alone' approach has caused problems with other member states that are applying conventional policies agreed amongst them. There is no indication to suggest this is an issue in India.

The evidence collected from the meetings and site visits indicates that there is generally uniformity in the way the EC's W&S polices are applied. Some ambiguities do occur and problems are experienced (i.e. the placing of purchase contracts in accordance with the procurement guidelines[14]), although project implementers are inventive in accommodating these constraints. Mixing technical disciplines within a single umbrella project is perhaps unwise requiring as it does specific expertise, and the need to work with more than one ministry or government department complicated matters. To some extent the SCALE project appears to have managed this challenge and combines irrigated agriculture and W&S successfully, but this may be the exception not the rule.

To what extent has EC support to the water sector at country level (as defined in the CSPs, NIPs, etc) been coherent and complementary with overall EC development policies, strategies and actions of member states and other major actors? (Question 9)

One of the requirements of the field visit was to meet with donors, member states, UN agencies, development banks, NGOs, etc in the target country to gauge to what extent the EC's W&S and general development policies were consistent and coherent. Ideally more meetings would have been desirable with member states but an adequate number were carried out to address these issues in sufficient depth and detail. The only disappointment was the lack of meetings with national government, although officials at state level were met allowing information to be gathered at the project level.

One important meeting was held with ECHO and concerned the exploration of synergies regarding LRRD, and how disaster organization and preparedness is being handled. A reason for visiting the SCALE project in Gujarat was to see first hand, and discuss with the project implementers and beneficiaries, how the 2001 earthquake disaster to post disaster process was managed. It was surprising to see that ECHO had no involvement or exchange of experiences with SCALE in this regard[15]. Indeed, it is unclear where the

[14] Practical Guide to EC External Aid Contract Procedures, January 2001
[15] There are a total of 17 earthquake related projects managed by ECHO in Gujarat

line of demarcation or responsibility between the Delegation and ECHO is drawn on disaster preparedness in general.

The EC collaborates with the UNDP in a project in Rajasthan, where a donor-coordinated committee was established with extensive organisational functions. With EC support the state government has adopted a sectoral approach to W&S, and drinking water, irrigation, along with industrial water demands are addressed jointly through a working partnership. The evidence from this particular initiative suggests that there is a strong measure of coherence and complementarity between the EC's W&S policies, and those of other donor supported programmes in India.

5 CONCLUSIONS

5.1 Main country specific issues

The aim of the CN is to summarise information gathered during the field visit on the EC's support to the target country, which can then be fed into the Evaluation synthesis. From the interviews, meetings and the site visit to Gujarat a reasonable view on the EC's contribution to the sector has been gained. While not perfect and lacking in some areas it has been possible to identify key sectoral issues, which are as follows:

- Projects generally deliver benefits in line with EC policies and programmes;
- Lack of base line data and coherent M&E systems at the project level makes quantitative evaluation difficult;
- The evidence indicates that poverty has most probably been reduced, and health improvements made, but to what degree is hard to say - they might have been greater with better planning, better targeting or more diligent application;
- The EC's water management and development policies are being applied and are generally in line with national and state standards;
- Good water resources management is acknowledged, and where ever possible is being practiced – policies are universal;
- Cross cutting issues, like gender and environment, are not normally mainstream project components but are predictably included in some form or other, on the whole with success;
- Project efficiency is hard to access and is mixed, but undoubtedly hampered by EC rules and policies – particularly as regards procurement;
- Aligning EC management rules, like project disbursements, with national and state laws has caused problems but these issues have largely been resolved;
- Policies are generally universal and there are no major clashes with member states, donors, UN agencies or the development banks – NGO's are used effectively to implement small scale simple technical component development projects; and,
- Liaison with other actors is effective and no clashes were identified, although the relationship with ECHO is unclear with the later having little input into the preparation of the CSP presently being drafted.

Although the above W&S issues are India specific, experience of evaluations indicates that many of them will be replicated in the other target field visit countries, to a lesser or greater extent. One of the challenges will be to apply the evaluation analysis methodology outlined in the Desk Phase Report in a consistent way, and ensure the responses are proportionate.

5.2 Main thematic issues to be fed into the synthesis

At this juncture it is too early to be in a position to decide with any confidence what the main W&S thematic issues are, how they should be applied, or their order or precedence. More study and analytical work will be needed to do this, but at this

juncture it has been possible to identify some key factors with a bearing on the effectiveness of EC support to the sector, and these are as follows:

- Lack of hard data on which to base firm decisions and apply the 5 evaluation criteria (relevance, impact, effectiveness, efficiency and sustainability), will continue to hamper attempts to evaluate performance and service delivery;
- Harmonisation of policies and programmes is essential for achieving the 3 'C's (consistency, coordination and complementarity);
- A greater degree of realism must be engendered into the application of policies and programmes, and lessons from past evaluations integrated into the design and implementation of future programmes;
- The EC, member states, donors, and the UN family should work with governments to ensure that realistic development targets are set[16];
- Financing agreements should not contain demands or requirements that may be overtaken by political events and cannot be enforced;
- Policies are broadly in line with international standards and there are no significant contradictions or clashes;
- Sector based development should be pursed and the move towards 'working partnerships' with recipient countries broadened and strengthened;
- There are fundamental incompatibilities between EC policies, national and state laws; and,
- The identification and promotion of workable LRRD synergies is paramount if the smooth transition from disaster management to development is to be achieved.

These are the main responses and thematic issues emanating from the field visit to India. At the synthesis stage they will be combined with those identified from the other 6 target countries and consolidated into a single information pool, which will enable the 7 evaluation criteria to be modelled.

[16] There is major concern that the MGDs and WSSD targets will be missed, not only is this important from a national standpoint but also internationally, as this will drag the overall averages down

6 ANNEXES

6.1 List of Documents Consulted

Ref	Generated	Title and Subject	Date/Ref	Comments
EC Family – Country Strategy Paper updates, water and sanitation programmes and projects, evaluations, project preparation, mid term reviews, investment, etc				
1	ECHO	The DIPECHO programme: Reducing the impact of disasters	2003	
2	EC/Aga Khan Foundation	Sustainable Community Based Approaches to Livelihood Enhancement	2004	
3	EC	Monitoring Reports (divers)	2004	
4	Delegation of EC in India	EU and India – Partners in Progress	2003	
5	EC	Bulletin 1 – Results Oriented Monitoring (ROM) – Asia (excluding Central Asia)	2005	
6	ECHO	ECHO at a Glance	2003	
Country Specific - Water laws, acts and statutes, development programmes, poverty reduction strategies, privatisation and decentralisation plans and initiatives, investment etc				
1	Department of Water Resources, Government of Orissa EC	Technical Papers of the Conference on Irrigation Management: Policies and Practices	June 2005	
2	Government of India	The Water (PREVENTION AND CONTROL OF POLLUTION) Act	1974	
3	Government of India	National Water Policy	April 2002	
4	Institute of Economic Growth, Delhi	India's National Agricultural Policy: A Critique	2004	
5	National Institute of Public Finance and Policy, New Delhi	Overlapping Fiscal Domains and Effectiveness of Environmental Policy in India	2004	
6	Development Research and Communications Group	Water Policy and Action Plan for India 2020: An Alternative	November 2002	
7	Government of Himachal Pradesh	Draft State Water Policy	2003	
8	Planning Commission, Government of India	Water Supply and Sanitation – Assessment 2002	2002	
9	Government of India	The 10th Five Year Plan – Overview 2002 – 2007	2002	
10	Government of India	The 10th Five Year Plan – Infrastructure 2002 – 2007	2002	
Development banks, member states and key donors – Country programmes, water and sanitation development policies, projects and initiatives, coordination plans, investment, etc				
1	University of California, Irvine	India: A Test of Global Sustainability	1997	
2	World Bank	India's Pollution Regulatory Structure and Background	1996	

3	GTZ	Best Practices in Rural Water Supply, Minor Irrigation and Natural Resource Management in Himachal Pradesh	2005	
4	GTZ	Watershed Development: A Tool for Climate Change Adaptation	2004	
5	GTZ	Impact and Sustainability of Watershed Management Programme in Bihar	1999	
6	GTZ	Review of Operation and Maintenance of Drinking Water Supply Schemes in Himachal Pradesh	2005	
7	GTZ	Assessment of Existing Acts and Regulations for Water Service Delivery in Himachal Pradesh	2005	
8	GTZ	Our Land, Our Future (CD ROM)		
9	KFW	Rural Water Supply and Sanitation – Implementing Sector Reforms		
10	KFW	Combatting Poverty – Modernizing for the Future		
UN Family - Country programmes, water and sanitation development policies, projects and initiatives, poverty and emergency programmes, coordination plans, investment, etc				
1	UNDP	Development Situation from a Sustainable Human Development Perspective	2005	
2	UNDP	Groundwater Management in Rajasthan: Issues, Perspectives & Policy	2005	
3	UNICEF	Financing the Millennium Development Goals for Domestic Water Supply and Sanitation	2003	
4	UNICEF	Water – A Matter of Life and Health	2005	
5	UNICEF	Watsan – Schools in Development	2002	
6	UNICEF	Watsan – India 2000	2000	
7	UNICEF	Community Participation in Watsan	2001	
8	UNDP	India Human Development Goals (web page)		
NGOs, Private Sector – Water and sanitation sector partnerships, investment, studies, design, construction, monitoring and evaluation operation and maintenance, etc				
1	AKDN[17]	Multi-Sector Rehabilitation & Reconstruction Programme, Mindiana Village Note	2005	
2	AKDN	Multi-Sector Rehabilitation & Reconstruction Programme, Bhalot Village Note	2005	
3	AKDN	Gujarat Earthquake Relief Programme		
4	AKRSP (I)[18]	Training and Capacity Building		
5	AKRSP (I)	Rural Drinking Water Programme – Summary Report	2003	
6	AKRSP (I)	Enhancing Livelihoods – Lessons from the field	2004	
7	AKDN	Voices: Women and Sanitation		

[17] The Aga Khan Development Network
[18] The Aga Khan Rural Support Programme (India)

6.2 Activity Schedule

Tuesday, 21st June	
Afternoon	Discussion about the field phase programme/schedule General issues of the implementation of the evaluation Specific subjects concerning the Indian water sector

Wednesday, 22nd June	
Morning	**Meeting at the EC Delegation's Office** ▪ Mr. Brian O'Neill, Head of Section - Development Cooperation ▪ Mr. Thomas Bain, Project Manager – Development Cooperation
Afternoon	**Meeting at ECHO Office** ▪ Mr. Cristiano F. Mandrà, Head of Office – ECHO/DIPECHO – South Asia ▪ Mr. Martijn van de Rijdt, TA South Asia – Water and Sanitation

Thursday, 23rd June	
Morning	**Departure for Ahmedabad** Briefing meeting at AKRSP (I) [19] office in Ahmedabad ▪ Mr. Apoorva Oza, Chief Executive ▪ Mr. Raman Patel, Development Associate Departure by for AKRSP (I) field office, Sayla, District Surendranagar
Afternoon	**Field visits to programme areas and discussions with community institutions:** *1) Visit to Surendranagar field office, Sayla* ▪ Meeting with Mr. Pankajbhai Dave, Coordinator of the Rain Centre *2) Visit to Kundhada* ▪ Meeting with Mr. Sighabhai Kole, Chief of the Water Committee *3) Visit to Tramboda* ▪ Meeting with Mr. Bhagwambhai Patel, Community Organiser and farmers of the village ▪ Visit to field sites with irrigation and organic farming examples, discussion about technical and economical issues

Friday, 24th June	
Morning	**Visit to Community-Learning Centre for Water Management** ▪ Mrs. Adal Arasi, Specialist in Development Communication **Departure for Anjar**
Afternoon	**Meeting at AKDN[20] office in Anjar with AKDN and WASMO[21] representatives** ▪ Mr. Sanjeev Pandey, Programme Coordinator of Multi-Sector Rehabilitation and Reconstruction Programme

[19] AKRSP – Aga Khan Rural Support Programme (India)
[20] AKDN – Aga Khan Development Network
[21] WASMO – Water and Sanitation Management Organisation

	▪ Mrs. Sharmishta Solanki, Assistant Coordinator **Focus Group Discussion with women from the districts project villages** Interpreter: Mrs. Sharmishta Solanki **Field visit to Mandiana village** ▪ Mr. Raman Patel, Development Associate ▪ Mr. Sanjeev Pandrey, Programme Coordinator of Multi-Sector Rehabilitation and Reconstruction Programme ▪ Mrs. Sharmishta Solanki, Assistant Coordinator **Field visit to Bhalot village** ▪ Mr. Raman Patel, Development Associate ▪ Mr. Sanjeev Pandrey, Programme Coordinator of Multi-Sector Rehabilitation and Reconstruction Programme ▪ Mrs. Sharmishta Solanki, Assistant Coordinator **Return to Anjar** **Meeting with AKDN and WASMO representatives** ▪ Mr. I.K. Chhabra, Project Director of WASMO, Co-Ordination Monitoring and Support Unit (CMSU) ▪ Mr. Sanjeev Pandrey, Programme Coordinator of Multi-Sector Rehabilitation and Reconstruction Programme

Saturday, 25th June	
Morning	Travel to Bhuj, visit to Handicraft Outlets **Departure to Delhi**

Sunday, 26th June	
all day	Work on report

Monday, 27th June	
Morning	**Meeting at UNDP Office** ▪ Neera Burra, Assistant Resident Representative and Social Development Adviser
Afternoon	**Meeting at UNICEF** ▪ Lizette Burgers, Chief Water and Environmental Sanitation Section

Tuesday, 28th June	
Morning	**Meeting at the EC Delegation's Office** ▪ Mrs. Kulan Amin, responsible for the State Partnership Project ▪ Mrs. Kamini Paul, Rural Development Section
Afternoon	**Meeting at the KfW office** ▪ Mr. Nand Kishor Agrawal, Programme Officer Rural Development and Watershed **Meeting at the EC Delegation's Office**

	▪ Mrs. Giulia Buscosi, Advisor (Development Cooperation, NGOs Co-financing)

Wednesday, 29th June	
Morning	**Meeting at the GTZ Office** ▪ Mr. Ravindra Singh, Programme Officer Natural Resource Management
Afternoon	**Meeting at the ADB** ▪ Mr. Alex Jorgensen, Principal Urban Specialist, Head Urban Development **De-briefing at the EC Delegation's Office** ▪ Mr. Dirk Swillens, Deputy Head of Section, Development Co-operation ▪ Mr. Thomas Bain, Project Manager – Development Cooperation

6.3 List of People Met

Name	Organisation	Function
AGRAWAL, Nand Kishor	KFW	Programme Officer Rural Development and Watershed
AMIN, Kulan	EC Del.	Responsible for the State Partnership Project
ARAS, Adal		Specialist in Development Communication, Community Learning Centre for Water Management
BAIN, Thomas	EC Del.	Project Manager – Development Cooperation
BURGERS, Lizette	UNICEF	Chief Water and Environmental Sanitation Section
BURRA, Neera	UNDP	Assistant Resident Representative and Social Development Adviser
BUSCOSI, Giulia	EC Del.	Advisor (Development Cooperation, NGOs Co-financing)
CHABRA, I.K.	WASMO	Co-Ordination Monitoring and Support Unit (CMSU)
JORGENSEN, Alex	ADB	Principal Urban Specialist, Head Urban Development
KOLE, Sighabhai		Chief of the Water Committee Kundhada
MANDRÀ, Cristiano	ECHO	Head of Office – South Asia
O'NEILL, Brian	EC Del.	Head of Section Development Co-operation
OZA, Apoorva	AKRSP	Chief Executive
PANDEY, Sanjeev	AKDN	Programme Coordinator of Multi-Sector Rehabilitation and Reconstruction Programme
PANKAJBHAI, Dave	AKRSP	Coordinator of the Rain Centre
PATEL, Bhagwambhai		Community Organiser and farmers of the village
PATEL, Raman	AKRSP	Development Associate
PAUL, Kamini	EC Del.	Rural Development Section
SINGH, Ravindra	GTZ	Programme Officer Natural Resource Management
SOLANKI, Sharmishta	AKDN	Assistant Coordinator
SWILLENS, Dirk	EC Del.	Deputy Head of Section, Development Co-operation
VAN DE RIJDT, Martijn	ECHO	TA South Asia – Water and Sanitation

6.4 List of water and sanitation projects

1995-2004

Year	Status	CRIS Code	Title	Decision Amount (E)	Contracted Amount (E)	Paid Amount (E)	Sector Heading
1990	Closed	ASIE/1990/ 002-674	Doon Valley Integrated Watershed Management Project.	22,500,000	22,500,000	22,500,000	River development
2000	Ongoing	ENV/2000/ 004-788	DEWATS	714,585	714,585	599,493	Education and training in water supply and sanitation
1991	Ongoing	ASIE/1991/ 002-737	Kerala Minor Irrigation Project	5,800,000	5,535,934	5506105	Sectors non specified
1991	Ongoing	ASIE/1991/ 002-677	Sidmukh & Nohar Irrigation Project .	43,903,843	43,641,461	41,975,056	Sectors non specified
1995	Ongoing	ASIE/1995/ 002-619	ALA 95/16 - Tank Rehabilitation Project in Pondicherry.	6,650,000	5,128,106	4,426,490	Sectors non specified
1994	Ongoing	ASIE/1994/ 000-956/2	Minor irrigation in Orissa	7,500,000	7,379,687	6,088,013	Sectors non specified

List of projects with potential relevance water and sanitation sector

1995-2004

Year	Status	CRIS Code	Title	Decision Amount (E)	Contracted Amount (E)	Paid Amount (E)	Sector Heading
1994	Ongoing	ASIE/1994/ 002-687	Saline land reclamation in Maharashtra Phase II	4,497,831	4,497,831	2,497,831	Rural development
1994	Ongoing	ASIE/1994/ 002-653/3	Transfer of Technologies for Sustainable Development, BAIF.	19,496,311	19,496,311	18,922,074	Rural development
1998	Ongoing	ASIE/1998/ 000-962	STEP, Sustainable Tribal Empowerment Project	13,000,000	12,825,000	3,830,731	Women in development

Year	Status	CRIS Code	Title	Decision Amount (E)	Contracted Amount (E)	Paid Amount (E)	Sector Heading
1999	Ongoing	ENV/1999/ 003-628	Policy Res. & Awareness .. in Env/Health Interface	732,765	732,765	515,601	General environmental protection
2001	Ongoing	ENV/2001/ 003-885	Restoration of the Tropical Dry Evergreen Forest of the Coromandel Coast, India	414,632	414,632	373,169	Environmental education/training
2001	Ongoing	ASIE/2001/ 000-966	Sustainable Community-Based Approaches to Livelihoods Enhancement in Gujarat	25,800,000	25,500,000	4,572,990	Sectors non specified

6.5 Laws Relating to the Use and Regulation of Water Resources and the Environment

Water resources

Andhra Pradesh

- Andhra Pradesh (Andhra Area) Canals and Public Ferries Act, 2 of 1890.
- Andhra Pradesh (Telangana Area) Irrigation Act, 24 of 1357 F.
- Andhra Pradesh (Andhra Area) Irrigation Cess Act, 7 of 1865.
- Andhra Pradesh (Andhra Area) Irrigation Tanks (Improvement) Act, 19 of 1949.
- Andhra Pradesh (Andhra Area) irrigation Works (Levy of Compulsory Water Cess) Act, 24 of 1955.
- Andhra pradesh (Andhra Area) Irrigation Works (Repairs, Improvement and Construction) Act, 18 of 1943.
- Andhra Pradesh (Andhra Area) Land Improvement Schemes (Contour Bunding and Contour Trenching) Act, 22 of 1949.
- Andhra Pradesh Irrigation (Levy of Betterment Contribution) Act, 25 of 1965.
- Hyderabad Irrigation (Betterment Contribution and Inclusion Fees) Act,- 5 of 1952.
- Madras Irrigation Voluntary Cess Act, 13 of 1942.

Assam

- Assam Betterment Fees and Mooring Tax (Dibrugarh) Act, 13 of 1953.
- Assam Embankments and Drainage Act, I of 1954.

Bihar

- Bengal Canals Act, 5 of 1864.
- Bengal Drainage Act, 6 of 1880.
- Bengal Embankment Act, 2 of 1882.
- Bengal Embankments, Act, 6 of 1873.
- Bengal Irrigation Act, 3 of 1876.
- Bihar Emergency Cultivation and Irrigation Act, 22 of 1955.
- Bihar Irrigation and Flood Protection (Betterment Contribution) Act, 28 of 1959.
- Bihar Irrigation Field Channels Act, 1965.
- Bihar Lift Irrigation Act, 16 of 1956.
- Bihar Private Irrigation Works Act 5 of 1922.
- Bihar Public Irrigation and Drainage Works Act, 10 of 1947.
- Jharia Water-Supply Act, 3 of 1914.

Himachal Pradesh

- Himachal Pradesh Minor Canals Act, 1968.

Jammu and Kashmir

- Jammu and Kashmir State Canal and Drainage Act, 1963. Kashmir Valley Embankments Act, 8 of 1992 (1935 A.D.)

Kerala

- Kerala Irrigation Works (Extension of Joint Labour) Act, 1967.

- Kerala Land Development Act, 1964.
- Madras Irrigation (Construction and Levy of Cess) Act, 7 of 1947.
- Madras Irrigation (Levy of Betterment Contribution) Act, 3 of 1955.
- Madras Irrigation Tanks (Improvement) Act, 19 of 1949.Madras
- Irrigation (Voluntary Cess) Act, 13 of 1942.
- Malabar Irrigation Works (Construction and Levy of Cess) Act, 7 of 1947.
- Travancore -Cochin Irrigation Act, 7 of 1956.
- Travancore -Cochin Irrigation Tanks (Preservation and Improvement) Act,23 of 1952.

Madhya Pradesh

- Madhya Pradesh Irrigation Act, 14 of 1931.
- Madhya Pradesh Land Improvement Schemes Act, 10 of 1958.

Maharashtra and Gujarat

- Bombay Irrigation Act, 7 of 1879.
- Bombay Land Improvement Schemes Act, 28 of 1942. Mysore

Karnataka

- Mysore Irrigation Act, 16 of 1965.
- Mysore Irrigation (Levy of Betterment Contribution and Water Rates) Act, 28 of 1957.

Orissa

- Orissa Betterment Charges Act, 2 of 1956.
- Orissa Irrigation Act, 14 of 1959.
- Orissa Public Embankment (Construction and Improvement) Act, 13 pf 1951.

Punjab

- Northern India Canal and Drainage Act, 8 of 1873.
- Punjab Betterment Charges and Acreage Rates Act, 2 of 1953. Punjab
- Minor Canals Act, 3 of 1905.
- Punjab State Tube-well Act, 21 of 1954.

Rajasthan

- Rajasthan Irrigation and Drainage Act, 21 of 1954.
- Rajasthan Lands Special Irrigation Charges Act, 25 of 1953.
- Rajasthan Minor Irrigation Works Act, 12 1953.

Tamil Nadu

- Bhavani Reservoir Irrigation Cess Act, 16 of 1933.
- Madras (Additional Assessment and Additional Water-Cess) Act, of 1963.
- Madras Irrigation Cess Act, 7 of 1865.
- Madras Irrigation (Levy of Betterment Contribution) Act, 3 of 1955.
- Madras Irrigation Tanks (Improvement) Act, 19 of 1949.
- Madras Irrigation (Voluntary Cess) Act, 13 of 1942.
- Madras Irrigation Works (Construction of Field Bothies) Act, 25 of 1959.
- Madras Irrigation Works (Repairs, Improvement and Construction) Act, 18 of 1943.

- Madras Land Improvement Schemes Act, 31 of 1959.
- Madras Land Revenue and Water Cess (Surcharge) Act, 34 of 1965.
- Malabar Irrigation .works (Construction and Levy of Cess) Act, 7 of 1947.
- Mettur Canal Irrigation Cess Act, 17 of 1953.
- Periyar Irrigation Tanks (Preservation) Act, 5 of 1934.

Uttar Pradesh

- Northern India Canal and Drainage Act, 8 of 1873.
- United Provinces Private Irrigation Works Act, 2 of 1920.
- United Provinces State Tube-wells Act, 12 of 1936.
- Uttar Pradesh Kshetra Samitis and Zila Parishads Adhiniyam, 33 of 1961.
- Uttar pradesh Minor Irrigation Works Act, 1 of 1920
- Uttar pradesh Panchyat Raj Act, 26 of 1947.

West Bengal

- Bengal Canals Act, 5 of 1864.
- Bengal Development Act, 16 of 1935
- Bengal Drainage Act, 6 of 1880.
- Bengal Embankments Act, 6 of 1873.
- Bengal Embankment Act, 2 of 1882.
- Bengal Embankment (Sunderbans) Act, 4 of 1915. Bengal Irrigation Act, 3 of 1876.
- Bengal Tanks Improvement Act, 15 of 1939.
- West Bengal Closing of Canals Act, of 1959.
- West Bengal Irrigation (Imposition of Water Rates Valley Corporation Water) Act, 26 of 1959.

Environment

- The Water (Prevention and Control of Pollution) Act, 1974.
- The Water (Prevention and Control of Pollution) Rules, 1975 – Schedules.
- Central Board for the Prevention and Control of Water.
- Pollution (Procedure for Transaction of Business) Rules, 1975.
- The Water (Prevention and Control Of Pollution) CESS Act, 1977.
- The Water (Prevention and Control of Pollution) CESS Rules, 1978 and Annexures
- Central Water Laboratory.
- The Water (Prevention and Control of Pollution) Cess (Amendment) Act, 2003.
- Hazardous Wastes (Management and Handling) Rules, 1989.
- Municipal Solid Wastes (Management & Handling) Rules, 2000.
- Battery (Management and Handling) Rules, 2000.
- Delegation of Powers to the Central Pollution Control Board.
- Environmental Impact Assessment Notifications.
- Public Hearing Notifications.
- The Coastal Regulation Zone Notifications.
- Coastal Regulation Zone Notification dated May 21st 2002.
- Coastal Regulation Zone Notification (As Amended Up to 2001).
- Aquaculture Authority – Notifications.
- Eco-Labelling Notifications.

- The Public Liability Insurance Act,1991.
- The Public Liability Insurance Rules,1991.
- The National Environmental TribunalAct,1995.
- The National Environment Appellate Authority Act, 1997.

- Provisions of Indian Penal Code.
- Provisions of Criminal Procedure Code.
- Provisions of Factories Act, 1948.

EVALUATION SECTORIELLE EAU ET ASSAINISSEMENT

Note de mission pays

Maroc

Auteurs: Jean-Claude Ceuppens
Abdeljalil Derj

Juillet 2005

Evaluation pour la Commission Européenne

TABLE DES MATIERES

ABREVIATIONS ET ACRONYMES

ABH	Agence de Bassin Hydraulique
AEPA	Alimentation en Eau Potable et Assainissement
AFD	Agence Française de Développement
AT	Assistance Technique
AUE	Association d'Usagers de l'Eau
BAD	Banque Africaine de Développement
BEI	Banque Européenne d'Investissement
CE	Commission/Communauté Européenne
CF	Convention de Financement
CIE	Conseil Interministériel de l'Eau
CSEC	Conseil Supérieur de l'Eau et du Climat
DGH	Direction Générale de l'Hydraulique
DH	Dirham marocain (1 € = 10,76 Dh en juillet 2005)
DPH	Domaine Public Hydraulique
DRH	Direction Régionale de l'Hydraulique
DSRP	Document Stratégique de Réduction de la Pauvreté
CSP/DSP	Document de Stratégie Pays
EUWI	European Union Water Initiative
FAS	Facilité d'Ajustement Structurel
GTZ	Gesellschaft für Technische Zusammenarbeit
IEC	Information, Education et Communication
KfW	Kreditanstalt für Wiederaufbau
MADR	Ministère de l'Agriculture et du Développement Rural
MATEE	Ministère de l'Aménagement du Territoire, de l'Eau et de l'Environnement
ME	Million d'Euro
ONE	Office National de l'Electricité
ONEP	Office National de l'Eau Potable
ORMVA	Office Régional de Mise en Valeur Agricole
PAGER	Programme d'approvisionnement en eau potable des populations rurales
PNE	Plan National de l'Eau
PIN	Programme Indicatif National
STEP	Station d'épuration
UE	Union européenne

RESUME

Cette note résume les éléments récoltés au Maroc du 18/07 au 27/07/2005, essentiellement à Rabat et lors de 2 jours de visites de terrain auprès de projets MEDA dans la région de Meknès.

Le Maroc est le premier bénéficiaire des fonds MEDA et le montant cumulé des décaissements à son profit était (en fin 2004) de 1,014 milliards d'euros. Le cadre macro-économique du Maroc évolue positivement, mais la situation sociale reste marquée par de fortes disparités dans l'accès aux services de base (eau, électricité, logement, éducation, santé) et le taux de chômage urbain dépasse les 20%, (essentiellement jeunes et femmes).

Outre des programmes d'hydraulique et d'assainissement en milieux rural et urbain, l'UE finance un important programme d'ajustement structurel (FAS-eau). L'objectif du programme est i) d'améliorer la gestion de l'eau en réformant en profondeur le secteur, par une gestion intégrée des ressources en eau, mise en oeuvre à l'échelle de basins hydrographiques, ii) de mettre en place une régulation tarifaire des usages de l'eau et de l'assainissement et iii) de réforme de la gestion de l'eau agricole. Cependant, beaucoup reste à faire pour les mettre en application sur le terrain. La Commission apporte un levier incontestable d'aide à l'élaboration des réformes dans le secteur de l'eau et de l'assainissement au Maroc et la concretisation de leur mise en oeuvre. Elle aide également à créer une synergie et des consensus entre les différentes instances gouvernementales sur des orientations clés.

Si le FAS a été jugé de façon unanime comme un élément positif d'amélioration du secteur, il n'en a pas pour autant permis l'application de la Loi 10-95 portant sur une réforme majeure du secteur national de l'eau et de l'assainissement. "L'appat" de 120 ME n'a cependant pas pleinement joué son rôle. Ce n'est pas le montant qui importe mais la démarche. Une partie des fonds FAS aurait pu être consacré à des investissements au bénéfice des populations défavorisées. On constate ainsi de plus en plus un accroissement des allocations de fonds pour des interventions de type institutionnel au détriment d'actions ciblées directement vers les bénéficiaires finaux du service de l'eau et de l'assainissement.

Les subventions de l'UE participent assez peu au secteur de l'assainissement (des latrines publiques, quelques petits réseaux) et ce sont essentiellement les prêts de la BEI qui permettent la réalisation d'infrastructures d'égouttage et de stations primaires d'épuration des eaux. La composante « eau et santé » des projets de l'UE s'en tient plus à la phase sensibilisation, une mise à disposition de matériel pédagogique et d'équipements de suivi de qualité de l'eau qu'une réalisation effective de travaux.

Les populations bénéficiaires aspirent plus à des branchements individuels que collectifs (BF/PMH). Le tarif demandé doit correspondre à une amélioration du service apprécié effectivement par le bénéficiaire: le niveau de participation initiale n'est pas un gage d'engagement ultérieur d'acceptation de paiement du service fourni. C'est plus le sentiment de la qualité de l'usage que le principe d'accès qui importe.

La multiplicité des acteurs dans le domaine de l'eau ne facilite pas l'intégration des concours européens. Les interventions se font souvent de manière assez cloisonnée, aussi bien entre maîtrises d'ouvrage différentes qu'entre bailleurs. Plus d'intégration est nécessaire, en particulier sous l'angle de la gestion des ressources en eau. De même, une meilleure coordination des bailleurs serait très utile, ne serait-ce que pour assurer plus d'homogénéité et de cohérence entre les conditions suspensives ou les procédures de décaissement respectives.

1. INTRODUCTION

1.1 Objectifs et approche générale de l'évaluation

La mission a eu pour objectif d'apprécier et d'évaluer dans quelle mesure les politiques de l'UE dans le secteur de l'eau et de l'assainissement ont pu se concrétiser au sein des projets réalisés dans le cadre de sa coopération financière au Maroc. Données et informations ont été réunies en vue d'évaluer pour ses actions:

- La pertinence, l'impact, l'efficience et la pérennité;
- L'oobjectif et la cohérence au regard des politiques dans le secteur eau et assainissement de l'UE et ses autres politiques;
- La coordination et la complémentarité des actions de l'UE par rapport aux autres actions et stratégies menées par les Etats Membres et d'autres bailleurs de fonds.

Cette note résume les éléments récoltés au Maroc. La mission s'est déroulée du 18/07 au 27/07/2005, essentiellement à Rabat et lors de 2 jours de visites de terrain auprès de projets d'hydraulique et d'assainissement financés par les fonds MEDA dans la région de Meknès.

La mission a démarré et s'est achevée avec une réunion avec la délégation de l'UE à Rabat. Ces réunions ont permis de préciser le sens de la mission, d'obtenir des informations sur les programmes et activités en cours, de définir un programme de visite de terrain avec les partenaires nationaux et enfin de rendre compte et d'échanger les premières appréciations et commentaires des partenaires. Bien que fort occupées et en période de congé pour beaucoup, l'accueil réservé par les personnes rencontrées à la délégation a été très positif et nous tenons à les remercier pour leur disponibilité et intérêt.

Un consultant national[1] a participé à la mission en assurant les contacts préalables et rendez-vous avec les principaux intervenants dans le secteur, administrations et programmes, ainsi que les autres bailleurs de fonds européens ou internationaux, présents dans ce secteur. Ce consultant national a participé à toutes les réunions et aux visites de terrain.

1.2 Raisonnement de choix du pays

Depuis 1996, les dons de l'Union Européenne au Maroc n'ont cessé d'augmenter illustrant le partenariat privilégié dont le Maroc bénéficie de la part de l'UE. Le Maroc est le premier bénéficiaire des fonds MEDA et le montant cumulé des décaissements à son profit était (en fin 2004) de 1,014 milliards d'euros[2]. Le programme prévisionnel 2005-2006 se monte à 275 ME. L'UE est principalement présente dans l'appui au secteur privé[3], le développement rural, la santé, les travaux d'infrastructures routières et l'appui aux réformes institutionnelles. Ces appuis aux réformes engagées par le Maroc se poursuivront avec la mise en place de la nouvelle Politique de Voisinage de l'UE qui prévoit un appui ciblé et différencié de partenariat, notamment la possibilité d'une intégration dans le marché unique selon la formule "tout sauf les institutions".

[1] Abdeljalil DERJ
[2] MEDA 1 (1996-1999): 476,840 ME et MEDA 2 (2000-2006): 537,396 ME.
[3] Essentiellement par la biais de la BEI.

Les priorités pour l'action de l'UE, telles qu'identifiées dans le document de stratégie pays (CSP) de 2002-2004 et décrites dans le PIN 2002-2006 (422 ME) comprennent:

- Un volet économique et commercial (36%)[4];
- Un volet social: lutte contre la pauvreté, amélioration des conditions de vie des populations défavorisées (habitat, activités productives, infrastructures sociales de base[5]), valorisation des ressources humaines (47%);
- Une gestion de la migration (aspects sécuritaires de gestion des contrôles frontaliers)[6];
- La protection de l'environnement;
- Les droits de l'homme et la démocratisation de la société.

Outre des programmes d'hydraulique et d'assainissement en milieux rural et urbain, l'UE finance actuellement un important programme d'ajustement structurel (FAS- du secteur de l'eau au Maroc pour un montant de 120 ME[7].

2. COLLECTE DES DONNEES

2.1 Méthodes utilisées, disponibilité, limites et contraintes

La méthode utilisée durant la mission a compris les étapes suivantes :

- Une réunion de démarrage avec la délégation pour présenter le programme, préparer les visites de terrain, identifier les principales personnes à contacter et établir un programme de visite de projets ;
- Une collecte des principaux documents de politique sectorielle, institutions et programmes nationaux de développement dans le secteur, rapports spécifiques au secteur de l'eau et de l'assainissement, particulièrement ceux disponibles dans le cadre de financement de l'UE;
- Rencontres avec les principaux partenaires et acteurs du secteur, tant au niveau des institutions nationales que des autres partenaires présents dans le secteur, surtout l'Allemagne, la France et la Belgique ;
- Rencontres avec les bénéficiaires sur le terrain et les directions régionales intervenant dans les projets en cours, ce qui a permis d'apprécier dans quelle mesure les besoins et souhaits des bénéficiaires ont pu être atteints, l'impact des actions menées par rapport aux objectifs poursuivis, la pérennité et l'adéquation des actions et services rendus.

Une liste des documents consultés est reprise en annexe A. La mission a pu bénéficier d'un nombre raisonnable de documents généraux et de rapports de projets utiles à l'objet de la mission.

[4] Y comprise la libéralisation progressive de l'agriculture, principale consommatrice des ressources en eau, et dont l'existence est menacée à défaut d'investissements de modernisation.
[5] Particulièrement l'approvisionnement de la population rurale en eau potable et assainissement.
[6] Cet aspect est présenté comme action de la lutte contre la pauvreté.
[7] Voir 5.1 et annexe D 8.4.1

2.2 Entretiens

La mission a eu l'occasion de rencontrer quelques partenaires institutionnels majeurs dans le secteur de l'E&A, dont le Ministère de l'Aménagement du Territoire et de l'Environnement (MATEE), des opérateurs du secteur (ONEP), des représentants des coopérations internationales de pays membres de l'UE (France, Allemagne, Belgique) et autres (BID, BM) et plusieurs groupements villageois ou personnalités lors des visites de terrain. Le temps alloué à la mission a été trop court pour développer des entretiens approfondis avec les partenaires des programmes et institutions nationales, et seuls un survol et des impressions peuvent se dégager de cette approche. Les résultats des analyses sont en fonction des moyens alloués à l'exercice.

Les entretiens ont été menés selon la logique d'évaluation et de méthodologie développée, adaptée aux spécificités de l'interlocuteur rencontré.

2.3 Visites de terrain

Après discussion avec les chargés de programme de l'UE et les partenaires en charge de l'exécution des programmes MEDA dans le secteur (ONEP essentiellement) pour l'organisation et les contacts locaux, la mission a pu se rendre dans les régions de Meknès et de Fès et prendre connaissance des projets suivants :

- Station de traitement des eaux usées d'Ain Aoustat, par lagunage, dessablage et bassins aérobiques pour 36.000 équivalents habitants (3 ME) ;
- Programme AEP de 242 douars de la province de Moulay Yacoub (coût total du projet 20,6 ME) pour une population estimée à 25.000 habitants : visite des douars de El Khrabcha de la Commune d'Ain Chket et de Frakhet de la Commune d'Ain Beda.

D'autre part ces déplacements ont permis de rendre visite aux directions régionales de l'ONEP et ABH du bassin du Sebou.

3. CONTEXTE SECTORIEL

Le cadre macro-économique du Maroc évolue positivement, mais la situation sociale reste marquée par de fortes disparités dans l'accès aux services de base (eau, électricité, logement, éducation, santé) et le taux de chômage urbain dépasse les 20%, (essentiellement jeunes et femmes). Ces disparités sont encore plus importantes lorsque l'on examine l'accès des femmes à ces services, notamment à l'éducation.

3.1 L'eau au Maroc

Les ressources en eau renouvelables sont estimées au Maroc[8], en moyenne, à 29 milliards de m^3 par an. Près de 90% de ces ressources sont aujourd'hui mobilisées, grâce à un effort considérable du Gouvernement marocain pour la construction de barrages depuis les années 60. Ce seuil atteint quasiment le total de la mobilisation possible des ressources en eau.

La majeure partie de ces ressources (85% en bonne année, 60 à 70% en année sèche) est employée pour l'irrigation. L'eau potable en utilise en moyenne 12%, et l'industrie

[8] Rapport du groupe thématique UE - Eau – Septembre 2004

3%. On note cependant des taux de perte importants pour l'eau potable (30 à 50% dans les réseaux), et une mauvaise efficience globale de l'irrigation.

Ces ressources connaissent une grande variabilité. Après les grosses pluies, les risques d'inondation sont importants (une quarantaine de morts à Mohammedia en décembre 2002). Inversement, en année sèche, l'apport annuel peut tomber à seulement 30% du cumul moyen. De plus, elles sont mal réparties, seulement deux bassins sur 8 étant aujourd'hui excédentaires. Les nappes souterraines sont surexploitées, notamment dans les bassins déficitaires. Le Maroc atteint d'ores et déjà le seuil de pénurie d'eau fixé par le PNUD à 1.000 m^3/hab./an. La situation va empirer progressivement : en 2020, la moyenne sera de 750 m^3/hab./an, et 35% de la population marocaine sera au-dessous du seuil critique de 500 m^3/hab./an (dit seuil de « pénurie absolue »).

Les ressources en eau connaissent également une dégradation sérieuse, du fait de la pollution domestique (seulement 5% des effluents urbains sont traités), industrielle (résidus agroalimentaires, métaux lourds), et agricole (nitrates, pesticides). L'érosion des sols aggrave par ailleurs la turbidité des eaux, ce qui entraîne un envasement important des barrages. Le coût de la dégradation des ressources naturelles au Maroc est estimé par le Secrétariat d'Etat à l'environnement à 20 Mds de Dh par an, soit plus de 8% du PIB. Dans ce chiffre, la seule dégradation des ressources en eau représenterait 15 Mds de Dh par an, soit 6% du PIB.

3.2 Politique du Gouvernement

L'évolution majeure de politique sectorielle a été matérialisée par la promulgation de la Loi sur l'eau, en 1995[9]. Cette loi, résolument moderne, reconnaît l'eau comme bien social et économique, ainsi que les principes « pollueur-payeur » et « utilisateur-payeur ». Après des décennies de gestion de l'offre au Maroc via la construction de barrages, elle a instauré la gestion par la demande, et a conduit à la mise en place en place des 7 agences de bassin hydraulique (ABH). Ces agences, qui ont démarré leurs activités en 2002, sont responsables de la gestion intégrée et concertée des ressources en eau à l'échelle du bassin-versant. Elles perçoivent des redevances de la part des utilisateurs et des préleveurs, et doivent les redistribuer sous la forme de soutiens aux actions d'économie d'eau et de dépollution.

On note également la mise en place du Conseil supérieur de l'eau et du climat (CSEC), ainsi que du Conseil interministériel de l'eau, qui doivent améliorer la coordination entre les administrations et les acteurs de l'eau. Le regroupement récent des trois secteurs de l'aménagement du territoire, de l'eau et de l'environnement en un ministère unique (Ministère de l'Aménagement du Territoire de l'Eau et de l'Environnement - MATEE) va également dans le sens d'une meilleure synergie, et d'une approche transversale de ce secteur.

La facilité d'ajustement structurel de l'Union européenne sur le secteur de l'eau (FAS-Eau) a contribué à accélérer ces réformes. Cependant, beaucoup reste à faire pour les mettre en application sur le terrain: (i) poursuivre la promulgation des textes d'application, en particulier les textes sur les redevances ; (ii) renforcer l'intégration des politiques de l'eau, via la coordination des plans directeurs nationaux ; (iii) clarifier les rôles et les stratégies des acteurs, administrations comme établissements publics.

[9] Dite "Loi 10-95"

3.3 Agences de bassin hydraulique

Suite à la création en 1997 de l'agence pilote de l'Oum Er Rbia, les 6 autres agences de bassin hydraulique (ABH) ont été mises en place en 2001 et sont opérationnelles à partir de début 2002. Elles rencontrent un certain nombre de contraintes et de difficultés:

- image encore trop liée aux anciennes directions régionales de l'hydraulique, effort important restant à faire pour les faire connaître et renforcer leur crédibilité,
- difficulté à percevoir des redevances dont la plupart des textes d'application ne sont pas encore parus (aujourd'hui, seul l'ONE paye aux ABH ses redevances de prélèvement),
- discussions toujours en cours avec le ministère de l'agriculture pour les modalités de paiement de la redevance par les Offices régionaux de mise en valeur agricole (ORMVA),
- niveau actuel des redevances insuffisant pour les pérenniser à terme.

Trois défis à court terme doivent être atteints pour leur permettre d'être opérationnelles : (i) la promulgation des textes d'application manquants de la Loi sur l'eau, en liaison avec le FAS-Eau ; (ii) le renforcement de la crédibilité des ABH via le financement d'actions en faveur des économies d'eau et de la dépollution ; et (iii) le renforcement de la mise en réseau national et international de ces agences (partenariats avec des agences du Nord et du Sud).

3.4 Protection contre les inondations

Les risques au Maroc sont réels. Le schéma directeur national de protection contre les inondations répertorie plus de 400 sites à risques, liés aux aléas climatiques et à des situations de vulnérabilité. Les responsabilités institutionnelles à cet égard sont fragmentées, entre l'aménagement du territoire, l'urbanisme, les collectivités locales, les ABH. Un plan national de protection contre les inondations est en cours d'élaboration. Il devrait mettre l'accent (i) sur la mise en place d'un cadre institutionnel clarifiant les rôles et responsabilités des acteurs ; et (ii) sur la gestion des risques : optimisation de la gestion des retenues, systèmes de suivi et d'alerte, respect du domaine public hydraulique et urbanisation mieux contrôlée.

3.5 Eau agricole

Le secteur irrigué est au Maroc à la fois le premier utilisateur de l'eau (70 à 85% des ressources en fonction des disponibilités, l'eau agricole étant la « variable d'ajustement » de l'utilisation des ressources en eau), et un pourvoyeur important d'emplois (33% des actifs ruraux). Une incertitude majeure pèse sur ce secteur, dans la perspective des accords d'association avec l'Union européenne. Le niveau actuel de protection agricole va diminuer, ce qui imposera des évolutions importantes (et difficiles) des systèmes d'exploitation pour renforcer la compétitivité de l'agriculture marocaine.

On note cependant l'effort considérable déployé par le ministère de l'agriculture pour améliorer le recouvrement des coûts de l'eau d'irrigation. Aujourd'hui, malgré un taux insuffisant de recouvrement à court terme, le paiement de l'eau par les agriculteurs atteint le niveau des coûts récurrents. En outre, le ministère cherche à renforcer la mise à niveau de l'irrigation, par des réformes institutionnelles majeures en cours de préparation. Il apparaît clairement que le Maroc a des atouts considérables pour l'agriculture irriguée, pour peu que les réformes soient poursuivies et qu'un effort important soit exercé pour sa mise à niveau.

3.6 Eau potable

Les intervenants sont multiples sur le secteur urbain (ONEP, concessions, régies, municipalités), pour lequel le taux d'accès à l'eau potable approche aujourd'hui les 100% (pour un taux de desserte de 89%). Pour le secteur rural, la mise en œuvre du programme PAGER, au bilan mitigé, a tout de même permis de passer de 14% à 50% d'accès en dix ans. L'inégalité urbaine/rurale reste encore importante. Les besoins d'investissement sont énormes. Ils étaient estimés pour 2003-2007 à un minimum de 600 ME pour les villes, et de 700 ME pour les douars. L'objectif fixé par le Gouvernement est d'atteindre 92% de taux d'accès à l'eau potable en zone rurale en 2007. Le système tarifaire actuellement appliqué est complexe, centralisé, et peu équitable. Il a atteint ses limites, et ne permet plus un développement pérenne du secteur.

La stratégie proposée est, pour le secteur rural, de mieux intégrer l'approvisionnement en eau potable dans une politique décentralisée d'aménagement du territoire et de développement économique. Il s'agit également de réduire les coûts, tant en termes d'investissement que d'exploitation, via des modes de gestion innovants et la promotion de Partenariats Public-Privés (PPP) locaux.

3.7 Assainissement

La sérieuse dégradation des réseaux de collecte, et l'absence ou le mauvais fonctionnement des stations d'épuration, conduisent à une situation désastreuse. Moins de 5% des effluents domestiques et industriels sont traités, ce qui représente une menace grave sur l'environnement et la santé publique. Les tarifs d'assainissement payés aujourd'hui par la population sont insuffisants pour couvrir les coûts. Le service d'assainissement est aujourd'hui largement déficitaire.

Les besoins en financement sont de l'ordre de 8 ME sur 2003-2007. Un effort important est déjà fait par le Gouvernement et les collectivités locales, mais reste limité par rapport à ces besoins. L'option est de promouvoir les délégations de service public, dans un cadre légal à clarifier, pour améliorer l'efficience des systèmes d'assainissement. Enfin, il s'agit de mieux intégrer assainissement et adduction en eau potable, de mettre en place des mesures d'urgence de protection des ressources en eau, et de développer l'assainissement non collectif en milieu rural.

4. INTERVENTIONS UE-ETATS MEMBRES

4.1 UE - BEI

La déclaration de Barcelone[10], adoptée le 28 novembre 1995 lors de la conférence euro-méditerranéenne des ministres des affaires étrangères, a marqué la naissance du Partenariat euro-méditerranéen. Cette initiative conjointe visait trois objectifs:

- définir un espace commun de paix et de stabilité à travers un dialogue renforcé dans les domaines de la politique et de la sécurité;
- bâtir une zone de prospérité partagée à travers un partenariat économique et financier et la mise en place progressive d'une zone de libre-échange;

[10] Déclaration de Barcelone et Stratégie commune adoptée par le Conseil Européen de Feira en juin 2000

- encourager le rapprochement des peuples à travers un partenariat dans les domaines social, culturel et humain visant à favoriser la compréhension et les échanges entre des cultures et des sociétés différentes.

Ce processus est soutenu par un réseau de relations bilatérales entre chaque partenaire et l'UE, relations traduites en Accords d'association qui prévoient le dialogue politique, le libre échange entre chaque partenaire et l'UE, et diverses formes de coopération. Le programme MEDA[11] fournit l'aide financière nécessaire à la réalisation des objectifs des Accords d'association et du Processus de Barcelone et se concentre sur quelques objectifs clés.

Le domaine de l'eau est un secteur privilégié d'intervention de la coopération européenne, et porte principalement sur l'eau potable, l'agriculture et l'assainissement. Si la construction de barrages ne fait plus partie des priorités, en revanche, la gestion des ressources en eau via l'appui aux agences de bassin constitue un point d'affectation en net développement.

Une description des programmes et des projets MEDA/UE en cours dans le secteur de l'E&A est donnée en annexe D, soit succinctement:

- Programme d'Ajustement structurel de l'eau (FAS Eau) – (UE 120 ME);
- Appui au Développement rural intégré (DRI-GRN) – (UE 28,4 ME);
- Aménagement hydro-agricole du périmètre de Sahla au N de la province de Taounate (UE 28,66 ME);
- Eau et Assainissement en milieu rural (PAGER) – (UE 40 ME);
- Gestion des déchets solides à Essaouira (UE 2,9 ME);
- Développement rural participatif dans le Moyen Atlas central (UE 9 ME);

Depuis les années 1990 la Banque Européenne d'Investissement (BEI) a poursuivi le développement des infrastructures eau et assainissement au Maroc, et elle s'est focalisé aux villes de tailles moyennes, dont les services électricité, eau et assainissements ont été transférés ou sont en cours d'être transférés vers des établissements parapublics à caractère autonome (les régies). Dans une première phase de 1996 à 2000 la Banque a, en coopération avec l'Agence Française de Développement (AFD), pu développer les projets d'assainissement d'Agadir, Marrakech, Settat et Mekhnès:

- Assainissement de villes – STEP d'Oujda (BEI 7 ME);
- ONEP IV Protection de l'environnement – 7 STEP nord et centre (BEI 4,79 ME);
- Dépollution de la centrale électrique de Mohammedia (BEI 9 ME);
- Assainissement de villes moyennes construction de STEP phases 1 & 2 - (BEI 11 ME phase 1 et BEI 20,4 ME phase 2).

L'arrivée de la Facilité euro méditerranéenne d'investissement et de partenariat (FEMIP[12]) représente une évolution importante. La FEMIP permet dans un premier temps de réaliser des études complémentaires d'impact environnemental en se basant sur la législation européenne environnementale, de dépollution industrielle et de révision des tarifs d'assainissement. Pour la période 2004 - 2007, huit villes (Oujda, Safi, Beni

[11] Convention Cadre MEDA du 28/8/1997.

[12] 2003

Mellal, El Jedida, Kenitra, Nador, Larache et Taza) profitent des fonds de support de la FEMIP, non seulement pour la préparation et la réalisation des projets techniques locaux, mais aussi pour une formation de gestion d'entreprises.

4.2 Etats membres - Autres bailleurs

Les Etats Membres principalement actifs dans le secteur de l'eau et de l'assainissement sont l'Allemagne, la Belgique, l'Espagne et la France.

Les interventions de l'Agence Française de Développement (AFD) dans le secteur ont porté ces dernières années sur 3 sous-secteurs: l'irrigation (118ME), avec l'appui aux offices régionaux de mise en valeur agricole comme l'ORMVA du Gharb et aux petits périmètres irrigués, l'approvisionnement des populations en eau potable (106 ME), via l'ONEP et le PAGER, et l'assainissement avec un soutien aux régies municipales (46 ME). Ces projets représentent 45% des engagements de l'AFD des 10 dernières années pour le secteur public au Maroc.

La coopération allemande constitue actuellement le premier bailleur de fonds de l'ONEP. Elle agit au travers de 3 mécanismes:

- Coopération financière (dont l'agence d'exécution est la KfW): l'enveloppe des fonds alloués à l'ONEP au titre des conventions signées se chiffre à 318,5 ME, pour la réalisation de systèmes d'AEP dans des petites et moyennes villes du Royaume (une soixantaine).
- Coopération technique (dont l'agence d'exécution est la GTZ) est accordée sous forme de dons à travers la participation d'AT notamment dans le domaine de l'assainissement et de mise en place de périmètres de protection des ressources en eau.
- Fonds d'études et d'expertise (dont la gestion est confiée à la KfW) pour la réalisation d'études spécifiques de préparation de projets d'investissements (étude socio-économique, d'eutrophisation, qualité des nappes, schémas directeurs etc..).

Les programmes de la Banque Mondiale visent principalement la réduction de la pauvreté et une croissance soutenable, l'appui au développement rural, notamment dans les zones non irriguées, le renforcement du secteur privé, la gestion durable de l'environnement, l'amélioration des services sociaux de base comme la santé, l'éducation et les infrastructures rurales.

La Banque Islamique de Développement (BID) finance le développement social par la mise en valeur des ressources humaines et l'agriculture. La Banque Africaine de Développement (BAD) finance l'enseignement, le renouvellement des réseaux de transport et d'électricité, l'assainissement et l'approvisionnement en eau potable. Depuis 1999, la coopération non remboursable du Japon au Maroc vise également le secteur de l'eau potable.

5. CONSTATS PRELIMINAIRES

5.1 Appui de l'UE à l'amélioration de l'accès à l'eau et l'assainissement de base (EQ 1)

Le secteur est caractérisé par une forte inégalité d'accès à l'eau potable entre le milieu rural (50%) et le milieu urbain où il est généralisé à l'ensemble de la population. Toutefois, le taux de desserte par branchements individuels en zone urbaine n'atteint que 89%, les quartiers péri-urbains, les douars en zone semi-urbaine et les bidonvilles étant également alimentés par des bornes fontaines ou des solutions alternatives de type revente.

L'appui de l'UE à l'amélioration de l'accès à l'eau potable et l'assainissement se traduit sous deux axes principaux : le financement de projets d'infrastructures d'hydraulique et d'assainissement essentiellement en milieu rural (PAGER), et des subventions d'appui à des réformes institutionnelles majeures dans le secteur (FAS Eau). Dans les deux cas cet appui concourt à une amélioration des accès à l'E&A, par un apport d'infrastructures indispensables d'une part, et d'autre part par une consolidation des environnements opérationnel et institutionnel de ces infrastructures.

Le PAGER comprend 2 volets : des travaux de forages et d'AEP régionales avec l'extension de réseaux ONEP pour la réalisation de 350 bornes-fontaines, chacune destinée à environ 300 habitants, et des travaux de réseaux d'assainissement et la construction de petites stations d'épuration par lagunage dans 3 centres de moyenne importance (environ 20 à 30.000 habitants). La composante eau potable vise à garantir une dotation de 25l/j/p au minimum. La composante assainissement a pour objectif d'améliorer l'hygiène de vie des populations et de protéger les ressources en eau contre la pollution.

Le FAS – Eau a comme objectif d'améliorer la gestion de l'eau par une allocation économiquement rationnelle des ressources en eau et une préservation des capacités et des qualités de celles-ci. Il vise à rendre effective l'application de la Loi cadre 10-95 sur l'eau aux niveaux institutionnel et réglementaire, réduire les coûts à la charge de l'Etat et augmenter l'efficacité des institutions chargées de la gestion de l'eau et de l'investissement. Les activités et objectifs de ces deux programmes se voient logiquement en compléments mutuels et l'on peut considérer cette approche de financement comme pertinente.

Deux points méritent cependant d'être relevés. Le premier est le déséquilibre de fonds entre ces deux programmes : 40 ME pour le PAGER et 120 ME pour le FAS. Comme on l'a vu dans la description du contexte national, les besoins en investissements sont encore énormes et une population toujours nombreuse souffre d'un manque régulier d'infrastructures d'accès à l'eau et surtout à l'assainissement. On peut se demander s'il était bien nécessaire d'allouer un montant si élevé à titre de motivation pour une mise en œuvre plus rapide d'une politique déjà décidée et approuvée par le gouvernement. Si le FAS a été jugé de façon unanime comme un élément positif d'amélioration du secteur, il n'en a pas pour autant permis l'application de la Loi 10-95 : celle-ci reste encore sous plusieurs points à mettre en œuvre. La « carotte » n'a pas pleinement joué son rôle et il est particulier de noter que la BAD vient d'allouer au Maroc un FAS – Eau semblable, dont les modalités d'exécution correspondent pratiquement mot pour mot à celles de la

FAS de l'UE[13]. Ce n'est pas le montant qui importe mais la démarche. Une partie des fonds FAS aurait pu être consacré à des investissements au bénéfice des populations défavorisées. On constate de plus en plus un accroissement des allocations de fonds pour des interventions de types institutionnelles (moins contraignantes pour le bailleur) au détriment d'actions utiles directement aux bénéficiaires finaux du service de l'eau et de l'assainissement (la population). Cette tendance continue à se marquer dans la programmation 2005-2006 dans laquelle le PAGER est réduit à environ 20 ME[14].

Le second point à relever est l'importance du choix du destinataire des fonds de type FAS. Le Ministère des Finances a été retenu comme destinataire-gestionnaire des fonds FAS, les ABH devant cependant être les bénéficiaires pratiques de ces fonds puisque ce sont celles-ci qui sont censées mettre en application la Loi 10-95. Dans la réalité, les directeurs des ABH manifestent tous une certaine amertume devant le presque vide en termes de retombées financières à leur niveau. Les fonds alloués ne semblent pas avoir atteint leurs bénéficiaires réels. Il est dès lors important de veiller attentivement au choix du bénéficiaire des fonds et à tout le moins à la traçabilité de l'usage de ceux-ci.

La mise en œuvre du PAGER a permis sans conteste d'augmenter significativement le taux de desserte. A titre d'exemple, grâce au PAGER dans les 11 provinces concernées, le taux de desserte moyen est passé de 43% à près de 60% entre 1997 et 2001. Cependant, il reste:

- des taux d'accès encore très inégaux entre les provinces,
- un manque de transparence dans le coût réel des réseaux et la répartition effective du financement entre Etat, communes,
- une tarification adoptée par les Associations d'Usagers de l'Eau (AUE) ne correspondant pas aux objectifs initiaux du PAGER, et remettant en cause la durabilité des infrastructures financées (sous-entretien chronique, non-renouvellement de l'équipement mécanique et électrique du point d'eau etc.),
- un manque de souplesse dans le mode de gestion proposé aux AUE, qui va à l'encontre du principe même de l'approche participative: la gestion directe par l'AUE est la seule solution proposée aux habitants, alors que souvent ils préfèreraient une gestion par l'ONEP ou par des opérateurs privés locaux.

Pour ce qui concerne l'assainissement, les subventions de l'UE y participent peu (des latrines publiques, quelques petits réseaux et STEP en lagunage), et ce sont essentiellement les prêts de la BEI (sur bonification d'intérêts) qui permettent la réalisation d'infrastructures d'égouttage et de stations d'épuration des eaux. L'UE finance - modestement - la réalisation d'infrastructures d'assainissement: le PAGER réalise une centaine de latrines publiques et un réseau d'égouttage avec construction de stations d'épuration[15] pour 2 centres d'environ 25.000 habitants chacun. La BEI participe plus activement à la construction de ce type d'infrastructures (STEP de Oujda, assainissement et construction de STEP de 11 villes moyennes).

[13] Conditionnalités de seconde phase.
[14] Entretiens avec la délégation et le MAE
[15] Lagunes anaérobiques et aérobiques

EVALUATION OF THE WATER AND SANITATION SECTOR

Field Visit Country Note

Bolivia

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September 2005

Evaluation for the European Commission

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ABBREVIATIONS AND ACRONYMS

ALA	Asian and Latin America
EC Office	Delegation of the European Commission in Bolivia
CN	Country Note
CSP	Country Strategy Paper
DIGESBA	General Directorate for Basic Sanitation
EC	European Commission
EDF	European Development Fund
EPSA's	Entities for Providing Potable Water and Sanitary Sewage Services
EU	European Union
Evaluation	Water and Sanitation Sector Evaluation
FNDR	National Fund for Regional Development
FPS	Social and Productive Investment National Fund
Government	Government of Bolivia
IADB	Inter American Development Bank
IWRM	Integrated Water Resources Management
M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals
M&E	Monitoring and Evaluation
NGOs	Non Governmental Organisations
O&M	Operation and Maintenance
Team	Evaluation Team
TGN	National General Treasury
ToR	Terms of Reference
UN	United Nations
Unit	Evaluation Unit
W&S	Water and Sanitation

Euro 1.00 = $P 10.00

EXECUTIVE SUMMARY

The field visit to Bolivia has applied a standard investigation format and analytical methodology in line with the approach set out in the Desk Phase Report. This CN summarises the visit findings, and commences with a brief description of the Evaluation goals, the role of the respective actors, and confirmation of the rational behind the country's selection. The data collection tools used to identify and assemble information have been described, and a brief sector profile establishes the legal framework and environment via which EC funded W&S polices and programmes are implemented. The CN contains a number of preliminary findings based on the 9 Evaluation questions, and closes with a set of conclusions.

The EC are important actors in the W&S sector, and have supported a range of interventions over many years. The most relevant have been reviewed, and while limited analytical work has been carried out, it has been possible to identify a number of key policy issues to feed into the Evaluation synthesis. Focus group discussions supported this process, and a site visit to Santa Cruz to view an ongoing EC funded W&S project allowed interviews with a range of beneficiaries and stakeholders. While lacking detail in some areas the following key W&S issues have been identified:

- Project performance for sector-funded initiatives is hard to access, and the application of best practices for these operating modalities is outside the ToR. Consideration should be given to the drafting and issue of guidance on this matter, perhaps as a revised Chapter 11, Evaluation, of the Strategic Guidelines;
- Lack of hard data, and consistently poor M&E procedures, continue to hamper attempts by evaluators to apply the 5 evaluation criteria (relevance, impact, effectiveness, efficiency and sustainability) successfully;
- Harmonisation of policies, programmes and projects is essential for achieving the 3 'C's (consistency, coordination and complementarity), and the general view is that with some exceptions this is being achieved;
- Lessons from previous evaluations are not being seriously addressed, or built into future programmes and projects, with the result that 'programme and project institutional memory' is fragile;
- Policies are broadly in line with international standards, and there are no significant contradictions or clashes, but from its position of influence in the W&S sector, the Delegation should pursue the adoption of IWRM with greater vigour;
- Sustainability is a problem in Bolivia and EC policies must address the issue of social W&S service provision, and accommodate this trend sympathetically;
- Sector development is successful in streamlining service delivery, and an improvement on previous approaches, but contains weaknesses and needs refinement – particularly the rules under which co-donor's participate; and,
- The move towards 'working partnerships' with recipient countries should be broadened and wherever necessary strengthened.

Although the above sectoral issues are Bolivia specific, experience of W&S evaluations generally, and the field visits to the other target countries, indicates that to a lesser or greater extent, many are replicated. Having now identified the relevant key factors the challenge will be to apply the evaluation analysis methodology outlined in the Desk Phase Report consistently to ensure that responses are proportionate and logical.

1 INTRODUCTION

1.1 Evaluation overview, objectives and general approach

Responsibility for evaluation in the European Commission (EC) rests with the Joint Evaluation Unit (Unit) of the EuropeAid Cooperation Office (AIDCO). Its 2 major aims are to 'respond to the EC's obligation to account for its external co-operation activities and its management of funds', and to 'analyse critically its past and current actions, policies and policy conditionalities in such a way as to identify key lessons learned, which can be fed back into current and future strategic policy formation and programming'. In accordance with this requirement, the Unit has commissioned a Water and Sanitation (W&S) Sector Evaluation (Evaluation), which in addition to its specific goals, forms part of a major enterprise to assist the Unit in developing processes and procedures to shape future evaluation methodologies.

An important requirement of the Evaluation is for the Evaluation Team (Team) to undertake field visits to 7 target countries. The countries selected include Cape Verde, India, Russia, Samoa, South Africa, Morocco and Bolivia. The purpose of these visits is to test and evaluate the manner in which W&S policies and plans financed by the EC are being implemented in the context of overall development cooperation at country level. Information and data shall be collected in order to evaluate:

- Relevance, impact, effectiveness, efficiency and sustainability;
- Consistency and internal coherence between W&S sectoral support and other European Union (EU) policies; and,
- Coordination and complementarity of EC actions and strategies with policies of member states and donors.

This note summarises the findings of the field visit to Bolivia, which took place between 9th and 18th of August 2005. The Team Leader undertook the mission with an Associate Expert and a National Consultant[1] who was appointed to assist the mission and prepare the groundwork in advance. This initial phase included the identification of W&S sector stakeholders, member states, development banks, UN agencies and Non Governmental Organisations (NGOs), departments and ministries engaged in the W&S sector. A list of national policies, programmes and projects was prepared, preliminary arrangements were put in hand for a focus group discussion, and a field visit to inspect and meet with beneficiaries of a typical EC funded W&S project was planned.

1.2 Reasons for case study country selection

How and on what basis the 7 target countries were selected has been described in the Evaluation Terms of Reference (ToR). The main selection criteria that were applied in order of priority are as follows:

1. Countries being (in the present or in the past) among the major recipients of EC aid in the W&S sector;
2. Representative of each region - Bolivia is an Asian and Latin America (ALA) country;
3. Having W&S as a focal sector; and,
4. Not having been covered by the latest evaluations conducted by the Unit.

[1] Rolando Cadima Padilla

The Team were given the opportunity to suggest alternative countries at the Inception Note phase, but after a study of the selection logic and process, this option was not considered appropriate. In the case of Bolivia there was an opportunity to compare differing development approaches (i.e. call for proposals, and sectoral investments support) as well as the influence EC policies had on national W&S strategies, programmes and projects

As a guide for the field visits country portfolios were prepared for each of the 7 target countries and those for Bolivia are included in the Desk Phase Report (See Annexes 6.4 and 6.5 of this CN). One of the first tasks of the Team was to review the portfolio for Bolivia, and this exercise demonstrated that much of the data was accurate, and that the projects summary was a reliable description of the EC's involvement in the W&S sector.

2 DATA COLLECTION

2.1 Methods used, availability, limits and potential constraints

The main data collection techniques applied during the field visit was comprised of literature reviews, briefings, debriefings, structured and unstructured interviews, group meetings and Focus Group discussions. A field visit to a representative EC partnered project allowed the range of data collection procedures to be expanded, and interviews with key stakeholders and beneficiaries conducted. The combination of these different data collection tools and methods allowed the collection of quantitative and qualitative information on the W&S sector. This was assimilated and used to address the 9 Evaluation Questions (See Section 4).

Because of the scale of EC funding of the W&S sector in Bolivia, and the fact that sector support and call for proposals are being used concurrently, it was possible to obtain a comprehensive overview of these different implementation approaches. Being the only Spanish speaking country in the field visit programme was always envisaged as a challenge, and the combined skills of the Team were necessary to overcome the language constraints. On balance this was accomplished satisfactory and most of the key actors were English speaking, and some of the documents were in Spanish and English.

2.2 Meetings and briefings

The Delegation of the European Commission in Bolivia (EC Office) were advised by the Unit of the Team's arrival in advance, had been provided with a copy of the ToR, and were familiar with the aims of the field visit. The mission commenced with a briefing of the staff engaged in the sector on the objectives and structure of the Evaluation. Assistance with the collection of information on the principal stakeholders, programmes and projects was requested, and the activity schedule discussed and agreed. Preparatory arrangements had already been put in hand for a focus group meetings, which would assemble all the main actors and enable a joint review of EC funded W&S initiatives to be conducted. A number of key documents and references were identified and made available by the EC Office.

In addition to the actors attending the focus group meetings, interviews were held with Government of Bolivia (Government) officers, and personnel responsible for managing and implementing projects that had a pertinent W&S component or influence. Past, current, and future projects and initiatives were reviewed and information was acquired on their implementation modalities, relative strengths and weaknesses. Links to national government programmes and policies were explored, with the emphasis on EC funded initiatives in particular, but not exclusively.

Using information on other donor and member state involvement contained in the Country Strategy Paper[2] (CSP) as a guide (Ref Annexes 6 and 6 of CSP), the main W&S stakeholders were identified and met. The most relevant projects were examined and assessed for synergies, clashes, overlap or possible contradiction, in the light of EC sectoral investments. During the site visit numerous meetings were held with villagers, politicians, local administrative functionaries, and women's representatives benefiting

[2] Bolivia, Country Strategy Paper, 17th May 2002

from the EC funded Proyecto PRAS, in Santa Cruz. A detailed list of the Persons met during the field visit is included as Annex 6.3.

At the end of the mission a debriefing took place at the EC Office and the Team's preliminary findings were presented. Details of the site visit and information on the persons and organisations visited during the mission were provided.

2.3 Structured and unstructured interviews

Interviewing the main stakeholders and beneficiaries formed an important component of the field visit data collection process, and was accomplished through numerous structured and unstructured meetings. These were aimed at gathering general information on the following topics:

- The W&S situation in the country – past, current and projected constraints and challenges;
- The role of the EC – policies, programmes and projects (past, current and future), and the performance of sector investments versus project implementation using the call for proposals procedures;
- Involvement of other donors and member states in the sector;
- Institutional and organisational relationships – linkages, roles and responsibilities; and,
- The engagement and role of beneficiaries in W&S service delivery.

The topics served as the basis for identifying, isolating, and gathering a range of information on specific W&S issues. The structured interviews were undertaken using the 9 key Evaluation questions, and were supported by unstructured interviews with stakeholders, beneficiaries and other actors engaged in the W&S sector. The latter interviews were used to test and verify information gathered from the former.

2.4 Site visits

After much deliberation and discussion with the Delegation over the project most likely to provide suitable evidence, the Team undertook a field visit to the Proyecto PRAS, in Santa Cruz. The primary aim of the visit was to review a representative EC funded project with a prominent W&S component. Additionally, the recent tendency of migration from the Altiplano to the major cities in Bolivia, and the resulting growth of peri urban populations were taken into consideration in the selection of the site visit. A number of other possible projects were considered but were either logistically inconvenient or completed some time previous. Projects in the latter category would have enabled the collection of information on relevance, impact and sustainability, but many of the project implementers have since dispersed, and effectiveness, efficiency and sustainability would have proved difficult to assess. Details of the visit itinerary, persons met, groups interviewed, and places visited are included as Annex 6.3

The site visit was concerned with meeting office staff (national and international) and reviewing project performance in the light of the 5 key evaluation criteria (relevance, impact, effectiveness, efficiency and sustainability). Visits to representative project sites were conducted with supervision staff, and the appropriateness, quality, and management of works currently under construction were viewed. Meetings were held with the contractors, and managers of the cooperatives responsible for W&S service delivery, and a focus group was conducted comprised of beneficiaries, women and community government representatives. The meetings and interviews were based on

the 9 Evaluation questions and the outcome has been assimilated into the General Findings (See Section 4).

2.5 Focus group discussion

Focus groups are used to augment and support other data collection tools and are a scientifically recognised, reliable, and valid method of social research. It's in the nature of focus group discussions that information, while perhaps at times emotive, and often viewed from a singular perspective, is qualitative by nature and rarely quantitative. There were 2 focus group discussions organised during this field mission. These were conducted with a range of actors involved in the W&S sector.

The **first focus group** discussion was held at project level (PRAS, Santa Cruz), with 10 participants. They included 5 female and future beneficiaries of the project, 3 female communication trainers from ANESAPA plus their male coordinator, and the male president of the Neighbourhood's Union in the project area. The focus group was conducted in the Communication Centre of ANESAPA in 'Villa 1° de Mayo', Santa Cruz, and its primary objective was to carry out an open exchange of information, and gather qualitative and in-depth data on project related W&S service delivery.

As the project works in the area were not yet delivering services to beneficiaries, the main discussion was focused on acquiring an insight into the pre project negotiations (engagement, mobilisation, cost recovery plans, etc), and getting a 'feel' for community expectations. The discussion was also used to gather data on the project's relevance, examine the socio-economic status of the beneficiaries, and see how gender aspects were being addressed. The focus group concentrated on evaluation questions 1, 2, 3 and 6 (See Section 4) but in the event only a limited amount of relevant information was gained, due to the following:

- It had been difficult to get hold of women beneficiaries so early in the evening because of their family duties;
- The project is not yet running and beneficiaries can only give limited view on future expectations, being therefore not able to compare an ex ante with a ex post project situation, and;
- The information level of the invited persons was limited, showing a clear gap in the project's objective, which is to deliver a continuous flow of information to the beneficiaries.

The **second focus group** discussion was held at national level with 5 senior male representatives of the General Directorate for Basic Sanitation (DIGESBA), a key Government department. They deal with project management, national norms and technology, sustainable development, enterprise development and handle relations with foreign agencies. A moderator's guide was prepared for the discussion (See Annex 6.7), which was conducted at the Vice-ministry of Basic Services in La Paz and chaired by the General Services Director, Ministry of Services and Public Works. The primary objective of this focus group was to promote an open exchange of information, and obtain the participant's appreciation and views on the effectiveness of the EC's contribution to national policies and objectives. Discussions addressed the implications of the '3Cs' (consistency, coordination and complementarity) as regards W&S service delivery, inside and outside the EC's direct sphere of influence, to 'benchmark' previously obtained quantitative and qualitative information.

The 9 evaluation questions formed the discussion agenda (See Section 4), and after a brief introduction, the participants were asked to consider and reply to the questions in turn. They were also asked to give their views on the responses of other actors where applicable. The questions, the respective assessment criteria, and the primary reasons for their selection are briefly summarised below:

- Questions 1, 2 and 3 are designed to assess the impact and effectiveness of EC support to W&S, and one of these questions addresses the major MDGs;
- Questions 4 and 5 deal with IWRM, one focusing on improving water governance in accordance with IWRM, the other on the adoption of IWRM in programmes;
- Question 6 deals with gender, which is a major cross cutting issue associated with the water sector;
- Question 7 addresses the efficiency of W&S delivery programmes, and,
- Questions 8 and 9 deal with issues related to coherence, co-ordination complementarity and as such aim to address 2 of the 3 major purposes of this Evaluation.

For the second focus group there was a free flow of information and the discussion was considered a success. The Team received a wide range of valid information on the W&S landscape, the EC's role (financial and managerial) in service delivery, the involvement of donors and member states, the institutional and organisational environment, and the engagement and role of beneficiaries in the implementation process. This has been used to frame the preliminary findings (See Section 4).

3 BRIEF SECTOR PROFILE

3.1 Laws, acts and legal statues

One of the most significant laws in Bolivia is the **Ley de Participación Popular, No. 1551 del 20/04/1994 (Law of Popular Participation, No. 1551, April 20th 1994)**, which relates to the rights of citizens, and defines their role in civil society. It recognizes, promotes and consolidates popular participation incorporating the indigenous, peasant and urban communities in the legal, political and economical activities of the country. The law is designed to improve the quality of life of all Bolivians, women and men, through fairer distribution and better administration of public resources. It strengthens existing political and economical instruments so as to enhance representative democracy, supports the concept of participation and the provision of equal opportunities for all. The law also recognizes the legal status of basic territorial and municipality organizations (urban and rural), promotes their introduction into public entities and the concept of participatory planning, and establishes people's control through working committees.

Under Law 1551 provincial entities have been established as the territorial jurisdiction of municipal government, increased political powers and incremental resources have been assigned to municipalities, along with responsibility for education, health, sports, communal roads and mini irrigation schemes, civil infrastructure. The corresponding obligations of management, maintenance and renovation responsibilities have also been transferred.

The law also establishes the principle of egalitarian distribution, and the same amount of resources per inhabitant is transferred to the 311 municipalities in proportion to their population. The aim of this initiative is to correct historical socio-economic disparities among urban and rural areas, and the current distribution of resources is equivalent to 20% of the total national tax collection.

Another significant law with regard to public infrastructure is the **Ley de Municipalidades, No. 2028 del 28/10/1999 (Law of Municipalities, No 2028 of October 28th, 1999)**, which regulates the Municipal Regimen established in Title VI, Part III, Articles 200-206 of the State Political Constitution and brings the Organic Law of Municipalities, No. 1113, October 19th 1989, into line with the provisions of the Law of Popular Participation (Law 1551).

Law 2028 establishes municipal entities, and grants them corresponding jurisdiction and powers. It authorises them to build, equip and maintain public infrastructure in the sectors of education, health, culture, sports, micro-irrigation, basic sanitation[3], and urban or local roads. The municipalities regulate the infrastructure sector, and control the functions of all public and private sector enterprises.

The law and corresponding amendment governing Basic Sanitation Superintendence (SISAB) is **Ley de Servicios de Agua Potable y Alcantarillado Sanitario, No 2029 del 29/10/99Ley Modificatoria a la Ley 2029, No. 2066 del 11/04/2000 (Law of Potable Water and Sewage Services, No 2029, October, 10th 1999 and, Amendment to Law 2029, No. 2066, April, 11th 2000)**. It is designed to grant and control concessions, and licenses to Entities and Providers of Potable Water and Sanitary Sewerage Services (EPSAS's), establishes rights and obligations of users and operators, determines

[3] Basic sanitation is understood to include access to secure water for human consumption, sewage or on site sanitation solutions, and solid waste management

sanctions and infractions, and establishes the basis for tariff determinations, rates and fees. Law 2066 is mandated to grant concessions and authorisations for water resources usage, sanitary works development, and water consumption.

The primary law relating to poverty is **Ley del Dialogo 2000, No 2235 del 31/07/2001 (Law of Year 2000 Dialogue, No 2235, July 31st, 2001)** and establishes guidelines to promote even-handed development and poverty reduction activities in accordance with the Bolivian Strategy for Poverty Reduction. It emphasises the rights of women, indigenous populations and marginal inhabitants located in urban districts, and facilitates the management structure and functions of public entities to ensure proper execution of national poverty reduction programmes.

Law 2235 defines criteria for allocating funds from multilateral public debt alleviation to poverty reduction oriented programmes applying the National Compensation Policy. It describes mechanisms for social management of poverty alleviation programmes and strategies, and institutionalises the National Dialogue as a permanent mechanism for the design, monitoring and adjustment of poverty related policies. In addition, Law 2235 establishes the National Fund for Regional Development (FNDR), which is a non-banking public agency fostering local and regional development through loans to qualified municipalities and prefectures, and the Social and Productive Investment National Fund. The latter is designed to implement poverty reduction initiatives through grants transferred to municipalities for studies and investments targeting the poorer and most vulnerable population. Both funds, which include in their mandate the execution of W&S projects and programmes, are under a common directory - the Funds Unique Directory in the Ministry of the Presidency.

The **Ley de Transferencia de Recursos Públicos a las EPSA's, No 2649 de 8/04/2004 (Law for Public Financial Resources Transfer to EPSA´s, No 2649, April, 8th, 2004)** establishes that Entities for Providing Potable Water and Sanitary Sewage Services (EPSA's). They are eligible for loans and grants, and entitled to direct public resources transfer from external agencies, and other financial sources for the delivery of W&S services and infrastructure execution.

The **Decreto Supremo No 27486: Constituye la Fundación para el Apoyo a la Sostenibilidad en Saneamiento Básico – FUNDASAB-, 14/05/ 2004 (Supreme Decree No 27486: Constitutes the Foundation to Support Sustainability in Basic Sanitation- FUNDASAB-, May 14th, 2004)** is constituted to offer technical assistance and promote W&S sustainability. Technical assistance will be provided by EPSA's, municipalities and sectoral national entities. Under this decree capacity building for EPSA's will be offered, human resources trained, and the deployment of appropriate technology encouraged.

Establishing suitable guidelines for the concerned ministries to develop operational, technological, financial and institutional components of the Sectoral Financial Policy established by Law No 2649 is the primary purpose of **Decreto Supremo No 27487: Política Financiera del Sector de Agua Potable y Alcantarillado Sanitario – PFS- en sus Componentes Operativo, Técnico, Financiero e Institucional, de 14/05/2004 (Supreme Decree No 27487: Financial Policy for the Potable Water and Sanitary Sewage Sector – FPS- in its Operative, Technical, Financial and Institutional Components, May 14th, 2004).** This is an important item of W&S legislation, and links the National Program for Institutional Modernization (Programa Nacional de Modernización Institucional – PMI) to the PFS. It pursues institutional restructuring, efficient management of EPSA's, financial and environmental sustainability, and encourages uniformity when setting tariffs. Financial access to loans, grants and technical assistance is made to EPSA's through FUNDASAB.

As regards environmental legislation, **Ley del Medio Ambiente, No 1333 del 27/04/1992 (Environmental Law, No 1333 of April, 4th 1992** is the primary legal vehicle, and alone with its regulations (SD No 24176 of December 8th, 1995), it addresses issues related to:

- Environmental management;
- Environmental prevention and control;
- Atmospheric contamination;
- Water resources contamination;
- Dangerous substances; and,
- Solid waste management.

With respect to the W&S sector, Law 1333 promotes planning, protection and conservation of water resources in line with the principles of Integrated Water Resources Management (IWRM). It establishes regulations for the exploitation and protection of water resources, deals with the quality and quantity of surface and ground water resources, manages usage and consumption, and regulates water contamination.

For projects, the law requires that all development initiatives should include an Environmental File complied by an expert and presented to the respective environmental authority (Prefecture Environmental Unit). The file should contain information on environmental affects; define the category, and specify the type of Environmental Impact Assessment to be carried out before receiving final project approval.

In 1994 a Vice Ministry for Women was created to promote, and incorporate gender as a cross cutting in national development programmes. In 2005, the **Plan of Public Policies for the Comprehensive Extension of Women's Rights**[4] was approved with the aim of reducing the prevailing disparity among men and women in all aspects of society. In April 2002, the Vice Ministry of Basic Services issued for use on all PROAGUAS projects **The Guide for Communal Development in Water and Sanitary Projects for Populations of less than 10,000 Inhabitants**[5]. Part 2.1 of the guide establishes gender as a cross cutting issue, and requires that there should be 'equal opportunity for men and women to actively participate in the development of W&S projects'. The FPS is the national agency responsible for ensuring that the guide is applied, and used by project executors. The Vice Ministry of Basic Services encourages other organizations to adopt and apply the guide.

3.2 Governance, administrative arrangements, roles and responsibilities.

3.2.1 Water and sanitation sector

In Bolivia organisational responsibilities for the W&S sector are established on 4 distinct levels. The general scope and corresponding financial flow chart is described on Annex 6.8 attached. At central level Supreme Decree No 27732, September 15th 2004, which adapts the former Executive Organisation Law, has established the national sector

[4] Plan de Políticas Públicas para el Ejercicio Pleno de los Derechos de la Mujer
[5] Guía de Desarrollo Comunitario para Proyectos de Agua y Saneamiento en Comunidades con Poblaciones Menores a 10,000 habitantes

administrative arrangements. The Ministry of Services and Public Works is a key entity and has the 3 following vice-ministries;

- Transportation;
- Basic Services; and,
- Electricity, alternative energies and telecommunications.

The Basic Services General Director is located Under Basic Services, and has 3 directors with areas of specific responsibility. These are Sustainability and Enterprise Development, Norms and Technology, and Projects Control and Management. At central level responsibilities are concerned with the following:

- Formulation of policies, plans, national strategies, and regulations;
- Control and management of potable water, human waste disposal, sanitation, drainage and solid waste services; and,
- Sustainability, ethics and transparency.

Bolivia is comprised of 9 prefectures, and in accordance with DS 24447, December 20th, 1996, a Basic Sanitation Departmental Unit (later renamed the Housing and Basic Sanitation Unit), is located in each of the 311 municipalities, which make up the prefectures. They also have a Municipal Internal Technical Unit. Both of these units have joint responsibility for W&S sector service delivery.

According to Law No 2066 the prefectures, through their management units, are responsible for preparing W&S departmental plans and programmes in line with national policies and strategies. They are also required to control and supervise project implementation, liase with governmental and NGOs performing W& S activities, and provide technical assistance to municipalities and EPSA's. Under the same law, municipalities are responsible for developing plans and programmes to deliver W&S services, contribute to the Monitoring and Evaluation (M&E) of EPSA's, and provide technical assistance. In cases where services are provided directly, the municipalities are required to apply approved tariffs, and ensure economical and environmental sustainability.

At the local level, the Basic Sanitation Superintendent regulates EPSA's. The latter are allowed to charge tariffs and fees for services they provide, suspend services, and levy penalties in accordance with the prevailing laws and regulations. They are obliged to provide quality services, expand coverage, preserve the environment in accordance with Law 1333, and deal with wastewater as required.

The principal functions and responsibilities of the Basic Sanitation Superintendent are to grant EPSA's concessions and licenses for W&S service provision in specific areas, and observe the rights and obligations of all parties according to the law. They are also required to approve and maintain quality standards, expand coverage, meet development goals, and control fees and tariffs. The latter are to be charged to users according to the approved rates. Finally, the Basic Sanitation Superintendent has the power to apply sanctions and penalties established in contracts, and is required to report to the environmental authority any infractions of the environmental law and its regulations.

3.2.2 Financial and donor relationships

Until approximately 2001, foreign grants and loans to finance specific W&S projects and programmes were transferred through the Ministry of Foreign Relations and the Ministry of Treasury (See Annex 6.7). These went directly to the major municipalities, or alternatively, to municipalities through intermediate national funds. Of these the Social and Productive Investment National Fund (FPS) manages grants to poor and small municipalities (up to 10,000 inhabitants) while the FNDR manages loans to the larger municipalities.

After 2001, due to sectoral consolidation and restructuring, foreign agencies and donors agreed to strengthen W&S sector entities, and finance infrastructure, social and institutional building capacity projects through the Basic Services Vice ministry. The one exception being for ongoing loans engaged directly through the FNDR. Resources allocated through the Basic Services Vice ministry are now transferred by specific Coordination or Executions Units, sometimes directly to Prefectures or Municipalities (in the case of EC funded projects) or to municipalities through FPS intermediation (in the case of Inter American Development Bank (IADB) funded PROAGUAS).

In the light of recent experience, the Basic Services Vice ministry initiative, the promulgation of the EPSA´s Public Financial Resources Transfer Law No 2649 and complementary Supreme Decrees Nos. 27486 and 27487, the W&S sector is undergoing reform. The new approach is designed around a 'financial basket' approach whereby funds made available by state and international stakeholders can be directly accessed by EPSA´s. An adjacent organisation (Fundación para el Apoyo a la Sostenibilidad en Saneamiento Básico - FUNDASAB) has been established to offer consultancy services for institutional and social capacity building, according to specific needs.

3.3 National strategies, programmes and plans

Bolivia is a primary beneficiary of EC support. The EU cooperation programme commenced in the mid 1970's with support to NGO projects, and moved during the 1980's to food and technical and financial cooperation. The division of tasks between donors influenced the EC's selection of its current development priorities. In the Memorandum of Understanding, 2001, attached to the CSP (See Reference 2) the following specific areas of support were identified:

- Social sectors, education, health and sanitation;
- Physical regional integration;
- Alternative development;
- Economic cooperation; and,
- Food security.

In the social sectors, the EC will not initiate any new health or education projects, because these sectors are already well covered by other donors, and in particular by the member states. On the other hand other donors have chosen the W&S sector as a focal sector because there is a clearly identified need, and it is poorly cover. For

mainstreaming thematic issues, the Delegation agreed in March 2001 to an initiative to appoint a 'lead donor' for each. The 'lead donor' shall advise on policy, and decide on the best approach for including these issues in the sector programmes. At this stage the United Kingdom has agreed to 'lead' on gender issues. Other 'lead donors' will be appointed to cover human rights, and the environment.

In 2004, the EC focussed its activities on the W&S sector in the cities of Cobija and the prefecture of Santa Cruz through the Proyecto de Agua y Saneamiento en el Departamento de Pando (Euro 7.5 million), and the Rehabilitación de las redes de Agua Potable y Saneamiento de la Ciudad de Santa Cruz (Euro 20 million). The latter project has been extended for 15 months, and is now programmed for completion in December 2006. Numerous reasons have been given for the delay, including incompatible design and contracting standards, staffing problems, etc. Other EC funded W&S sectoral initiatives were the Proyecto de Agua y Saneamiento en el Departemento del Beni – PRAS BENI (Euro 6 million) and the Proyecto de Apoyo al Sector de la Higiene y Salud de Base – PROHISABA (Euro 25 million).

One important step, initiated under the former programming phase, is the Proyecto Tri-Nacional para la Cuenca del Río Pilcomayo. With a total budget of Euro 20.6 million and an EC contribution of Euro 2.6 million, the project's overall objective is to improve the living conditions of those living in the Río Pilcomayo watershed, and protect the natural environmental. The project promotes regional integration, and includes the Argentinean and Paraguayan authorities.

The Programa de Apoyo Sectorial en el Abastecimiento y Saneamiento – PASAAS, started in 2004. It has an important EC financing contribution (Euro 51.5 million), and forms part of the 2002-2006 programme. The EC have played an important role in establishing PASAAS, which is the cornerstone of the new cooperation strategy, based on a sector wide approach. Signed on 4th October 2004, PASAAS supports the implementation of sectoral reforms initiated by the Vice-Ministry of Basic Sanitation. These are designed to help develop new sectoral policies by 2006, attract investment, and improve the management of public finances. Disbursements for year 2005 stand at Euro 11.5 million.

The FUNDASAB has been created to provide technical assistance for institutional strengthening. They actively promote the Government's W&S policies, and tackle the problem of poor investment sustainability, and channel resources to improve W&S infrastructure more effectively. The programme's budget is delivered through the National General Treasury (TGN), which permits the Vice ministry of Basic Services to accomplish with the requirements in the W&S sector. In 2004 the EC disbursed Euro 15.5 million to the TGN.

Another EC supported project with at least one W&S component, and currently being implemented, is the Proyecto de Apoyo a la Reforma Educativa, PAR El Alto - focussing on education in the city of El Alto. The project belongs to the former planning period and disbursements for 2004 were about Euro 4 million for each. The EC has also started to support the Alternative Development Strategy, which has small W&S components. These initiatives are located in the coca-growing region of the Chapare[6] and in the work-force expulsion zones of the Altiplano and High Valleys of Cochabamba[7].

[6] Programa de desarrollo de los valles de Arque and Tapacari – PRODEVAT and Programa de apoyo a la estrategia de desarrollo alternativo en el Chapare - PRAEDAC

[7] Programa Quinoa Potosí – PROQUIPO, and Programa de autodesarrollo campesino, proyecto de transferencia - PAC LA PAZ and Apoyo a la pequena explotación minera – APEMIN

As far as the Food Security operations are concerned, these have benefited the target population living in conditions of 'food insecurity' either through projects implemented at the Municipal level, in the spirit of the Popular Participation and Administrative Decentralisation Laws, or through sectoral programmes managed by the Ministry of Agriculture. The Programa de Apoyo a la Seguridad Alimentaria (PASA) is managed by Government, and constitutes the main food security operation. Many of the elements have a bearing on the W&S sector. While a small operation is financed directly through NGOs, the programme consists of 3 main components. The budget assigned to PASA 1 is about Euro 80 million allocated as follows:

- Institutional support (Euro 5.5 million);
- Investments (Euro 59 million); and,
- Micro-finance (Eurp 15.5 million).

The PASA programme is considered one of the important pillars of EC cooperation in Bolivia, and finance for PASA 2 (2005-2008) is Euro 14 million. The total foreseen expenditure will amount to Euro 34 million.

3.4 Programmes and projects

In Bolivia, numerous donors besides the EC have been, and continue to be active in the water resources sector. These include Germany, Japan, Canada, the Netherlands, Switzerland and the Scandinavian countries. Multilateral donors and development banks active in the W&S sector include KfW, the IADB, the World Bank and the United Nations (UN) family (i.e. FAO, UNICEF, etc). The main actors in the W&S sector, and brief details of their programmes, are described in Annex 6.6.

Cooperation and coordination among the W&S programmes supported by the different donors is relatively good, and stakeholders maintain a regular dialogue. A good example is the Basins Management Programme (Plan Nacional de Cuencas), which is being executed under an agreement with the Ministry of Sustainable Development by Sweden, Holland, Switzerland and Germany. Using a multi sectoral approach, the general objectives of the programme are to contribute to poverty reduction, promote sustainable development, and introduce and apply IWRM river basin management concepts.

Through SIDA, Sweden support the Vice-Ministry of Basic Services, and provide technical assistance to PROAT. This is a national initiative aimed at institutional strengthening and (inter) sectoral coordination within the municipal actors involved in the W&S sector.

Of the Latin-American countries, Bolivia has received priority support from German cooperation for more than 25 years. At the present moment GTZ support the Programa de Agua Potable y Alcantarillado Sanitario en Pequeñas y Medianas Ciudades - PROAPAC. The programme implements its actions through 4 components at the macro, meso and micro level as follows:

- Assessment of sector policies and strategies;
- Socio-political management of basic sanitation;
- Technical assistance services in basic sanitation; and,
- Integrated development of W&S services in medium sized cities.

The PROAPAC programme supports the technical elaboration of strategies like the Sectoral Financing Policy, and provides assistance and training to the FUNDASAB. The aim is to build capacity in the EPSAs so that they can provide high quality and sustainable W&S services delivery. The programme counterparts are ANESAPA, which assists the EPSAs to improve their services. A German consultancy supports institutional strengthening of SISAB, and the Servicio de Apoyo a la Sostenibilidad en Saneamiento Básico - SAS, which focuses on human resources development, enterprise development and the promotion of social-political management initiatives.

UNICEF is cooperating jointly with Sweden in a water, sanitation, hygiene and environment project (PROANDES). It's being implemented in the poorest areas of the country with high numbers of indigenous population, representing almost 10% of the rural population. The work is centred on small rural communities, the majority being below 2,000 inhabitants. PROANDES implements drinking water and sanitation projects, makes use of appropriate solutions (i.e. ecological latrines for households and schools and solar showers), and has a community-strengthening component. Sustainability levels in the rural areas are reportedly high, unlike the urban and peri urban areas, and this model will most probably be replicated.

4 PRELIMINARY FINDINGS

4.1 Support to Water Supply and Sanitation

To what extent has EC support facilitated improved and sustainable access to safe drinking water and basic sanitation? (Question 1)

In Bolivia the EC has made a welcome move from the traditional approach to W&S service delivery, through call for proposals, to the adoption of sector wide support. While it's too early to gauge the benefits from the latter approach, it has been possible to assess the former through the ongoing Rehabilitación de las redes de Agua potable y Saneamiento de la Ciudad de Santa Cruz. Even though time was limited, the site visit and meetings in Santa Cruz enabled the Team to access **to what EC support has improved sustainable access to safe drinking water,** and the results were mixed. While there is little point in analysing an approach, which has now largely been superseded, it is useful to list the reasons for questionable service delivery, if only to reaffirm the inherent weakness. These are as follows:

- Incorrect choice of project, which does not address the needs of the poor, and should have been funded through some other financial vehicle (IADB of World Bank);
- Engineering designs are too sophisticated and would be more appropriate in mainland Europe than in the most under developed country in Latin America [8];
- Until derogation, Brussels took too much of an interest in the engineering and conflicts between EC, and national engineering and contract standards, contributed to an 15 month delay;
- Too much emphasis placed on 'hard' issues and too little on 'softer' community based approaches, and alternative 'levels of service' appropriate to communities ability to pay were not investigated;
- Planning is flawed, and only now are the cooperatives being supplied with the management tools necessary for efficient operation and maintenance (O&M);
- Setting up the project office has done little to address municipal capacity, has created friction, and simply reaffirms the classic elitist approach expounded by call for proposals;
- There is an unresolved 13% taxation financing incompatibility effecting the project, which is causing concern at the FPS; and,
- Regional differences were not recognised at the tender stage and antagonism between national and municipal participants (primarily civil engineering contractors) has engendered a climate of uncertainty.

On the positive side, the problems experienced in other parts of the country with securing an acceptable level of cost recovery, may not occur in the project area, perhaps because the beneficiaries are not really poor. The Chief Engineer of the cooperative says that cost recovery is 97% with 10% of people paying within 1 month, 36% within 2 months, 41% within 3 months, and the remaining 10% with 4/5 months.

[8] Pressurised mains rather than pumping and gravity constant pressure systems are causing bursts and a management nightmare

In terms of providing **improved sustainable access to basic sanitation,** the EC funded Santa Cruz project has proved successful, albeit subject to the comments made above with regard to water supply service delivery. A base line survey carried out in October 2003 provided data on which benefits could be measured and assessed, but no quantifiable information to prove (or disprove) the socio economic standing of the beneficiaries target was readily available.

The O&M of the sewerage infrastructure will be considerable and cost recovery will be affected by a sanitation levy added to the water supply tariff which will work out at $P 0.70 per month. The cost of W&S services is far too low and underlines the problem's being experienced by Bolivia in securing anything like the level of cost recovery necessary for sustainability. It might also indicate why the Santa Cruz tariff collection rate is so high. The FNDR see coat recovery as the most crucial challenge facing the W&S sector. Not only are they unable to collect sufficient funds to service existing IADB and World Bank loans, they admit to not really knowing what systems O&M costs actually are, and have recently commissioned a study of 25 service entities to find out.

How far has EC support for access to water and sanitation contributed to a reduction of poverty? (Question 2)

To what degree the EC's funded water supply programme **has contributed to a reduction of poverty** is hard to determine due to lack of data. The food security projects will almost certainly have, and on balance the W&S projects can also be expected to have been successful in this regard. The only EC funded project concerned exclusively with W&S service delivery concluded to date is Pras Beni, which reached 224 widely dispersed rural communities with a population of some 26,800. The project included water supply schemes in dispersed populations of some 19,800, and built a sewerage system for a medium sized town of 12,900 inhabitants. It also established cooperatives, organized water communities with women participants to secure sustainability.

From an initiative of Pras Beni's size and scope, it could be expected that poverty would have been reduced, and there is no evidence to suggest anything to the contrary. With regard to sustainability, the argument that providing a metered supply and imposing a water tariff on a poor family might increase its ability to meet their basic costs is largely unfounded. Indeed, some studies have shown the poor are more likely to pay for services than the better off, perhaps because they have fewer options and value the services more.

Targeting of the poor in society by the EC and other donors is much stronger than it was previously, and is reflected in current programmes and projects. The social tensions of the past 6 months has engendered a greater sense of urgency in Bolivia, and its neighbours to the simmering class tensions that exist across the country. The wide disparity between rich and poor is absolute, and Government with considerable support from the donor and international community, is working to close the poverty gap before the country descends into anarchy.

How far has EC support for improved water supply and sanitation contributed to better health? (Question 3)

How successful EC support **for improved water supply and sanitation contributed to better health** in the target areas has been (or will be as this is a long term endeavour) is difficult to determine. The indications are that it has and projects like PROHISABA with its strong focus on basic health and poverty alleviation should contribute real benefits in

Tarija and Potosi. There was an Interim Evaluation done on PROHISABA in May 2005, but there was simply no time to review in detail, and analysis this data.

All of the EC supported W&S projects examined, and the one visited at Santa Cruz, had strong health components. With some 63% of the population living below the national poverty line[9] health is a major issue both in the rural and urban situation. For example in 2000, some 49.5% of the urban population and 81.8% of the rural population were living below the national poverty line (See Reference 2). One of the main drivers of W&S projects is delivery health improvement for the most needy in society, and with few exceptions these are the poor.

4.2 Water Resources Management

How far has EC support contributed to the adoption of national policies and legal instruments that are in accordance with the principles of Integrated Water Management Resources Management? (Question 4)

The EC's investment in the water sector to date has demonstrated qualified **support for national policies and legal instruments in accordance with the principles of Integrated Water Resources Management**. Various water and sanitation related laws exist, and are administered by ministries and departments at national and municipal level. The impression is that while most people are aware of the importance of IWRM there is neither the financial, nor the political will to rigorously apply its principles.

One bastion of IWRM promotion is the technically proficient but poorly resourced Programa Naciaonal de Cuencas. Funded with EC support, it is managed by a small unit in the Ministerio de Desarrollo Sostenible and is working hard to convince decision makers of the importance of managing Bolivia's water resources in a sustainable fashion. A recent study carried out by the project to illustrate the importance of water resources planning nationally, showed that those towns with populations over 10,000 had access to 1% of the available catchment, and contained 70% of the countries population.

Strong support for IWRM is coming from the member states and the Netherlands is probably the most energetic in this regard. They have recently commissioned a strategic review of the Cuencas Phase II project by an external Consultant to see how it is progressing, and whether the approach it is promoting is the most suitable[10]. Another Netherlands government initiative is the 'silent partnership', which is designed to promote W&S projects through a unique set of implementation instruments[11]

To what extent has EC support facilitated and contributed to the adoption and implementation of Integrated Water Management Resources Management into the planning and implementation of water and sanitation service delivery? (Question 5)

The EC's support to the water supply sector at project level has unsuccessfully **facilitated and contributed to the adoption and implementation of IWRM into the planning and implementation of water service delivery**. Although the Team was limited to having visited and inspected a single project, enquiries and a study of available

[9] Human Development Report, UNDP, 2001

[10] Documento Conceptual y Estrategico para la Second fase del Programa Nacional de Cuencas, R Koudstaal and T Alveteg, 26 de mayo 2005

[11] Una Asociacion Silenciosa para el Sector de Aguq y Saneamiento en Bolivia, J T Visscher, Agosto 2005

project documents indicates that the Rehabilitación de las redes de Agua potable y Saneamiento de la Ciudad de Santa Cruzare are probably representative. These experiences, and the views and opinions of other actors engaged in the sector suggests the following:

- Projects are being implemented with scant regard to available water resources[12]
- The few initiatives that are applying IWRM are not getting sufficient support from Government;
- Government has neither the political will nor a sufficiently strong mandate to regulate and limit exploitation of the countries water resources, particularly from mining; and,
- Applying a sector wide approach to development, the EC will have only limited opportunity to influence the IWRM debate.

Fortunately attitudes have changed in recent times, and initiatives like the Programa Nacional de Cuencas with its strong focus on IWRM, and the tri national (Bolivia, Paraguay and Argentina) programme have come someway to correcting this technical imbalance. Being land locked, Bolivia has a number of major rivers rising and flowing within its borders, and there is increased awareness as to the strategic importance of this geographical fact. There is urgent need for a comprehensive IWRM plan, perhaps applying principles set down in the EC's Water Directive[13] or those in the handbook prepared by the Global Water Partnership[14].

4.3 Cross Cutting Issues

How far has the EC addressed existing gender inequalities as a key goal in its water and sanitation service delivery programmes, and how successful have these efforts been? (Question 6)

Bolivia subscribes to international agreements on gender equality, and has developed a legal framework to develop appropriate policies (See Section 3.1). Unfortunately the W&S sector follows neither the national gender policy nor strategy, and coordination between project implementers and those in charge of gender issues is practically nonexistent. When enquiring of the Delegation how **far the EC has addressed existing gender inequalities as a key goal in its water supply service delivery programme** the Team were surprised at the general lack of attention given to gender mainstreaming. From this exchange, and the absence of a gender expert on the staff, it can only be assumed that gender does not assume a particularly high profile.

Most W&S projects in Bolivia emphasize the technical aspects of service delivery, and gender is simply treated as women's participation in project implementation. This is not the case with NGOs, and bilateral donor funded initiatives such as the Swedish projects carried out with UNICEF, and the KFW funded PROAPAC project in El Chaco and Potosi Regions implemented by KfW. And one of the main recommendations of the evaluation of the Netherlands funded Water Unit Programme, which includes their work in Bolivia, was the need to 'elaborate a consistent pro-gender inclusive water related

[12] The Santa Cruz project with its reliance on groundwater was based on limited hydrogeological data and does not form part of any wider water resources development strategy

[13] Directive 2000/60/EC of the European Parliament and of the Council of 23 October 2000 establishing a framework for Community action in the field of water policy, Official Journal L 327 , 22/12/2000 P. 0001 - 0073

[14] Catalysing Change: A Handbook for Developing IWRM and Water Efficiency Strategies, GWP, undated

policy'[15]. The Netherlands programme employs a gender expert, and their programmes and projects have a pertinent gender predisposition. The GTZ office has a 3 person strong gender unit and has produced a prodigious amount of material related to women's' rights, the challenge of balancing work and family responsibilities, health related matters, water quality and hygiene education, etc. These all feed into the W&S components of the projects implemented by GTZ, and indicate a strong focus on gender matters. The output from the focus group conducted in Santa Cruz (See Section 2.5) indicated that women are not generally consulted, nor take an active role in the W&S project planning, and delivery service process. The women were not well versed on the aims of the project, and were even less aware of the financial implications of improved W&S services, which they would have to fund.

Whether the relative lack of interest in gender issues is a cultural phenomena, a product of inadequate sensitisation, or a lack of realisation of the importance it assumes in EC polices is unclear. What is clear is that the EC, member states, and possibly other donors, will have to work much harder in future with Government, and the project implementation entities, to ensure gender receives the degree of support and attention it deserves.

4.4 Water Supply and Sanitation Service Delivery

To what extent have EC water and sanitation delivery programmes been implemented in an efficient way? (Question 7)

Confirmation from interviews, document reviews and the site visit to Santa Cruz indicates that implementation of W&S programmes and projects vary significantly. The main areas of difference relate to the method of implementation (call for proposals or sector wide support) and the type. Defining with certainty **to what extent EC water and sanitation delivery programmes have been implemented in an efficient way** is impossible, but the evidence indicates that on balance, it has been mixed. Defining efficient programme service delivery in real terms is not straightforward, and the issue is complicated in a sector support context. The EC Guidelines state that efficiency links 'means through activities to results, assuming, risks and programme conditionality are mostly within direct donor control'[16].

From the brief examination of the projects with a relatively minor W&S component (food security via PASA, the Alternative Development Strategy, PASAAS, El Alto, PROHISABA, etc) delivery seems to be efficient. Not so the larger ongoing Santa Cruz project which is behind programme, and far from efficient (See Sections 4.1 and 4.2). The design and construction of the W&S infrastructure is generally efficient, and meets expectations in terms of quality and quantity. As a result the required increase in the number of people served has been achieved, however, issues of sustainability remain a serious challenge. The previous Pando and Beni projects were apparently a success in terms of infrastructure delivery, but it would be surprising if similar problems to those experienced in Santa Cruz were not experienced, simply because of their similarity. Indeed, a major EC funded roads project currently underway is encountering familiar problems caused by incompatible design and contract standards, management procedures, tender rules, etc.

[15] External Evaluation of the Netherlands Water Unit Programme 2000-2003, J Heun, L Schulpen, A Hubach and B V Woersem, December 2003

[16] A Guide to the Evaluation Procedures and Structures Currently operational in the Commission's, External Co-operation Programmes, 21st March 2001

In terms of sanitation the project review described above indicates similar issues to those relating to water supply. The nature of the technical solutions reflected in the works currently being constructed (primary the oxidation lagoons) for the Santa Cruz project seem far too elaborate and perhaps other approaches would have delivered more efficient, and manageable sanitation services[17]. Current experience indicates that too little attention is being paid to alternative modes and levels of sanitation service delivery, which should accurately reflect the technical demands, and the ability of beneficiaries to pay.

Future expectations are positioned on the adoption of a sector wide approach to W&S project delivery but some initial problems have been highlighted. The Government are requesting guidance and leadership to demonstrate how this approach will work, and confirmation of the likely benefits. The Delegation is well aware of this issue and is currently arranging a series of workshops, and seminars at which the sector approach to development will be outlined. Another matter of concern is the adoption of a unified management and M&E process, which will meet the demands of each of the donors contributing to a project initiative funded this way (i.e. PASAAS and Cuencas). A number of donors are concerned that if the EC rules are adopted, delivery might be slowed, or clash with their own procedures.

4.5 Coherence, Coordination and Complementarity

To which extent has EC support to the water sector and other EU development policies affecting the sector, been consistent and coherent? (Question 8)

The range of development activities supported by the EC includes among others, the sector wide approach and projects implemented using call for proposals, food security initiatives, institutional development and capacity building, the promotion of IWRM, and numerous small-scale W&S initiatives. They are broadly in line with national laws and policies and confirm that **EC support to the water sector and other EU development policies affecting the sector, has to a large been consistent and coherent.**

The social turmoil that Bolivia has been experiencing in recent times is generally viewed as politically generated, and the ability of Government ministries and departments to remain functional has not been questioned, provided they retain the physical capacity. Much of the dissent is centred on the issue of ownership of national resources (primary the petroleum and gas industry) but water is a major source of conflict, and projects like the EC supported Programa Nacional de Cuencas and the Proyecto Tri Nacional para la Cuenca del Rio Pilcomayoa have serious implications for the future. If socially equitable water policies and programmes can be seen to work then the national and international benefits for Bolivia are considerable.

While the necessary W&S policies seem to be in place, there is a perception (perhaps well founded), that the disparity between those who manage resources, and those who benefit from them is currently too wide. Laws like 1551 (Popular Participation) and 2028 (Municipalities), which include strong community participation and the decentralisation of authority, are buttressed by EC policies, and the development programmes of the member states. In Bolivia, no W&S programme or project should be contemplated which does not reflect the turbulent social, and political realities of the country.

[17] In a number of countries (Australia and New Zealand) are abandoning water born sewerage systems with their high construction and maintenance costs in favour of high tech individual household waste management procedures

To what extent has EC support to the water sector at country level (as defined in the CSPs, NIPs, etc) been coherent and complementary with overall EC development policies, strategies and actions of member states and other major actors? (Question 9)

As a consequence of meetings with member states, Government officials at national level, and meetings with municipal staff and beneficiaries of the Santa Cruz project, **EC support to the water sector at country level is considered coherent and complements development policies, strategies and actions of member states and other major actors.** Focus group discussions at national and project level confirmed this view.

There are numerous donor-supported W&S sector programmes implemented by member states in Bolivia, and regular collaboration translates into agreement and a coordinated response to submissions by Government for advice and support with respect to W&S activities. The most prominent include Germany via KFW, the Netherlands, and the Swedish Development Agency. The UN family is also active in the sector and UNICEF has a joint programme with the Swedish Development Agency, as well as projects of their own. In addition, there are numerous projects being carried out by bilateral donors (JICA, Canadian Development Agency, etc), and infrastructure projects are being constructed with IADB and World Bank funding. From a review of the above, and meetings with key actors, the belief is that W&S sector support is generally in line with EC development policies, and there are no obvious clashes of interest or overlap. A summary of non-EC funded W&S programmes and projects is attached as Annex 6.6.

A major challenge currently confronting the EC is the presumption by Government, member states and other donors, that ii assumes the role of W&S sector coordinator in Bolivia. Although it may be an unwelcome responsibility, the Delegation has an unparalleled opportunity to influence the future direction of the sector, and ensure that it remains coherent, complimentary and relevant to the broader national strategic objectives.

5 CONCLUSIONS

5.1 Main country specific issues

The aim of the CN is to allow information to be gathered on EC support to the target country, which can then be fed into the Evaluation synthesis report. From the interviews and meetings, the 2 focus group discussions, and the site visit to the Santa Cruz project, a credible view on the EC's contribution to the W&S sector in Bolivia has been obtained. While not perfect, and lacking detail in some respects, it has been possible to identify the following key sectoral issues:

- Projects generally deliver benefits in line with EC policies and programmes, although with the sector approach it is hard to isolate what effects are directly attributable to EC funding. The Delegation are being coerced into taking on a W&S coordination role, and are in a position to exert a much greater sectoral influence than it's funding portfolio might suggest;
- Classic call for proposals type projects like Santa Cruz, which is poorly targeted, employs inappropriate technologies, and is experiencing problems with execution, confirms the weakness of this development approach;
- Combining water supply and sanitation service delivery into a compact single package is the best means of addressing need, but lack of sustainability is a major issue in Bolivia that all stakeholders must face;
- The evidence indicates that poverty has probably been reduced, and health improvements have been made, but to what degree is hard to determine. Lack of base line data and coherent M&E systems makes quantitative evaluation to determine effectiveness or test whether the development approach was optimal difficult;
- The rationale and appropriateness of the EC's water management and development policies are acknowledged by Government, and are generally in line with national standards, but practical support for their implementation is inadequate;
- Good water resources management is recognized and promoted by EC supported projects, but infrastructure construction is being undertaken with inadequate application of IWRM - the Santa Cruz Project is an illustrative example;
- Cross cutting topics, like gender, environment and civil society are poorly addressed, and perhaps with the exception of NGO initiatives, they are being applied in a desultory fashion;
- Project efficiency is hard to access, particularly when examining sector-funded initiatives, but on the whole success is mixed, and while the 'harder' infrastructure works are being implemented efficiently the 'softer' community based components are not;
- Policies are generally universal and there are no major clashes with member states, donors, UN agencies or the development banks. The civil conflict over control of the countries gas and petroleum resources will inevitably spill over to include water, and as a key actor in the sector the EC will almost certainly be drawn into this debate and should prepare accordingly; and,

- Liaison with other actors at country level is effective, although NGO's are being used sparingly, and more emphasis should be placed on low level technically appropriate community based development approaches.

Although the above sectoral issues are specific to Bolivia, they have been found replicated in other target field visit countries, to a lesser or greater extent. One of the challenges will be to apply the evaluation analysis methodology outlined in the Desk Phase Report in a consistent way, and ensure the responses are proportionate.

5.2 Main thematic issues to be fed into the synthesis

At this juncture it is too early to be in a position to decide with any confidence what the main W&S thematic issues are, how they should be applied, or their order or precedence. More study and analytical work will be needed to do this during the Synthesis Phase, but at this juncture it has been possible to identify some key factors with a bearing on the effectiveness of EC support to the W&S sector, and these are as follows:

- Project performance for sector-funded initiatives is hard to access, and the application of best practices for these operating modalities is outside the ToR. Consideration should be given to the drafting and issue of guidance on this matter, perhaps as a revised Chapter 11, Evaluation, of the Strategic Guidelines;
- Lack of hard data, and consistently poor M&E procedures, continue to hamper attempts by evaluators to apply the 5 evaluation criteria (relevance, impact, effectiveness, efficiency and sustainability) successfully;
- Harmonisation of policies, programmes and projects is essential for achieving the 3 'C's (consistency, coordination and complementarity), and the general view is that with some exceptions this is being achieved;
- Lessons from previous evaluations are not being seriously addressed, or built into future programmes and projects, with the result that 'programme and project institutional memory' is fragile;
- Policies are broadly in line with international standards, and there are no significant contradictions or clashes, but from its position of influence in the W&S sector, the Delegation should pursue the adoption of IWRM with greater vigour;
- Sustainability is a problem in Bolivia and EC policies must address the issue of social W&S service provision, and accommodate this trend sympathetically;
- Sector development is successful in streamlining service delivery, and an improvement on previous approaches, but contains weaknesses and needs refinement – particularly the rules under which co-donor's participate; and,
- The move towards 'working partnerships' with recipient countries should be broadened and wherever necessary strengthened.

These are the main responses and thematic issues emanating from the field visit to Bolivia. At the synthesis stage they will be combined with those identified from the other 6 target countries and consolidated into a single information pool, which will enable the evaluation criteria to be modelled.

6 ANNEXES

6.1 List of Documents Consulted

Ref	Generated	Title and Subject	Date/Ref	Comments
EC family – Country Strategy Paper Updates, water and sanitation programs and projects, evaluations, project preparation, mid term reviews, investment, etc				
1	Comisión Europea	Bolivia – Country Strategy Paper 2001-2006	May 2002	-
2	Delegación de la Comisión Europea en Bolivia	EC list of current projects in the country	Dec., 2004	-
3	Convenio de Financiación entre la CCE y la Republica de Bolivia. Convenio BOL/B7-310/IB/96/220	Programa de Apoyo a la Estrategia e Desarrollo Alternativo en el Chapare (Trópico de Cochabamba).	18 June, 1997	Development agreement includes resources to increase W&S covertures from 45% to 65% (6,000 additional families), also encourages ambient innocuous activities and women equal opportunity participation and in project administration
4	Convenio de Financiación entre la CCE y la Republica de Bolivia. Convenio:BOL/B7-310/1B/96/220	Proyecto de Agua y Saneamiento en el Departamento del Beni.	10 Sept, 1997	Intervention in small or medium size communities follows model suggested by PROSABAR: Infrastructure construction, institutional building capacity and beneficiaries direct participation in project cycle and hygiene and heath education. Also workshop formation incentives for future maintenance services
5	Convenio de Financiación entre la CE y la Republica de Bolivia. Convenio:BOL/B7-310/1B/97/406	Proyecto de Agua y Saneamiento en el Departamento de Pando.	23 Sept, 1999	Intervention at the capital and small size communities follows FNDR and PROSABAR model respectively: Infrastructure construction, institutional building capacity and beneficiaries direct participation in project and hygiene and heath education. Also workshop formation incentives for future maintenance services
6	Convenio de Financiación entre la CE y la Republica de Bolivia. Convenio:BOL/B7-310/97/029	Proyecto de Agua y Saneamiento de la Ciudad de Santa Cruz.	20 Dec, 1999	A project upgrading and extending a water supply pipe network in a suburban village, house connections and some public taps, including a water quality control laboratory and, sewage piping system discharging to biological treatment lagoons and some in site solutions at periphery. Includes institutional capacity strengthening to municipal and operator's personnel through ANESAPA.
7	Convenio de Financiación Especifico entre la CE y la Republica. Convenio:BOL/B7-310/98/245	Programa de Apoyo al Sector de la Higiene y Salud de Base. PROHISABA	11 Dec, 2000	Health project part of the Bolivian struggle against poverty, continuation of the health reform initiated with other agencies. Components are: potable water provision and sanitary facilities, sewage or in site disposals according to local conditions, maintenance training and hygiene information campaign, as preventive measures against illness, operational capacity reinforcement by existent infrastructure upgrading, equipping

Ref	Generated	Title and Subject	Date/Ref	Comments
				and personnel continuous education program, and starting up the new administrative structure planned, including community participation, in Tarija and Potosi
8	Convenio de Financiación entre la CE y la Comisión Trinacional para el Desarrollo de la Cuenca del Río Pilcomayo. (Argentina, Bolivia y Paraguay) No Proyecto: ASR-B7-3100/99/136	Proyecto de Gestión Integrada-Plan Maestro del Río Pilcomayo.	18 Dec, 2000	A tri-national river, eroding mountainous up reach (Bolivia) and depositing sediments down in the flats (Argentina, Paraguay), causing floods, saline intrusion, desertification and ambient deterioration, is seriously affecting inhabitants and their economy along its banks. EC had financed several previous studies and based in recommendations of the last one, the three countries asked for financial and technical assistance to EC. The project pursues five specific objectives: i) Deeper ambient and hydrologic characterization of the watershed. ii) Erosion reduction and stabilization measures. iii) Conditions for water and soil resources rational utilization. iv) Impact mitigation on population, v) Actions to assure sustainability. The tree first objectives will derive in the formulation of a Master Plan for the integral management of the Pilcomayo watershed, the latter two derive in immediate actions
9	Convenio de Financiación Especifico entre la CE y la Republica de Bolivia. Convenio: ALA/2004/6249	Programa de Apoyo Sectorial en el Abasteciendo de Agua y Saneamiento (PASAAS)	4 Oct, 2004	Agreement by which CE offers 22.5 mill € to support the first face of the program consisting of: i) Support to the sectorial reform. ii) Development of the new sector financial policies. Iii) Investment in infrastructure and, iv) Up grading of the present sectoral financial system
10	Convenio Interministerial y multi-agencia.	Memorandum de entendimiento entre el Gobierno de la República de Bolivia y la Cooperación Internacional para Apoyar el Programa Nacional de Cuencas.	26 Oct, 2004	Signed by Bolivian Ministries and international agencies: Kingdom of the Low Land Countries, German Technical Cooperation, European Commission, Suisse Agency for Development and Cooperation an the, US Agency for International Development, compromising financial support, to be formalized in an one to one bases trough bilateral specific agreements, to the Water shed National Program (Programa Nacional de Cuencas). A Directive Commission conformed by the Vice-ministries of Foreign Relations, Natural Resources, Agriculture, Cattle and Fishery and, Basic Services, and donors will coordinate the program and is open to other initiatives and financing. Objectives of PNC are: Propose policies for proper water shed management, canalize funds for project execution guided by integral water shed management criteria, procure quality an impact in the preinvestment, investment and operation phases, foster local capabilities.
11	Ministries of Sustainable	Programa Nacional de Cuencas	15 Mar,	Document containing the program's (PNC) contents proposal:

Ref	Generated	Title and Subject	Date/Ref	Comments
	Development, Foreign Relations, Agronomy and Public Works.	–Documento en Consulta -	2005	Diagnostic, conceptual frame, strategic planning, sectorial water demands (includes W&S demand), water resources planning and, management model
12	República de Bolivia – Plan Nacional de Cuencas – Unión Europea	Proyecto de Gestión Integrada y Plan Maestro de la Cuenca del Río Pilcomayo, Plan Operativo 2005-2007 – Ejecución de intervenciones piloto en la Cuenca Alta	Jun, 2005	-
13	Programa de Apoyo a la Seguridad Alimentaria (PASA)	Memoria 2004	2004	Document summarizes achievements of PASA supported bay EC, during 2004. Introduces the three program components: i) Investment ii) Micro financing and, iii) NGO's component. Explains the Technical Assistance as an additional component. Program's Mission is to support programs and projects tending to diminish alimentary insecurity in the poorest municipalities. Their main activities are in the fields of: Training and technical assistance, vial infrastructure, irrigation, farming and live stock productivity support and, studies
14	Programa de Apoyo a la Seguridad Alimentaria	-Informes de Evaluación - ATICA: Agua, tierra y Campesino		Document contains resumes of 29 projects for food assurance in selected poorest communities. Most are related to small communal irrigation systems and land and water resources exploitation. Technical assistance, v.g. final projects design, is provided to farmers by ATICA. This is just an example of PASA activities in food security program, supported by EC
15	KAMPSAX	Misión de Evaluación de Medio Término PRAS-BENI	Feb, 2001	Reports project advancement in terms of opportunity, efficiency, efficacy, and impact, reproductivity. Annex 5 shows the Project's Logic Frame
16	PRAS-BENI	Acta de Cierre y Traspaso con Lista Resumida del Proyecto Pras- Beni	16 Sept, 2002	Document contains project assets transfer protocol to local unit and 17 annexes all about administrative undertakings. Annex 3 is the Final Report of the National Co-director where resumes infrastructure, equipment and communal development executed in about 224 small and disperse villages and few medium size populations, local empowerment communal and institutional and, training activities performed to assure self sustainability
17	PLANGROUP	Evaluación de Medio Termino del Proyecto de Agua y Saneamiento en el Departamento de Pando	22 Jul, 2004	Document informs project midterm achievement in terms of relevance, efficiency, efficacy, impact and sustainability. Foresees difficulties mainly due to weak national counterpart and elevated estimated operational and maintenance costs if compared with present level of tariffs. It considers that the Logic Frame indicators should be revised

Ref	Generated	Title and Subject	Date/Ref	Comments
18	ESTHER STURIA & CARLOS PFEIFF	Proyecto Rehabilitación de la Redes de Agua Potable y de Saneamiento de la Ciudad de Santa Cruz. Evaluación a Medio Término	Sept, 2004	A critical report about the need to reinforce some institutional and social aspects of the project to guarantee its fulfillment and sustainability
19	KAMPSAX	Programa de Apoyo Sectorial en el Abastecimiento y Saneamiento (PASAAS), Bolivia – Informe de Misión - BORRADOR	8 Jul, 2005	Contains essentially: i) Appreciation of advancement in the Sector Reform. ii) Indicators conditioning the 2005 disbursement. iii) Identification of technical assistance and institutional strengthening needs
20	Misión de Evaluación de Medio Termino	PROHISABA Informe de la Misión	May 2005	Contains mid term evaluation of this health program in terms of: Pertinence, Efficacy, Efficiency, Impact and Project's Feasibility
21	EC	Towards Sustainable Water Resources Management, A Strategic Approach	September 1998	
Country Specific - Water laws, acts and statutes, development programs, poverty reduction strategies, privatization and decentralization plans and initiatives, investment etc				
1	Gaceta Oficial de Bolivia	Readecuaciones al Reglamento de la Ley de Organización del Poder Ejecutivo. DS 277332	27 Sep, 2004	Ministries global structure and functions; includes Ministry of Services and Public Works, Vice-ministry of Basic Services and the General Direction of Basic Services (W&S)
2	Gaceta Oficial de Bolivia	Ley 1551 de Participación Popular	20 April, 1994	Decentralizes basic infrastructure responsibilities to municipalities including W&Y systems, creating a popular or local participation and control system
3	Gaceta Oficial de Bolivia	Ley 1333: Ley y Reglamento del Medio Ambiente	27 April, 1992 8 Dic, 1995	Ambient conservation and protection law, includes regulations regarding hydro contamination.
4	Gaceta Oficial de Bolivia	Ley 2028: Ley de Municipalidades	19 September, 1999	Municipal regime establishing among others W&S responsibilities and assistance to communities within jurisdiction
5	Gaceta Oficial de Bolivia	Ley 2066: Ley modificatoria de la Ley 2029: Agua Potable y Alcantarillado Sanitario.	11 April, 2000	Regulations and procedures to lease W&S service areas
6	Gaceta Oficial de Bolivia	Ley del Diálogo Nacional 2000	31 Jul, 2001	Law establishes basic guidelines to manage the Poverty Reduction Strategy, modifies responsibilities and structures of public organs in charge of poverty reduction policy, establishes criteria for resource allocation for poverty reduction coming from public debt relief, defines procedures to apply the National Compensation Program, establishes reach and mechanisms of

Ref	Generated	Title and Subject	Date/Ref	Comments
				social control exercise over programs and strategies for poverty reduction, establishes the National Dialog as means of social participation in the design, following up and adjustment of poverty reduction policies
7	Ministerio de Vivienda y Servicios Básicos	Plan Nacional de Saneamiento Básico: Volumen I: Documento Principal.	October, 2001	Sector diagnostic, strategic plan (2001-2010), W&S, financing
8	Ministerio de Vivienda y Servicios Básicos	Plan Nacional de Saneamiento Básico: Volumen II: Diagnóstico del Sector	October, 2001	Legal framework, demographic study, W&S, solid waste, conclusions.
9	Gaceta Oficial de Bolivia	Creación de la Fundación de Apoyo a la Sostenibilidad en Saneamiento Básico (FUNDASAB) DS 27486		Creation of the Foundation to Help Sustainability in Basic Sanitation
10	Gaceta Oficial de Bolivia	Política Financiera del Sector de Agua Potable y Alcantarillado Sanitario (PFS)). DS 27487	14 May, 2004	Operational, technical, financial and institutional aspects of the recently established Sectorial Financing Policies
11	Ministerio de Servicios y Obras Publicas	Plan Bolivia, Sector Agua y Saneamiento	2002-2007	Sectorial situation, goals and objectives of plan, investment and financial requirements, policies, immediate actions
12	Superintendencia de Saneamiento Básico - Sistema de Regulación Secrorial-	Plan Estratégico Institucional	2004 - 2008	Internal analysis of institutional strengths, weaknesses, opportunities and threats of this relatively new organization (1997), showing future plans and goals. Clarifies its roll as regulator of services delivered to public observing compliance of current laws and regulations, balancing interests among users, operators (private or public) and state, assuring quality services delivered to the population. Regulates quality, quantity and costs of services
13	Fondo Nacional de Desarrollo Regional (FNDR)	Proyecto de Desarrollo del Sector Municipal - PRODEMU - Reglamento de Crédito	July, 1996	Financed by the World Bank (AIF Credit Number BO 2565) and administered by FNDR, resources were allocated to investments in infrastructure and equipment, consultant services and national and local institutional strengthening, trough credit (not donation) given to qualified/economically capable Municipalities. Eligible projects W&S, in Annex describes qualification criteria by sectors
14	Ministerio de Servicios y Obras Públicas	Guía de Desarrollo Comunitario para Proyectos de Agua y Saneamiento en Comunidades con Poblaciones Menores a 10,000 Habitantes	2004	Complementary to component 2 of above program. Guides executor through seven lines of action to accomplish component goals: Communal organization prior to initiation of construction activity, community mobilization, communal involment support, sanitary and environmental education, training to operator in management, operation and maintenance of the W&S systems, support to municipality agents in sector activities and duties and,

Ref	Generated	Title and Subject	Date/Ref	Comments
				reinforcement of critical areas detected during first stage of service
15	Directorio Único de Fondos (DUF)	Menú de Proyectos y Criterios de Elegibilidad. Guías de Presentación de Proyectos FPS-FNDR	1 Aug, 2001	Document to guide beneficiaries, municipalities in behalf of communities, to access to donation (FPS, poor and small populations less than 10,000) or to credit (FNDR, large and economically capable to afford the credit municipalities). Lists all sector eligible projects including W&S requirements to qualify in each case
16	Banco Mundial, PROCOSI, UDAPE, Comité Interinstitucional Metas del Desarrollo del Milenio	Progreso de los Objetivos del Milenio asociados el Desarrollo Humano – tercer informe – Bolivia 2003-2004	2003-2004	-
17	UDAPSO - PNUD	Índice de Desarrollo Humano y otros indicadores sociales en 311 municipios de Bolivia	1997	-
18	Viceministro de Servicios Básicos – Ministerio de Servicios y Obras Públicas	http://www.sias.gov.bo/	-	-
19	Vice Ministry for Women	Plan de Políticas Públicas para el Ejercicio Pleno de los Derechos de la Mujer	2005	
20	Vice Ministry for Basic Services	Guía de Desarrollo Comunitario para Proyectos de Agua y Saneamiento en Comunidades con Poblaciones Menores a 10,000 habitantes	2002	
Development banks, member states and key donors – Country programs, water and sanitation development policies, projects and initiatives, coordination plans, investment, etc				
1	Banco Intermaricano de Desarrollo	www.iadb.org	No date	Shows bank's policies, projects under execution and new initiatives
2	Contrato de Préstamo BID 10560/SF-BO y Contrato Modificatorio de 10 de mayo, 2002	Programa de Saneamiento Básico para Pequeños Municipios. -PROAGUAS-	29 March 2000	Annex A indicates components of W&S projects to be financed: i) Water and sanitary works. ii) Communal development (local level), and iii) Institutional strengthening (national level). Also, in a Logic Frame shows the program's objectives and indicators
3	Cooperación de la República Federal de Alemania GTZ	- PROAPAC - Programa de Agua Potable y Alcantarillado Sanitario en Pequeñas y Medianas Ciudades.	undated	Publication explains the four areas in which this program offers assistance at different levels: i) Advice in Sectoral Polices and Strategies. ii) Political and Social Management in Basic Sanitation. iii) Technical Assistance Services and Training in Basic Sanitation and, iv) Integral Development of Potable Water

Ref	Generated	Title and Subject	Date/Ref	Comments
				and Sewage Systems in Intermediate Cities
5	Cooperación de la República Federal de Alemania GTZ	Gestión Político Social en Saneamiento Básico	undated	Among other aspects, lists and explains the seven principles that sustain this component (Political and Social Management in Basic Sanitation, PROPAC): i) UN objectives for the Millennium. ii) Poverty reduction. iii) Participation. Iv) Gender. v) Culture and development. vi) Sustainability and, vii) Impact orientation
6	Cooperación de la República Federal de Alemania GTZ	Seminario de Género e Interculturalidad en el contexto boliviano	Sept, 2004	-
7	Swedish Cooperation (SIDA)	Monitoreo Proyectos de Agua y Saneamiento en Bolivia - Agua y Saneamiento de PROANDES	Nov, 2003	-
UN Family - Country programmes, water and sanitation development policies, projects and initiatives, poverty and emergency programmes, coordination plans, investment, etc				
1	UNICEF	Documento de Buenas Prácticas Componente Agua y Saneamiento PROANDES/ PRODELI UNICEF- Bolivia, marzo 2005	Mar, 2005	-
2	UNDP	Human Development Report	2001	
NGOs, Private Sector – Water and sanitation sector partnerships, investment, studies, design, construction, monitoring and evaluation operation and maintenance, etc				
1	Acción Contra el Hambre	Mejora en las Condiciones de las Infraestructuras de Agua y Saneamiento y Disminución de los Riesgos de Propagación de Enfermedades de Origen Hídrico en la Provincial de Sud Yungas, Bolivia. (2º Informe Intermedio)	Informe de Avance de Feb. 2001-March 2003	Reports the execution of W&S infrastructure components as well as development and achievement in administrative and operational training and hygienic education to beneficiaries, Executor ONG with EC funds
2	Plan Internacional Bolivia	Plan Estratégico Quinquenal para Bolivia	1999-2003	Describes contents of 4 leading child oriented programs reflecting ONG's intervention strategy, namely: i) My effective school. ii) My healthy surrounding (includes W&S), iii) My survivance and growth, iv) More income for my heath. International ONG established in Bolivia since 1999
3	R Koudstaal and T Alveteg	Documento Conceptual y Estrategico para la Second fase del Programa Nacional de Cuencas,	26 de mayo 2005	
4	J T Visscher	Una Asociacion Silenciosa para el Sector de	Agosto 2005	

Ref	Generated	Title and Subject	Date/Ref	Comments
		Aguq y Saneamiento en Bolivia		
5	GWP	Catalysing Change: A Handbook for Developing IWRM and Water Efficiency Strategies	undated	
6	J Heun, L Schulpen, A Hubach and B V Woersem	External Evaluation of the Netherlands Water Unit Programme 2000-2003, Main Report	December 2003	

6.2 Activity Schedule

Tuesday, 9th August	
Afternoon	Discussion about the field phase programme/schedule General issues of the implementation of the evaluation Specific subjects concerning the Bolivian water sector

Wednesday, 10th August	
Morning	**Meeting at the EC Delegation's Office** ▪ Mr. Edwin Vos, Director of the Cooperation Section ▪ Mr. Claude Mesonero, Cooperation Section ▪ Mrs. Ana Beatriz Chávez Salas, Assistant Cooperation Section
Afternoon	**Meeting at the Ministry for Sustainable Development, Watershed National Program (WNP)** ▪ Mr. Juan Carlos Sauma Haddad, Coordinator of the WNP ▪ Mr. Jaime Querejazu Leytón, Expert for Rural Development at the WNP

Thursday, 11th August	
Morning	**Meeting at the EC Delegation** ▪ Mr. Rafael Muñoz Moreno, Sector Specialist
Afternoon	**Meeting at the FPS (National Fund for Productive and Social Investment)** ▪ Mrs. Marina Dockweiler, Principal of the Agreements Management Unit ▪ Mr. Juan Carlos Munguía, Financial Management ▪ Mr. Fraddy Torrico, Operations' Manager ▪ Mr. Cristian Valverde, Financial Management of Agreements **Meeting at the FNDR (National Fund for Regional Development)** ▪ Mr. Juan Carlos Inchausti Aviles, Principal of Regional Department ▪ Mr. Esteban Villena Martínez, W&S Sector Specialist ▪ Mr. Humberto Cáceres, Sector Institutional Building Capacity Specialist ▪ Mr. Jorge Treviño, President of the Funds Unique Directory – DUF

Friday, 12th August	
Morning	**Meeting at the Dutch Embassy (DGIS)** ▪ Mr. Hans van den Heuvel, First Secretary Sustainable Productive Development ▪ Mr. Ricardo Galindo, Associate Expert Sustainable Productive Development **Meeting at the Swedish Embassy (SIDA)** ▪ Mrs. Isabel Ascarrunz Bustamante, Official for the Water, Sanitation and Environmental Sector
Afternoon	**Meeting at GTZ's office** ▪ Mr. Franz Rojas, Principal Assessor in Institutionalism and Sectoral Policies - PROAPAC-GTZ BOLIVIA ▪ Mrs. Stephanie Heiland, Advisor in Social-Political Management and Gender

Saturday, 13th August	
Morning	**Visit to Titicaca Lake**
Afternoon	Work on report

Sunday, 14th August	
all day	Work on report and team meeting afternoon

Monday, 15th August	
Morning	**Field visit to PRAS-Santa Cruz** ▪ Mrs. Sandra Cañizares, National Codirector PRAS-SANTA CRUZ ▪ Mr. Giuseppe Repetto, European Codirector PRAS-SANTA CRUZ ▪ Mr. Luis Pinkowitz, Works Supervisor PRAS-SANTA CRUZ ▪ Mr. David Pacheco Román, General Manager, Cooperativa de Servicios Públicos "1° de Mayo", COOPAGUAS

	▪ Mrs. Maribel Gutiérrez, Social Trainer, ANESAPA.
Afternoon	**Focus Group Discussion** with 5 female beneficiaries from the PRAS-Santa Cruz, 3 female capacitating staff from ANESAPA and their coordinator, plus the president of the Neighbourhood Union "1° de Mayo" (10 persons)

Tuesday, 16th August	
Morning	**Meeting at SISAB (Superintendencia de Servicios Básicos)** ▪ Mr. Álvaro Camacho, Superintendent of Basic Sanitation (ex General Director of Basic Services) **De-briefing at the EC Delegation's Office** ▪ Mr. Edwin Vos, Director of the Cooperation Section ▪ Mr. Claude Mesonero, Cooperation Section ▪ Mr. Rafael Munoz Moreno, Sector Specialist
Afternoon	**Focus Group Discussion on national level with DIGESBA (Dirección General de Saneamiento Básico)** ▪ Mr. Edgar García Rocha, General Director of Basic Services, Ministry of Services and Public Works ▪ Mr. Jorge Calderón, Director for Control and Project Follow-up ▪ Mr. Enrique Torrico, DIGESBA, Control and Project Follow-up ▪ Mr. Reynaldo Villalba, DIGESBA, Director for Norms and Technology ▪ Mr. Fernando Chacón, DIGESBA, Director for Sustainability and Enterprise Development

6.3 List of People Met

Name	Organisation	Function
ASCARRUNZ BUSTAMANTE, Isabel	SIDA	Official for the Water, Sanitation and Environment Sector
CÁCERES, Humberto	FNDR (National Fund for Regional Development)	
CALDERÓN, Jorge	DIGESBA	Director for Control and Project Follow-up
CAMACHO, Álvaro	SISAB	Superintendent of Basic Sanitation
CANIZARES, Sandra	PRAS-SANTA CRUZ	National Co-director
CHACÓN, Fernando	DIGESBA	Director for Sustainability and Enterprise Development
CHAVEZ SALAS, Ana Beatriz	EC Delegation	Assistant Cooperation Section
DOCKWEILER, Marina	FPS (National Fund for Productive and Social Investment)	Director of Agreement Management
GALINDO AVILA, Ricardo	Embassy of the Netherlands	Associate Expert Sustainable Productive Development
GARCÍA ROCHA, Edgar	DIGESBA	General Services Director
GUTIERREZ, Maribel	PRAS-SANTA CRUZ	Trainer ANESAPA
HEILAND, Stephanie	GTZ	Advisor in Social-Political Management and Gender
INCHAUSTI AVILES, Juan Carlos	FNDR (National Fund for Regional Development)	Director of the Regional Departments
MESONERO, Claude	EC Delegation	Cooperation Section
MUNGUIA, Juan Carlos	FPS (National Fund for Productive and Social Investment)	Financial Management
MUNOZ MORENO, Rafael	EC Delegation	Sector specialist
PACHECO ROMÁN, David	PRAS-SANTA CRUZ	General Manager COOPAGUAS
PINKOWITZ, Luis	PRAS-SANTA CRUZ	Work Supervisor
QUEREJAZU LEYTÓN, Jaime	Ministry for Sustainable Development	Expert for Rural Development for the National Watershed Plan
REPETTO, Giuseppe	PRAS-SANTA CRUZ	European Co-director
ROJAS, Franz	GTZ	Principal Assessor in Institutionalism and Sectoral Policies – PROAPAC
SAUMA HADDAD, Juan Carlos	Ministry for Sustainable Development	Coordinator National Watershed Plan
TORRICO, Fraddy	FPS (National Fund for Productive and Social Investment)	Operations' Manager
TORRICO, Enrique	DIGESBA	Control and Project Follow-up
VALVERDE, Cristian	FPS (National Fund for Productive and Social Investment)	Financial Management of Agreements
VAN DEN HEUVEL, Hans	Embassy of the Netherlands	First Secretary Sustainable Productive Development
VILLALBA, Reynaldo	DIGESBA	Norms and Technology
VILLENA MARTÍNEZ, Esteban	FNDR (National Fund for Regional Developmen)	Sector specialist
VOS, Edwin	EC Delegation	Director of the Cooperation Section

6.4 List of water and sanitation projects

Year	Status	CRIS Code	Title	Decision Amount (€)	Contracted Amount (€)	Paid Amount (€)	Sector Heading
1995	Closed	FED/7-ACP WSO-19	PUBLIC AWARENESS PROGRAMME-RURAL WATER SUPPLY	62,022	62,022	62,022	Water supply and sanitation - small systems
1996	Closed	FED/7-ACP WSO-27	WATER QUALITY EXPERT	82,851	82,851	82,851	Water resources policy and administrative management
1996	Closed	FED/7-ACP WSO-28	PUBLIC AWARENESS PRG (RURAL WATER SUPPLY)	499,101	499,101	499,101	Water resources protection
1996	Closed	FED/7-ACP WSO-30	PUBLIC AWARENESS PROGRAMME (RURAL WATER SUPPLY)	34,597	34,597	34,597	Water resources protection
1997	Ongoing	FED/6-ACP WSO-25	RURAL WATER SUPPLY PROGRAMME	300,000	292,629	292,629	Rural development
1997	Ongoing	FED/7-ACP WSO-29	RURAL WATER SUPPLY PROGRAMME	5,300,000	5,296,586	5,296,586	Rural development
1997	Ongoing	FED/8-ACP WSO-3	RURAL WATER SUPPLY PROGRAMME	13,120,000	13,116,479	13,116,479	Rural development
2003	Ongoing	FED/9-ACP WSO-1	APPRAISAL STUDY WATER AND SANITATION SECTOR	199,000	199,000	157,186	Water supply and sanitation - large systems
2003	Ongoing	FED/9-ACP WSO-2	RURAL WATER SUPPLY - CONSOLIDATION PROJECT	1,700,000	1,573,000	133,359	Water supply and sanitation - large systems

6.5 List of projects with potential relevance to the water and sanitation sector (1995-2004)

Year	Status	CRIS Code	Title	Decision Amount (€)	Contracted Amount (€)	Paid Amount (€)	Sector Heading
1995	Closed	FED/7-ACP WSO-21	PILOT MICROPROJECTS PROGRAMME	1,050,193	1,050,193	1,050,193	Rural development
1999	Ongoing	FED/8-ACP WSO-4	MICROPROJECT PHASE II	1,000,000	935,848	935,848	Rural development
2002	Ongoing	FED/8-ACP WSO-9	TA TO THE NAO	350,000	350,000	229,589	Economic and development policy/Planning
2004	Ongoing	FED/9-ACP WSO-3	TECHNICAL COOPERATION FACILITY	600,000	120,000	0	Economic and development

Year	Status	CRIS Code	Title	Decision Amount (€)	Contracted Amount (€)	Paid Amount (€)	Sector Heading
			(TCF)				policy/Planning

6.6 List of water and sanitation projects financed by other international cooperation agencies (1995-2004)

Project Title	Financing	Responsible Executor	Executing Period	Status	Components
Programa de Saneamiento Básico para Pequeños Municipios (PROAGUAS)	IADB[18]: US$ 40.0 mill. National: $us 16.0 mill.	VMSB[19] -FPS[20]	2002-2006	On going	W&S studies and infrastructure Communal Development Institutional Building Capacity
Proyecto de Sistema de Información de Agua y Saneamiento (PROSIAS)	ACDI[21]: US$ 2.0 mill. National: US$ 0.6 mill.	VMSB-ACE[22]	2001-2005	On going	Development of: Sectoral data, managerial support information system Municipal decentralization support system
Proyecto de Desarrollo de Aguas Subterráneas (PRODASUB)	JICA[23]: US$ 51.7 mill. National: US$ 11.7 mill.	VMSB-UNASBVI's[24] (Sta. Cruz, Chuquisaca, Tarija, Oruro.)	1998-2005	On going	Deep wells construction Water systems execution Local capacity development.
Programa de Inversiones en el Sector Saneamiento Básico (PROINSA)	CAF[25]: US$ 30.0 mill,	Ministry of Services and Public Works.	2003-2008	On going	Water supply system for Cochabamba Ravelo and Cajamarca water courses rehabilitation in Sucre Potable water and sewage projects for Santa Cru. Sanitary master plan for Potosi
Programa de Agua Potable y Alcantarillado en Ciudades Intermedias, Mancomunidad de Municipios.	KfW[26]: US$ 24.5 mill.	EPSAs[27] - GTZ[28]		On going	In communities in municipalities of El Chaco and Bustillos provinces: Investments in W&S infrastructure Technical assistance
Programa de Asistencia Técnica de la Agencia Sueca de Cooperación Internacional para el Desarrollo (ASDI) al Viceministerio de Servicios	Swedish Government: 8 mill. SEK (Swedish Crowns).	ASDI[29] - VMSB		On going	Assistance to municipalities to built up managerial and technical capabilities to improve W&S investments

[18] IADB – Inter American Development Bank
[19] VMSB - Viceministerio de Servicios Básicos (Basic Services Vice ministry)
[20] FPS - Fondo Nacional de Inversión Productiva y Social (Social and Productive Investment National Fund)
[21] ACDI - Agencia Canadiense de Desarrollo Internacional (International Development Canadian Agency)
[22] ACE - Agencia Canadiense de Ejecución (Canadian Execution Agency)
[23] JICA - Japanese International Cooperation Agency
[24] UNASBI's - Unidades de Saneamiento Básico y Vivienda (Housing and Basic Sanitation Units)
[25] CAF - Corporación Andina de Fomento (Andean Corporation for Foment)
[26] KfW - Banco Alemán de Reconstrucción (German Bank for Reconstruction)
[27] EPSA's - Entidades Prestadoras de Servicios de Agua Potable y Alcantarillado Sanitario (Entities Providers of Potable Water and Sanitary Sewage Services)
[28] GtZ - Cooperación Técnica Alemana (German Technical Assistance)
[29] ASDI - Agencia Sueca de Cooperación internacional para el Desarrollo (International Development Swedish Agency)

Project Title	Financing	Responsible Executor	Executing Period	Status	Components
Básicos.					
Programa Subregional Andino de Servicios Básicos Contra la Pobreza (PROANDES) . Tercera Fase: 1998 – 2002	Swedish and Spanish Committee for UNICEF: US$ 3.15 mill.	UNICEF	1998- 2002		For northern Potosi and Southern Cochabamba communities: W&S projects
Proyecto de Abastecimiento de Agua Potable para la Ciudad de Potosí	KfW: DM 15.4 mill. Local: DM 0.894 mill.	AAPOS[30]			Water supply system for 130,000 inhabitants in Potosi City
Proyecto de Rehabilitación del Sistema de Agua Potable de la Ciudad de Oruro	KfW and Oruro Prefecture, total: DM 9.5 mill..	SeLA[31]			Water supply system for 180,000 inhabitants in Oruro City
Proyecto Sistema de Agua Potable y Alcantarillado Sanitario para la Ciudad de Trinidad	KfW: DM 22.0 mill. Local: US$ 2.5 mill.	COATRI[32]			For the City of Trinidad: Water supply system for 90.000 beneficiaries Sewage system for 50.000 beneficiaries
Proyecto de Alcantarillado para la Ciudad de Oruro`	KfW and Oruro Prefecture, total: DM 33.3 mill.	SeLA		Concluded	Sewage system: Pipe network, pump stations and treatment lagoons for 126.000 inhabitants
Proyecto de Saneamiento Básico Rural (PROSABAR)	World Bank: US$ 20 mill. OPEC: US$ 5 mill. IADB: US$ 10 mill. Municipalities: US$ 13 mill. Prefectures; US$ 2 mill.	Ministry of Services and Public Works– FIS[33]	1996- 2001	Concluded	For Bolivian rural inhabitants: 1000 beneficiaries with secure water small systems 370.000 beneficiaries with proper sanitation PROSABAR consolidated a community local development component and financial criteria for the rural W&S sector
Proyecto Piloto del Sistema de Alcantarillado Condominial	PAS[34]-ASDI)- AISA[35]	Programa de Agua y PAS) y Aguas del Illimani S.A. (AISA).		Concluded	In periurban districts of La Paz and El Alto cities: 10.000 families benefited from pilot condominium type sewage project
Proyecto Sistema de Agua Potable y Alcantarillado para la Ciudad de Sucre II	KfW and Prefecture of Chuquisaca, total: US$ 17.9 mill.	ELAPAS[36]		Concluded	Urban beneficiaries: Potable water: 156.238 Sewage service: 148.088

[30] AAPOS: Administración Autónoma para Obras Sanitarias, ciudad de Potosí. (Autonomous Administration for Sanitary Works), Potosi City
[31] SeLA: Servicio Local de Acueductos y Alcantarillado (Local Service for Aqueducts and Sewage)
[32] COATRI: Cooperativa de Agua de Trinidad (Trinidad Water Cooperative)
[33] FIS: Fondo de Inversión Social
[34] PAS: Programa de Agua y Saneamiento, del Banco Mundial (Water and Sanitation Program, World Bank)
[35] AISA: Aguas del Illimani S.A. (Waters from Illimani, anonymous society, private W&S operator)
[36] ELAPAS: Empresa Local de Agua Potable y Alcantarillado Sanitario, de Sucre (Local Potable Water and Sewage Entity), Sucre City.

6.7 Moderator's guide for national level focus group

PREAMBLE

INTRODUCTION

Main questions

1) Hablando de "Integrated Water Resource Management" / *"Manejo integrado de los recursos hídricos*", qué relacionan ustedes con este término? *(warming up question)*

2) qué elementos/ actividades del "IWRM" están actualmente contemplados/ implementados en bolivia dentro las políticas nacionales del sectoR?

3) En qué medida fueron involucradas las contrapartes extranjeras / donantes extranjeros en la adopción de este enfoque "iwrm"? que agencias?

4) Cuál ha sido el rol de la Comunidad Europea en integrar el enfoque "IWRM" en las políticas nacionales/ en las leyes/ en las actividades actuales de agua y saneamiento (W&S)?

Cuáles han sido Sus mejores contribuciones a esas politicas?

dónde y en qué medida podría mejorar su contribucion la Comunidad Europea al IWRM?

5) Y Cuál ha sido el papel de la CE en asegurar que se apliquen los principios del "IWRM" en el terreno en la provisión servicios de W&S?

dónde y en qué medida podría mejorar sus contribucion la CE en este aspecto?

6) Cómo perciben ustedes la coherencia y complementariedad del apoyo de la ce al sector W&S con las otras políticas sectorales de la misma CE?

qué otras políticas sectorales influencian la provisión de los servicios de W&S en bolivia?

cómo ven el papel de la ce en estos otros sectores?

En qué medida ha facilitado el papel de la ce en estos otros sectores su trabajo? en algún momento lo ha dificultado?

7) existen ejemplos – positivos o negativos – respecto a la complementariedad de actividades de desarrollo y de actividades de tipo humanitario/ emergencia?

en qué medida las actividades de la ce en ayuda humanitaria/ emergencia consideran o toman en cuenta las políticas del sector W&S ?

8) cómo perciben ustedes la coherencia y complementariedad del apoyo de la ce al sector w&s en relación al apoyo de otros donantes o agencias de financiamiiento?

cuáles son los principales donantes o financiadores que apoyan el sector w&s en bolivia?

hasta qué punto coordinan entre ellos? cómo lo hacen? es de importancia la coherencia para ellos?

dónde perciben ustedes las mayores diferencias en el apoyo (en cuanto a medidas/ procedimientos) de los principales donantes? (procedimientos, objetivos de los proyectos, implementación, sostenibilidad, etc.?)

CLOSING QUESTION

9) Cuáles son los asuntos clave que les gustaría conociésemos en esta visita?

16th August 2005