

Tajikistan
SDC – Rural Water Supply and Sanitation
External Review
9 to 23 March 2012



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Abbreviations and Acronyms

AKF	Aga Khan Foundation
AMA	Anti-Monopoly Agency
CHF	Swiss Franc
DCC	Donor Coordination Council
DWO	Drinking Water Organization
DRR	Disaster Risk Reduction
EBRD	European Bank for Reconstruction and Development
HH	Household
<i>Hukumat</i>	District Commission
IMCC	Inter-Ministerial Coordination Council
ISW	International Secretariat for Water
IWRM	Integrated Water Resource Management
<i>Jamoat</i>	Sub-district Commission
M&E	Monitoring and Evaluation
MDG 7	Millennium Development Goal 7 (Water, Sanitation)
MIROP	Central Irrigation Agency with decentralized regional branches (to be created under new Water Sector Reform)
MLRWR	Ministry of Land Reclamation and Water Resources
MSDPS	Mountain Societies Development Support Program (Aga Khan Foundation)
PHAST	Participatory Hygiene and Sanitation Transformation (UNICEF)
RRWSSP	Regional Rural Water Supply and Sanitation Project (Fergana Valley – Uzbekistan and Tajikistan)
RWS	Rural Water Supply Sanitation
RWSS	Rural Water supply and Sanitation
SCO	Swiss Coordination Office (Dushanbe)
SDC	Swiss Development Cooperation
SUE KMK	State Unitary Enterprise <i>Khojagii Manziliyu Komunalii</i> (Public Utility)
TajWSS	Tajikistan Water Supply and Sanitation Project
TJS	Tajikistan Somoni (currency)
TOR	Terms of Reference
UNDP	United Nations Development Support Program
WB	World Bank
WSR	Water Sector Reform
WSS	Water Supply and Sanitation
WTF	Water Trust Fund
WUA	Water Users Association
WUC	Water User Committee / Commission
WW	Wastewater

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Local currency (Somoni - TJS) – CHF / US\$ Conversion – Exchange Rate (March 2013)

1 CHF (Swiss franc)	=	4.82 TJS (Tajik Somoni)
1 TJS	=	0.21 CHF
1 US\$	=	4.48 TJS
1 TJS	=	0.22 US\$

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I. Executive Summary

Background

1. An External Review of the Swiss Development Cooperation (SDC) funded Rural Drinking Water Program and of the Tajikistan Water Supply and Sanitation Project – TajWSS was mandated by SDC Berne and the Swiss Cooperation Office (SCO) in Dushanbe. – **Annex 1 – Terms of reference (TOR)**. – The External Review team was to be composed by a national and an international consultant. The national consultant cancelled at last minute due to an accident, leaving the review task to the international consultant who worked with the full logistic backing of the SCO and in close collaboration with the partner donor agencies, OXFAM, Aga Khan Foundation (AKF) and the International Secretariat for Water (ISW). – A Gender Assessment was carried out in parallel but independently of the Rural Water Supply and Sanitation Assessment – **Annex 8 – Summary of Gender Assessment**.

2. The mission interviewed government officials in Dushanbe, as well as in the program / project areas of *Muminobad*, *Rudaki* and the *Khudjand* area, and visited projects implemented by OXFAM and the AKF through the Mountain Societies Development Support Program (MSDSP). Originally not foreseen in the review agenda was a visit to the Tajik part of the Regional Rural Water Supply and Sanitation Project (RRWSSP) in the Kanibadam District of the Khudjand area, implemented by the ISW. This project was evaluated in June / July of 2012 by SKAT. However, a visit by the Reviewer was considered useful in terms of lessons that may be learned from this Northern District project. A Debriefing Seminar was held at the SCO on 22 March 2013 – **Annex 2 – List of Agencies and People Met; Annex 3 – SCO Dushanbe Debriefing Participants – Annex 4 – Mission Agenda**.

Findings and Conclusions

3. The Review focused on **7 main issues** – none of which are new to SDC / SCO, or to the donor community. The Reviewer analyzed them for better focusing future development of the

rural water supply and sanitation (RWSS) sector. – The key and all-encompassing issue is **Sustainability**. It depends largely on resolving the questions on *Sanitation, Gender inequality, Institutional arrangements, Tariffs, the Water Trust Fund and Integrated Water Resources Management – IWRM*.

4. **Sanitation** – although the project is called Rural Water Supply *and* Sanitation (RWSS), sanitation is virtually absent from all SDC / SCO funded Rural Water Supply (RWS) projects, except for health and hygiene education, carried out by the three project partners, OXFAM, AKF and ISW. **Gender Inequality** is also apparent in all aspects of RWSS. Although women mainly deal with water provision and use, their access to water resources management and decision making is not equal to those of their male peers and they are still under represented in Water User Associations (WUA). This cultural phenomenon will take time to change. The project partners are making great efforts to promote inclusion – **Annex 8 – Summary of Gender Assessment**.

5. **Institutional arrangements** are being tackled within the (*draft – since not yet approved*) Water Sector Reform (WSR) carried out under the Ministry of Land Reclamation and Water Resources (MLRWR). The Reform is unlikely to be approved before elections later this year. In the meantime, the role of water institutions remains unclear. The State Unitary Enterprise – *Khojagii Manziliyu Komunali* – KMK, effectively a public utility, was created in the 1990s. Under the draft WSR (2013), **KMK would be a policy maker and regulator**. Several KMK officials interviewed expect that KMK will also be an *operator*, which would create conflicts of interests, as well as conflicts with the Water User Associations (WUA), established to manage village water supply. The legal and tax status of WUAs also remains to be clarified. According to UNDP, a leader in policy dialogue on the subject, “*The Law of WUAs needs to be reviewed with consideration of at least the (a) tax issue and (b) drinking water supply management role*”. While the law seems to be clear, it is not universally applied the same way. In the Khudjand area WUAs are registered as NGOs with the Ministry of Justice and are largely tax exempt, while in Muminobod and Rudaki WUAs are registered with the District Commission and apparently variably subject to taxes. This discrepancy between law and practice (registration and taxation) needs clarification.

6. **Tariffs** are being applied under all projects, though in many cases they are not (yet) following a specific formula that would foresee replacement and expansion of the systems. Tariff recovery ranges between 40% and 70% and tends to increase with improved awareness and responsibility for maintenance. Funding being a main driver for rural water supply development, **Water Trust Funds** have recently been set up for the OXFAM implemented projects in Muminobod and Rudaki *Hukumats* (Districts). The financing composition – 70% donor funding, 15% central government, 10% District, and 5% Sub-district financing – make it highly dependent on international and local investors.

7. **Integrated Water Resources Management** (IWRM) is a positive main objective of the Water Sector Reform. The Government has also chosen 5 river basins (**Box 2** – page 15) to

apply the new IWRM strategy. However the MLRWR still needs strong donor support to gain the capacity needed for applying the decentralized IWRM strategy.

Summary of Project Results

8. **Relevance** - The three projects – OXFAM, MSDPS-AKF in Muminobad and Rudaki, and ISW in the Kanibadam District of the Khudjand / Fergana Valley area – are highly relevant. They are in line with the WSR and the Water Strategy on decentralization and address real drinking water needs of the people. They contribute to cooperation and solidarity among the villagers, improved livelihoods, and better health, though the absence of sanitation infrastructure reduces health benefits.

9. **Effectiveness and Efficiency** – The projects have been effective in addressing the water needs, in generating user participation and in establishing WUAs. With coaching by the implementing agencies, some women have been included in WUAs, though their roles, other than administering health and hygiene education, are still rather symbolic. Most physical targets will be achieved by the end of the current First Phase (31.08. 2013 for Muminobad and Rudaki and 31.12. 2013 for Kanibadam District in the Khudjand / Fergana Valley). – **Annex 11 – Updated Logframe.** – Water Supply systems were also largely cost effective. Per capita costs ranged from US\$ 30 to about US\$130, with one exception – US\$ 231 – for the more complex OXFAM Dehlolo project (pilot) in Muminobad District. – **Annex 5 – OXFAM Investment Costs.**

10. **Impacts** – on beneficiary populations are multiple. Access of drinking water close to the household is a convenience and reduces health risks. Women, who in some instances spent half a day with their water fetching chores, now dedicate their spare time to family and vegetable gardening. In all areas where MSDSP is operational, women were supported to create '*Community Savings Groups*' (sponsored by AKF) – among which there are examples of effective income generating micro-credit schemes.

11. The projects also have had a positive impact on generating local funding for RWSS – through the establishment of Water Trust Funds (WTF) under the Muminobad and Rudaki District Commissions with national and local counterpart funding of 30% (70% SDC / SCO funding). The high dependence of the WTFs on donor funding, raises the question of sustainability. The possibility of converting the WTFs gradually into a revolving fund, alimanted by local resources would enhance financial sustainability of the RWSS sector and should be considered.

12. The Policy Dialogue has been positive but may be strengthened in the future, especially on WSR and IWRM (SCO / OXFAM) and on tariffs and taxes (OXFAM / UNDP), within the Inter-Ministerial Coordination Council (IMCC), as well as within the Donor Coordination Council (DCC), in which SCO plays a strong role. Under the Policy Dialogue several Thematic Working Groups (TWG) were created, notably one for tariffs, and several policy

papers were prepared by OXFAM, some of which were reflected in the (draft) Water Sector Reform (WSR) paper.

13. **Sustainability** – All Phase I projects are relatively new. Any statement regarding sustainability may be premature. They have created social awareness with a concept of participation and the establishment of WUAs, which already form a good base for **social sustainability**. Ultimately, sustainability will largely depend on acceptable solutions regarding tariffs, taxation of WUAs and ownership of the systems, as well as on the inclusion of sanitation infrastructure into the next phases. Sustainability will also depend on continuous funding for maintenance (tariffs and tariff collection) – **financial sustainability** – as well as on regular and long-term follow up and support of completed systems, until WUAs become fully autonomous in managing their water supply schemes – **institutional sustainability**. The absence of school, health centers and household (HH) sanitation infrastructure (toilets / latrines), is a negative factor **for socio-environmental sustainability**. As it reduces health benefits, beneficiaries may be discouraged maintaining the water supply systems and paying for them.

14. **Outlook** – The decision to separate the Tajik portion of the Uzbekistan / Tajikistan RRWSSP Fergana Valley is expected to facilitate integration into the new SDC / SCO Tajikistan water program. It may also help create synergies between the Kanibadam / Khudjand experiences and those of the Southern project Districts. Consolidation of the results of the *First Phase*, i.e. lessons learned, and addressing the main issues, will provide a **positive Outlook** for sustainable development of the next two four-year phases currently foreseen by SDC/SCO.

15. **Recommendations:**

- **Make RWSS an integral part of IWRM;**
- **Include sanitation** (infrastructure) in the next phases; and prepare *RWSS Strategic Vision* paper with specific parameters and possible methodologies to promote rural sanitation – see **Box 4** in *Conclusions and Recommendations* (p. 24);
- **Follow up** on *old* (completed) projects (also those of *Caritas* (2002-2011) in Muminobad), enhancing their sustainability by consolidating and complementing them with basic sanitation infrastructure (schools, health centers) and encouraging building of HH toilets by awareness campaigns and incentives (i.e. a market approach with incentive subsidies – see **RWSS Strategic Vision – Box 4**);
- Enforce and extend **Monitoring and Evaluation** (M&E) process of **all** projects, past and present, for improved sustainability;
- **Work towards full inclusion of health / hygiene education** in primary school curricula for major health impact;
- Strengthen **inclusion of women** in WUAs and in the decision making process;
- **Create synergies** between different WSS projects, i.e. by '*learning*' visits between RWSS projects;
- Enhance **cooperation** between SDC/SCO Health and the Disaster Risk Reduction (DRR) programs and those of RWSS;

- **Resolve legal and tax issues** (infrastructure ownership and tax liability) of WUAs – see also para. 5, above; and
- **Strengthen the policy dialogue** in view of IWRM and clear role definition of national institutions in the water sector – KMK (water supply), MIROB (irrigation), local authorities on district and sub-district levels, and WUAs.

II. Introduction

16. Based on a Needs Assessment facilitated by UNDP in 2003 - 2005, the Government of Tajikistan has adopted the "*Program on the Improvement of safe drinking water supply to the population of the Republic of Tajikistan for 2008-2020*". The estimated cost of the Program is US\$ 1 billion (expected sources of financing are 15% from National Budget, 15% from Local Budgets, and 70% from donors, international and local investors).

17. Tajikistan is one of the pilot countries for the implementation of the Millennium Development Goals (MDGs), including *MDG 7*, which is to substantially increase by 2015, the proportion of people with sustainable access to safe drinking water and basic sanitation. Despite strong political will, current levels of progress are insufficient to reach the targets.

Box 1

Millennium Development Goals – MDG 7 – 2015

- | | |
|-------------------------|-------------------|
| • Rural Water Supply | 74% (49% present) |
| • Urban water Supply | 97% (87%) |
| • Rural safe Sanitation | 50% (5%) !!! |
| • Urban safe Sanitation | 65% (44%) |

18. Switzerland has been supporting the water sector in Central Asia since 1998, mostly with irrigation. Drinking water supply and sanitation is a rather new addition (since 2004 - Uzbekistan) to Swiss support for the water sector. Water supply and sanitation programs have proven highly effective. The sub-sector is one of the four priorities of intervention in Tajikistan under the new Swiss Cooperation Strategy for Central Asia (2012-2015). – **Annex 6 – Swiss Involvement in Tajikistan's Water Sector since 2004.**

19. The Swiss rural drinking water program in Tajikistan currently consists of two projects, the Tajikistan Water Supply and Sanitation (TajWSS) and the Regional Rural Water Supply and Sanitation (RRWSS) projects, as well as contributions to the AKF-MSDPS implemented projects.

20. The SDC funded TajWSS program is implemented by OXFAM Great Britain, in partnership with UNDP (the policy component on the national level). It started in 2009 as a 4-year project aiming at resolving institutional issues and enhancing sustainability around decentralized water provision, by piloting different RWS models in Muminobad district where SDC previously invested into the sector through CARITAS; and in Rudaki District – **Annex 9 – OXFAM Designed RWS Models.**

21. The RRWSS project is part of the Water Strategy of Switzerland in Central Asia. It addresses critical needs for improving health and living conditions in the *Andijan* and

Fergana regions of the Republic of Uzbekistan (2004-2007). From January 2007, the project was expanded to the Tajik side of the Fergana Valley, bringing an answer to water management by WUAs and ownership of infrastructure. An External Review carried out in June 2012 (SKAT) concluded that the project is highly relevant and has a good potential for scaling up. SDC / SCO decided to separate the Tajik part of the project, finalize its current phase by end of December 2013 and tender the new Tajik project phase in the course of 2013 to begin in 2014.

III. Review Methodology

Purpose and Objective of Review

22. The **purpose and objective** of the ER is threefold:

- i) **Project Level** – validating the project objectives and achievements and assess their consistency with the (draft) Water Sector Reform and the National Water and Sanitation strategy;
- ii) **Program level** – assessing its coherence with the Government's sector policies, i.e. tariffs, institutions, taxation of WUAs, sustainability; and
- iii) **Outlook** – presenting ideas for a forward looking future SDC / SCO rural water supply and sanitation sector involvement in Tajikistan, capturing the synergies of program and projects.

Methodology

23. The External Review team was to be composed by a national and an international consultant. The national consultant cancelled at last minute due to an accident, leaving the review task to the international consultant who worked independently, but with full backing of and in close collaboration with SCO and its partner donor agencies, OXFAM, AKF and ISW. The review was organised in a participatory manner and included the following data collection and analysis methods:

- Desk review of documents, reports and written records produced in the framework of the project.
- Interviews with officials from key national and international agencies (different stakeholders at the village, district and central government levels, multi- and bilateral donors and financing agencies, as well as beneficiaries) – ***Annex 2 – List of Agencies and People Met***;
- Field visits to 6 project locations – 3 OXFAM (2 in Muminobad District, 1 in Rudaki District); 2 AKF-MSDPS in Muminobad District; and one (multi-village) of the RRWSSP (ISW) in Kanibadam District of Sugd Oblast (Province):

Muminobad District

Kipchok – operating since July 2012 – AKF-MSDSP

Lab Havz – operating since July 2012 – AKF-MSDSP

Dehlolo – operating since January 2013 – OXFAM

Shululu – not yet completed, but partially operating (stand posts) since 22.12.2012 - OXFAM

Rudaki District

Mahmurut (spring) Multi-village system – operating since December 2012 - OXFAM
(5 Villages: Navobod, Duobaibolo, Mehtari, Rohati, Nilkon)

Kanibadam District

Mahram (pump station) Multi-village system – operating since 2010 – ISW
(4 villages: Mahram, Pakhtator, Lokhuti, Karakchikum)

*A Synopsis of Filed Visits is attached – **Annex 7 – Synopsis of Village Visits***

- Seminar type debriefings with SCO Dushanbe and partners (22 March 2012), as well as with SDC Berne on 11 April 2013.

IV. Review Findings

Country Context

24. Water is Tajikistan's socially and economically most important resource. Tajikistan has about 7,000m³ per capita per year renewable fresh water (compared to about 3,000 m³ in Europe), about 90% comes from high mountain glaciers. Yet, less than 50% of the rural population – accounting for about 70% of Tajikistan's 8 million inhabitants – has **access to safe drinking water**. In urban areas, safe drinking water coverage is about 87%. **Access to sanitation** is assessed in urban areas at 80% - of which only 44% are considered *safe*. In rural areas *safe* sanitation is estimated at only 5%. About 70% of all **infectious diseases** are intestinal and most of them hygiene related. **Malnutrition** is another indicator for poverty, present in a number of districts, including in Muminobad, a project district, where food security is considered as '*stressed*', meaning people living at or under the threshold of food security. Malnutrition is a main cause for child mortality (58%).

(Sources: Food Security – World Food Program – WFP – Classification – Jan 2013; and WFP / World Bank (WB) monitoring 2008-2010)

25. **Youth** - about 34% of Tajikistan's population is under the age of 14. The combination of ample, pristine water resources and young dynamic human resources offers a great potential for development.

Main Issues

26. The Review analyzed the **7 main issues** with a view of enhancing future development of the water supply and sanitation (WSS) sector.

27. The key and all-encompassing challenge is **Sustainability**, which depends largely on resolving these issues:

- Sanitation

- Gender inequality
- Institutional arrangements
- Tariffs / Cost recovery
- Water Trust Fund
- Integrated Water Resources Management – IWRM

28. **Sanitation** – although the project is called Rural Water Supply and Sanitation (RWSS), sanitation is virtually absent from all SDC / SCO funded Rural Water Supply (RWS) projects. No rural sanitation infrastructure is built under the current phase of SDC funding. However all three project partners, OXFAM, AKF- MSDSP and ISW, carry out health and hygiene education programs – which is positive. In the case of ISW (Kanibadam), health and hygiene education (basically UNICEF's *PHAST* program – ***Participatory Hygiene And Sanitation Transformation***) have recently been incorporated into Khudjand's primary school curriculum. Most rural toilets (latrines) visited in all three districts are grossly unhygienic and contribute to infectious diseases. According to the World Health Organization (WHO), absences of hygienic sanitation facilities and of people's hygienic behavior counteract the benefits of drinking water supply.

29. **Gender Inequality** – is also apparent in all aspects of RWS. Although women carry the main burden of water responsibilities – fetching, storing and managing water within the HH, they are not equal with their male peers in the decision making processes. This may be a cultural phenomenon that will take time to change. All three project partners are well aware of it and make great efforts to including women in decision making, as well as in WUAs. Women play already a key role in administering hygiene and health education in rural communities – ***Annex 8 – Summary of Gender Assessment.***

30. **Institutions** – The *Water Sector Reform* (WSR) carried out within the Ministry of Land Reclamation and Water Resources (not yet approved) is strongly focusing on *Integrated Water Resources Management* (IWRM) and on RWSS within IWRM as a priority. This is positive. Although KMKs RWSS 'investment plan' – US\$ 1 billion over 20 years – is rather unrealistic and needs more work – see section on *RWSS Strategic Vision* within *Conclusions and Recommendations* (**Box 4**, p. 24). In addition, though sector organizations are defined within the WSR, in practice they are fragmented and act often with conflicting interests and overlapping responsibilities.

31. There are two independent water agencies that are hierarchically at the same level as the MLRWR. The new *MIROB*, the central irrigation agency with decentralized (regional) branches – controlling about 90% of all water resources – is to be created under the WSR. The State Unitary Enterprise – *Khojagii Manziliyu Komunali* – SUE KMK, or simply *KMK* – with decentralized branches (about 5% to 10% of water resources) was created in the 1990's and is 'responsible' for drinking water supply in both urban and rural areas. According to the draft WSR, KMK will become a regulator and policy maker. However, KMK officials see themselves also as *operator* – which would be a conflict of interest. The IMCC is expected to

have sufficient political leverage to resolve or avoid such conflicts. As of now such results are not visible. – *See also para. 56, below, for Policy Dialogue results.*

32. *Vodakanals* – a public utility under KMK – are implementers and operators in urban and semi-urban areas, except in *Dushanbe* and *Khudjand* where they are identical with the municipal public utility for Water Supply and Sanitation.

33. **Water User Associations** (WUA) – the name has traditionally been used for irrigation water users, but is now also often adopted for drinking water user associations / organizations, in addition to Water User Committees – WUC (OXFAM and AKF-MSDPS in Muminobad), as well as Drinking Water Organizations – DWO (ISW – Kanibadam district). *For the purpose of this report, all village-level organizations dealing with drinking water and sanitation will be called WUAs.*

34. Although in most cases registered with the District Commission (*Hukumat*) and its Tax Commission, WUAs legal and tax status is not clear. In some cases, especially in the Kanibadam RRWSSP project area – Fergana Valley – WUAs are registered as NGOs with the Ministry of Justice and are largely tax exempt.

35. According to UNDP which has been leading WUAs legal status and tax review – *“The issue of WUA in the context [of taxation] is sort of a grey area”*– and – *“almost all WUAs are not taxed, except for few cases where income tax on salaries are applied. This is because, it is clear they are seemingly not for profit at all. Nevertheless, the Law on WUAs needs to be reviewed with consideration of at least the (a) tax issue and (b) drinking water supply management role (which suits basin management principle).”*

36. A related issue is ownership of rural WSS infrastructure. Ideally, ownership of WSS installations should remain at the village or sub-district (*Jamoat*) level. But there is currently pressure by KMK to take over ownership, as part of being ‘operator’ – as they claim.

37. If left unresolved, these issues could affect project sustainability.

38. **Tariffs – Cost Recovery** – All three SDC / SCO project partners (OXFAM, AKF, and ISW) have devised tariff formulas and handed them to their respective WUAs. To be formalized, all tariffs have to be submitted to and approved by the state Anti-Monopoly Agency (AMA). At present, all projects (WUAs) visited in the Muminobad and Rudaki Districts are new and have been operating at the most for one year. They are – *for now* – applying an *ad-hoc* tariff, decided at village assemblies and based on affordability. – Future tariffs, especially in semi-urban areas, should also include an element for sanitation in preparation for imminent sanitation infrastructure.

39. The OXFAM / UNDP led TWG on tariffs, together with the Anti-Monopoly Authority (AMA) which eventually has to approve the formula and the tariff, is currently elaborating tariff calculation methods. On the other hand, ISW (Kanibadam District in Khudjand area)

has established AMA approved tariff formulas and applies AMA approved tariffs in its projects. Also, ISW discusses and agrees on tariffs with WUAs before RWSS construction begins. This avoids 'surprises' later on. It is also a practice applied in other parts of the world and is strongly recommended to be practiced universally in Phase II projects.

40. **Metering** – For unmetered water supply systems, i.e. stand posts, families are requested to pay a monthly tariff according to the number of family members. In the Fergana Valley (Kanibadam - ISW), WUAs assess family sizes in summer and winter to account for migrant labor and adjust tariffs accordingly. Yard connections are metered and tariffs are levied according to cubic meters (m³) used per month. Tariff collection varies widely. In Muminobad and Rudaki Districts they are between 40% and 70%; and in Kanibadam District between 60% and 90%.

41. **Subsidies** – Tariffs normally include an element of subsidy for poor and destitute families within the same village. It might be worth considering for future phases to devise a cross-subsidy system within clusters of villages, whereby communities with low cost access to drinking water would pay a portion towards maintenance costs of 'poorer' villages with more complex and costly systems.

42. **Paying for water** – is a question of mindsets. During the Soviet era most services were free, including water and sanitation. It is difficult and will take time for people, especially older generations, to adjust to the new realities. But all three project partners campaign with WUAs and with steady perseverance – that collecting money for the systems is important for maintaining them and replacing / renewing them in the longer run.

43. In Kanibadam District (ISW) tariffs were submitted and approved by AMA. Tariffs of the WUAs visited in Muminobad and Rudaki have yet to be submitted to the AMA for approval. WUAs explain that they first have to experiment with the tariff, and once they are used to it, they will submit it to AMA. If AMA refuses and requires a higher tariff, it may be difficult to adjust upwards and find acceptance among water users. – In order to avoid unpleasant surprises, tariffs and their structures and components should be explained, discussed and agreed upon with WUAs before the water systems are built – see para 39, above. OXFAM carries out 'willingness to pay' surveys, but they are none-committal.

44. **Water Trust Funds (WTF)** – one each has been recently set up in Muminobad and Rudaki Districts under the respective District Commissioners and with OXFAM as project implementing partner. The WTF is a funding mechanism which provides grants for drinking water supply and sanitation projects in the pilot districts - Muminobad and Rudaki. The fund is established under the local *Hukumat* (District Commission) and has a Board of Trustees, comprised of civil society, the private sector and government. Communities submit funding applications to the board which are reviewed in a transparent and accountable manner. The WTF is fully replicable and can be utilized by other organizations. Financing of the WTF consists of 70% donor contribution (SDC), 15% from Central Government, 10% from District Government and 5% from Local (sub-district) Government.

45. Trust Funds typically are set up for a particular purpose and for a defined time period. By definition, TFs are therefore not sustainable. This may also be the case for the WTFs, if they remain as currently designed. Developing RWSS is a long term proposition, requiring a long-term – and if possible, *replicable* - solution. Donors and / or government, current contributors to the WTF, may over time shift priorities to other sectors, thereby jeopardizing the WTF's continuity.

46. To make them more sustainable, the WTFs could be turned into *Revolving Funds* for RWSS development. For example, the amortization / replacement component of tariffs would be paid into WTF, in addition to the 5% local government contribution. The WTF could also solicit donations from donors and private sector sponsors which would allow it to gradually and over time become a self-sustained fund, i.e. a revolving fund, independent of specific donor or government contributions, thereby becoming a sustainable financial instrument for the RWSS sector. To reduce the risk of misuse of funds, both the WTF and the revolving fund would have to be supervised by a multi-stakeholder control board, similar to the current Board of Trustees.

47. **Integrated Water Resources Management** – is on top of the MLRWR's agenda and a key objective of the Water Sector Reform – though not expected to be approved before Presidential Elections later this year. IWRM is a long-term process rather than a program or project. IWRM is critical for the future of the sector – and of the country, since the sector is divided according to different interests (agriculture, energy, industry and drinking water supply). Water is the most precious resource of Tajikistan. IWRM is crucial for managing key river basins, most of which are trans-boundary, prone to conflicts. The MLRWR has already selected 5 river basins to apply IWRM principles – see **Box 2**, below). IWRM would help avert disaster risks, contribute towards food security (large proportion of the population suffers under 'food stress'- i.e. is at the border of malnutrition) – and IWRM is vital to improve livelihoods through a better balance of the use of water, including the supply of drinking water in rural areas, where currently less than 50% are served.

Box 2

Selected Basins for IWRM (basin management)

- *Syr Darya Basin* (trans-boundary - Kirgizstan);
- *Kofarnihan Basin* (limited trans-boundary Uzbekistan) ;
- *Vakhsh Basin* (limited trans-boundary with Kirgizstan);
- *Panj Basin*;
- *Badakhshon Basin*

48. In addition, the country is rich in mineral resources, most of which are not yet exploited. In mountainous areas, mineral resources are often found in or near mountain tops, in heads of watersheds. Future mining in watersheds would jeopardize the water resource through contamination of chemicals and heavy metals. In extreme cases it may annihilate entire ecosystems, as was found in other mountainous countries, for example in the *Andes* of Latin

America. IWRM, and appropriate legislation (possibly an adjustment or modification of the Water Code), would help alleviate such risks.

49. The Government's political will towards IWRM may be strong, but its capacity of implementing efficient IWRM appears weak. It will need consistent and strong support in the next phases, both at the policy dialogue level, but possibly also with direct assistance.

50. **Sustainability** – of the Swiss water programs depends largely on finding solutions to the above issues. In the water sector, sustainability has little to do with technical know-how, but much with socio-political understanding - requiring permanent attention. What looks sustainable today may fall apart tomorrow, just because politics change.

V. Project / Program Impact

Relevance (Answers to TOR questions, page 5)

51. **Relevance – Program Level**

i) **SDC / SCO Water Program and Water Sector Reform** – The SDC / SCO water program is in line with the new proposed Water Sector Reform, prioritizing IWRM and decentralization. It also addresses the institutional issues and (water) legal issues, though continuous support in this domain is much needed. The SCO also has an excellent cooperation and is coherent with other donors' activities. In fact, SCO is playing an important role (tacit leadership) in DCC and is quite influential in the IMCC – to be continued and enhanced in the future.

ii) **Vulnerable people** are addressed by tariff subsidies within a village, i.e. the community agrees on those families / people who cannot afford paying for water, and water tariffs include the cost of their consumption.

52. **Relevance – Project Level**

Challenges – The projects are in line with the government's strategy of decentralized water management. They are very relevant to the populations served by drinking water, in terms of comfort of having drinking water close to the household, but also by improved health. According to WUA representatives, as well as the *Dehlo* Health Center, intestinal infections and diarrheal diseases in children (under 5) have been reduced since operation of the systems. However, challenges remain – see issues above – but in particular sanitation. The current phase has not foreseen any investment costs for sanitation infrastructure, either for schools and health centers, at the HH level, or for wastewater evacuation and treatment in semi-urban areas – **see also Box 3**, below.

53. The same also applies to the *Caritas* program that built from 2002 to 2011 about 20 RWS systems. The sanitation component, other than hygiene education, was missing. Although the three project partners (OXFAM, AKF and ISW) provide health and hygiene education programs, the absence of physical infrastructure reduces the health benefits of safe drinking water supply.

54. Cooperation and synergies between the SDC / SCO Health program and Rural Water Supply and Sanitation, as well as between RWSS and Disaster Risk Reduction (DRR) are important to derive optimal benefits for the investment – and for the beneficiaries. This is already being tackled by SCO. For example, a DRR mainstreaming workshop was organized by SCO for its RWSS and irrigation partners. The future *Rasht Valley* project will be a multi-sectorial program with RWSS, health and DRR. This is a new approach and will require close monitoring to become effective.



Box 3

Model 5 of OXFAM's 5 RWS Models – see also Annex 9 – Improving and extending water supply for the **Rayon (district) Center of Muminobad**, population 12,900 (*under preparation*). The current system, before the proposed improvement, serves about 5,000 people. Six additional, smaller systems serve another 3,700 people, from a source that has about 60% more capacity than is currently used. Total water production for 8,700 people is about 2,400m³/day = ~275 li/c/day. According to the *Vodakanal* official, at least half of the produced water is lost. There is no wastewater evacuation / treatment system. The used or lost water – 2,400m³ daily – flows into a *wadi*-like riverbed, from where it seeps into the groundwater or ends up in a river from where downstream people use the water. The new water supply system under preparation would produce more water to serve the total population (12,900) of Muminobad Center. *However, no wastewater disposal / treatment system is foreseen.* This was brought to the District Commissioner's attention, who recognizes the pollution hazard and committed himself to do the utmost to mobilize the necessary resources to build a wastewater disposal / treatment system in parallel. – To be followed.

Effectiveness

55. Effectiveness – Program Level

SDC / SCO have already a **strong programmatic approach**, coordinating and teaming-up with other donors and actors in the sector. This is reflected in the important role SCO plays in the DCC. This activity could still be strengthened in the future, particularly with regard to tariff policy, definition of legal and institutional framework, IWRM and – inclusion of sanitation in all donor funded RWS projects.

56. Effectiveness – Project Level

i) **Policy dialogue OXFAM / UNDP** – the future TajWSS project – OXFAM – will continue with the policy dialogue on tariffs, legal and institutional issues, through its partner UNDP which has already a leading role in institutional (WUA) and tariff policies.

Major achievements from the policy dialogue component under Phase 1:

- Passing by Parliament the Law on drinking Water;
- Naming SUE KMK as the national regulator for both urban and rural WS&S subsectors – despite the potential conflict of interest (paras. 5 and 31, above) – this decision does bring some clarity to subsector regulation;
- Manual on administrative procedures to obtain permits for the implementation of RWSS projects approved by the National Agency for Construction and Architecture (NACA);
- Development of the methodology for a technical inventory of RWSS (and the approval of the methodology by SUE KMK) facilities and its application during the inventory process being conducted in Muminobad district;
- Institutional structure for district-level governance and management of drinking water supply and sanitation sector in Tajikistan, adopted by the TajWSS network.

ii) and iii) **Policy dialogue** – OXFAM – TajWSS works through the local, district and national level as bonding agent to advocate for good governance of the sub sector. However, as an NGO, OXFAM cannot directly participate in policy dialogue with the government, but does so through UNDP. In the future SCO could further strengthen that dialogue at a higher central

level, i.e. the MLRWR and with KMK, as well as at the District and Sub-district levels, which are the direct links to WUAs.

OXFAM has established an informal Network among key stakeholders of the RWSS sector. The Network has provided a forum where improved coordination and communication among stakeholders has been realized to some extent, i.e. sharing of best practice, exchange of policy solutions, as well as the establishment of 13 Thematic Working Groups (TWG). These TWG have developed several policy briefs (8) and research reports (3). These efforts contributed to the Policy Dialogue and to the design of the WSR. However, few tangible results of this Policy Dialogue are so far visible. For example the tariff TWG, one of the more prominent working groups, though active since a while, has not yet come to a concrete and AMA approved tariff formula. On the other hand, ISW, working in the Kanibadam District of the Khudjand area, has developed an AMA approved tariff formula which is systematically applied in the Kanibadam District. Clearly, synergies and a better exchange of best practice experiences between ISW and the Southern Tajikistan SDC partners, OXFAM and AKF, as well as the UNDP-led TWG on Tariffs, are of the order in the new program phases.

Efficiency

57. Efficiency – Program Level

i) **Financial resources** - covering sanitation infrastructure for schools and health centers, wastewater disposal and treatment, i.e. for the Center of Muminobad District (see **Box 3**, p.18), as well as toilet construction incentives for building HH toilets, will require additional resources. Additional funding could come from SDC directly or from a third source. For example, the World Bank is planning to set up a country-wide Trust Fund for communal services which may include sanitation infrastructure. This TF is, however, currently only at the planning stage.

ii) **Reaching the goal** – SDC / SCO has a broad, efficient and inclusive approach, working in close cooperation with its donor and government partners – *pulling on the same string* – towards a common goal, a long-term strong and sustainable water sector. However, enhanced support may be given to the MLRWR on IWRM and on legal and institutional matters.

58. Efficiency – Project Level

i-a) SDC / SCO have already a strong advocacy role and are highly appreciated for it by donors and government officials alike. It is expected that this advocacy role will continue into the next phases.

i-b) OXFAM is a professional organization with good participatory concepts. With their field staff, especially in Muminobad they should be well equipped to go into the next phase. OXFAM needs to enhance M&E beyond the two years for finished projects which is now their norm. An example could be taken from ISW which follows up on finished projects for up to ten years, and beyond if necessary, gradually decreasing the frequency of attention, as WUAs become more confident with their tasks. RWSS is more a social than a technical activity. The duration of necessary changes of habits and mind-sets may be long, varying depending on the leadership and constellation of a community. It is important that project

management adapts to these circumstances, thereby substantially contributing to sustainability.

i-c) AKF- MSDPS has ample experience in the region and with MSDPS in the field, their capacity should be adequate for Phase 2 operations. Similar to OXFAM, their M&E practices should be enhanced – see *para. iv-b, below*.

ii) Utilization of equipment – beneficiaries and government officials are highly satisfied with and appreciative for the water supply equipment / infrastructure supplied and built under the current phase. All equipment is used, often even before the project is fully completed.

Most of AKF-MSDPS systems are based on relatively simple spring or borehole supply and are highly cost efficient with US\$ 30 to US\$ 70 per capita investment cost.

iii-a) Optimization of project approaches – current (rural water supply) project approaches could be optimized and strengthened by including a physical (infrastructure) sanitation component and by incorporating health and hygiene education into the Primary School curricula. The latter has already been done effectively in the Kanibadam District.

Further optimization of health benefits from water and sanitation might be achieved from improved synergies and cooperation between the SDC / SCO Health and the Water and Sanitation Programs.

iii-b) In an effort to **consolidate experiences** in Phase II, SDC / SCO may design one or several project approaches drawing from Phase I *best practices*.

iii-c) Further **optimization of project approaches** and efficiency may be achieved by structurally **linking the SDC / SCO Health program with the rural RWSS program**. For example, if possible, design work programs in the same districts. Where this is not feasible, organize regular interchanges between RWSS and Health staff at SCO as well as in the field. A similar method may be used to improve synergy between RWSS and DRR programs.

iv-a) Monitoring and Operation (M&E) systems are in place with all SDC / SCO partners – OXFAM, AKF, and ISW – however, the projects are new and still functioning without problems. Baseline statistics are at the heart of effective the M&E systems. OXFAM and ISW have established baseline data. The results of M&E will be seen in the years to come. – In the case of the *Caritas program (2002-2011) in Muminobad*, during which about 20 water supply systems were built, according to the current program manager (who is no longer responsible for rural WSS, because it is not included in his program), no retroactive follow-up or M&E was included in the past program. It is possible that several of the 20 projects built in the last ten years are no longer or only partially functioning.

iv-b) SDC / SCO's funding of **AKF** is based on "**Quick Disbursement**" or "**Contribution**" arrangements, rather than the more traditional *ProDoc*, where closer supervisions and monitoring are of the order. Although AKF is an experienced and well respected donor in the region, it might be advisable in the future to build into the *Contribution Agreements* clear targets and logframes that can be monitored.

Governance

59. Program Level

i) **Tariff policies** and taxation are real issues. They are addressed in the program, but progress is lagging. The new phase may put more emphasis on the policy dialogue and on resolving these issues which otherwise may hamper sustainability.

ii) **Water quality** – Water is methodically chlorinated in all water supply systems by WUAs, assuring adequate quality. In addition, the Ministry of Health (Sanitarian Epidemiology Station – SES) is responsible for conducting water quality tests for substances not neutralized by chlorine. According to government norms, SES is supposed to carry out different tests. For underground water, such as springs and wells, tests are conducted 4 times per year from the source, which include tests for organic and non-organic substances. For surface water sources (which none of the Swiss funded projects are using) tests are supposed to be conducted once per month. For all types of systems, tests are to be conducted at random distribution points twice per month. The costs of these tests are presumably covered in the tariff, paid for by the WUA and conducted by SES. Monitoring whether or not and at what frequencies these tests are carried by SES is essential, but is not commonly done by OXFAM and AKF. According to both AKF and OXFAM, they provided equipment to each SES, so they could periodically check the quality of water and chlorinate it. At least in the AKF- MSDPS project areas testing is not done consistently. The reason, according to AKF, is probably shortage of funds. In the Kanibadam District, in addition to chlorination, ISW has instituted through SES regular laboratory checks which are monitored frequently.

Countrywide SES may be short of staff and money to carry out regular laboratory tests. A solution may be partial and declining funding of project related lab-tests through the projects. For example, in year one (of Phase II); financing of lab-test costs would start, say at 30%, reducing to 20% in the second year, to 10% third year and zero in the fourth year. This would allow SES to adapt their budget gradually to the increased testing requirements, and SES activities could be monitored closely by SDC / SCO implementing partners.

General Impact by RWS Projects

60. All three projects have a positive impact on the livelihood and health of the population. In the case of one AKF- MSDPS project, where water was brought closer to households, and where women were basically responsible for water fetching, the women use now their 'spare time' for *savings group* activities – in some cases turned into a micro-credit scheme which allows them to generate additional family income. This is originally an AKF initiative.

61. For Muminobad and Rudaki Districts, OXFAM has designed 5 models to be tested and implemented under the current and next phases – **see also Annex 9**. They range from simple spring water catchment channeled by gravity to a settlement, to a more complex multi-village system with a large population and the need of electricity to operate pump stations. The results of these models may be monitored in the next phases. They may vary from case to case and become sources for lessons learned.

62. In the Kanibadam District of the Khudjand area, ISW has designed simple village, as well as multi-village systems based on boreholes with well-structured WUAs and AMA approved

tariffs. Health and hygiene education have been incorporated in the primary school curricula – from which a long-term impact on improved hygienic behavior may be expected. ISW has also put in place a long-term (up to ten years) M&E program, with declining intensity, as WUAs gain autonomy.

63. All three project partners have initiated innovative somewhat different project schemes. An interchange of experiences among beneficiaries and WUAs is encouraged – **Annex 10 – Project Impact Matrix**.

VI. Conclusions and Recommendations

Conclusions

64. Given the long-term nature of rural water supply and sanitation, the first phases have started well. The future phases will have to concentrate on consolidation of experiences, awareness for the necessary mindset changes and social adjustments. This requires the development of a **long-term strategic vision for RWSS** within the concept of IWRM the government has opted for with the support of SDC / SCO.

65. **The RWSS strategic vision** has an 8-year horizon, for two four year segments, during which implementation approaches may be streamlined towards resolving specific issues mostly related to different aspects of sustainability, including links to sanitation and health. **Box 4 – below – illustrates the key elements of the Strategic Vision**.

66. On **Policy dialogue**, much has been achieved in terms of **Water Sector Reform**. Future support to MLRWR and WSR needs to continue, especially focusing on the details of implementing the WSR. **Integrated Water Resources Management** is a key area that needs continuous support, including the establishment of an IWRM unit within the MLRWR. Such a unit may be important for three reasons: (i) a semi-autonomous IWRM policy making body at the center (within the MLRWR) would give directives and supervise the (5) basin agencies to be created, (ii) it would give the MLRWR more authority in terms of balanced water management, vis-à-vis the two independent water agencies, MIROB (irrigation/agriculture - ~90% of water) and KMK (5%-10%), both at the ministerial level; and (iii) creating such a central water authority might facilitate implementation of the WSR.

67. The **Water Code** should also be revisited within the Policy Dialogue, especially with regard to its coherence with the law for drinking water, but as well as regards the new IWRM concept to be implemented within the Water Sector Reform. Tajikistan is rich in mineral resources; many of them are likely to be located in on or near mountain tops, in heads of watersheds. **Heads of watersheds need to be protected** by law from mining and heavy industries. This is not the case within the current Water Code.

68. Given the large amount of (pristine) **water resources** Tajikistan has at disposal as **an economic development tool**, it would seem that giving water a special 'home' within the government, i.e. an IWRM unit, would be a first step towards efficient water management.

69. SDC is well placed for this Policy Dialogue through the recently identified **water resources management project** at *Syr Darya River Basin*, building and rehabilitating irrigation schemes and with the objective of creating a River Basin Agency. The purpose of river basin agencies is to democratically consolidate interests of different water users within the basin and of arbitrating and resolving potential conflicts.

70. The planned **8-year irrigation program** (2013-2020), in two 4-year phases, is expected to be co-financed by the World Bank in the second phase. Establishing a successful **river basin organization** is a dynamic long-term social, environmental and economic proposition. For such an agency to become fully operational may take considerably longer than the two phases foreseen.

71. The rural water supply projects implemented by the three partner agencies, OXFAM, AKF and ISW, have left a positive impact with the beneficiary populations, as well as with the different levels of government. They have improved the livelihoods of people and their health. However, health benefits could be optimized by sanitation infrastructure.

72. **Rural sanitation** remains one of the most important challenges for future phases. The additional cost for sanitation infrastructure should ideally be funded by SDC, but could also be subject to co-financing arrangements with other donors. Safe water supply and toilets in schools and health centers is essential. The building of HH toilets / latrines can be stimulated by awareness campaigns and construction incentives. In larger semi-urban centers, where water supply systems are being built to deliver more than 50 li/c/day, to several thousand people, wastewater disposal and treatment should also be foreseen, i.e. Muminobad center – see **Box 3**, p.18.



Box 4

Outline for an RWSS Strategic Vision – 2014 and Beyond

1. Arguably, the country's most important natural resource is water. At present the importance of water allocation is (1) Energy / agriculture (90%), (2) urban / industrial water supply (7%), and rural water supply about 3%. Yet 70% of the population lives in rural areas of which less than 50% have access to safe drinking water. About 70%-80% of infectious diseases in children under 5 are related to unsafe water and lack of hygiene and safe sanitation – which translates into 35% to 40% of total child mortality.

2. Rural Water Supply Sanitation has taken a back seat in the country's priorities, to the point where it is a hindrance to socioeconomic development. This insufficiency increases school and labor absenteeism and exacerbates the effects of malnutrition, through further reduction of a child's immune system. About half of Tajikistan's Districts are considered with or at the threshold of *food security stress*, resulting in malnutrition. The supply of safe drinking water and provision of hygienic sanitation, coupled with systematic health and hygiene education (through the national school system) could make a long-term difference in Tajikistan's economic prosperity.

3. The Government in its Water Sector Reform aims as a priority at Integrated Water Resources Management (IWRM) which is actively supported by SDC / SCO. This is already manifested by SDC / SCO current political dialogue, as well as by the commitment to an irrigation project as part of integrated watershed management in the *Syr Darya* Basin, or a sub-basin thereof, in the Fergana Valley, where a watershed management authority will be created.

4. Practical application of IWRM can be initiated through any water sub-sector; for example, through irrigation as in the *Syr Darya* Basin; or in Bosnia-Herzegovina, where SDC initiated IWRM with the provision of water and sanitation services in secondary towns of the *Una-Sana* Basin in the North-Western part of the country, with offices in *Bihac* and *Prijedor*. Recognizing the contamination risks of ground and surface water, a solid waste component was added.

5. A similar concept might be applied in Tajikistan's Muminobod District, where SDC / SCO are active in RWSS through OXFAM and AKF-MSDPS. The Federation of Water Users (an association of WUAs), supported by the Local Development Committee of Muminobod District, could take the lead in organizing integrated watershed management in Muminobod, with the WUAs carrying out and supervising different water management components, i.e. supply of drinking water, the provision of sanitation services (safe wastewater disposal, solid waste collection and safe disposal, to avoid water and environmental pollution, building of school and health center toilets, introduction of hygiene education in primary school curricula, encouraging with incentives construction of hygienic household toilets / latrines); organization of irrigation services with appropriate water allocation and drainage schemes, and seeking cooperation and synergies with SDC/SCO health and disaster risk reduction programs.

6. So that RWSS gains its place in socioeconomic development priorities, the sub-sector is to become an integral part of IWRM, with future phases of SDC / SCO RWSS programs to be designed accordingly. The political dialogue within the Donor Coordination Committee (DCC), as well as SCO's tacit role in the Inter-Ministerial Coordination Committee (IMCC) is to continue with a strong focus on the integration of RWSS – meaning: Rural Water Supply and Sanitation – into the concept of IWRM.

7. The *Strategic Vision* would have micro and macro elements. The *micro* – would focus on RWSS as an integral part of rural development; the *macro* – would incorporate RWSS within the overall concept of IWRM. This may include the following design and strategic vision criteria:

Micro

- **Consolidate the approach to RWSS**, learning from best practices (models, design, social mobilization methodology) of the first phase (possibly also looking at other donors active in RWSS);

- **Design at least one of the RWSS projects in the Syr Darya Basin**, area of the SDC/SCO irrigation project, making it *de facto* a part of integrated watershed management, i.e. RWSS to use if possible, the same underground or surface water resources that are used for irrigation and be managed by the same WUAs;
- In other areas **RWSS could become the engine for IWRM** – WUAs to organize water related economic activities (i.e. irrigation, wastewater treatment, local hydro-energy production, marketing of agricultural production) within a watershed, or sub-watershed;
- **Prepare with the partner agencies (workshops) a Strategic Vision paper** (including models, design, social mobilization methodology and priority areas) for the Ministry of Land Reform and Water Resources (MLRWR), to become part of the Water Sector Reform;
- Use the **Strategic Vision** paper as a **platform for the political dialogue** (DCC, IMCC);
- Design other water related SDC / SCO programs – **Health and Disaster Risk Reduction (DRR)** – with a view of creating **synergies between the sectors, including RWSS**, i.e. if possible in the same districts (for example in the Rasht Valley); and
- Specific strategy on sanitation
 - **Plan as part of the new Project Phase** systematic construction of safe and hygienic toilets / latrines (preferred versions – *VIPs* = *Ventilated Improved Pit Latrines, septic tanks*) in school and health center, as well as other public entities, such as municipal townhalls and markets;
 - In larger **semi-urban centers**, where water supply systems are being built to deliver 50 li/c/day or more to several thousand people, appropriate, low cost **wastewater disposal and treatment** should be foreseen;
 - **Initiate a massive campaign**, including through all available medias and schools, on safe sanitation through household (HH) toilets or latrines (septic tanks), offering incentives for the construction of HH toilets, i.e. free cement, or subsidized latrine slabs or toilet seats;
 - **Facilitate markets for HH sanitation equipment** within participating project villages or clusters of villages; and
 - **Monitor closely progress** of the campaign – changing mind-sets / attitudes, behavioral conversion in the use of clean and hygienically safe toilets, and on health impact, centered on baseline data to be collected at the beginning of every project.

Macro

- Provide strong **support to the MLRWR for IWRM**, including the creation of an IWRM unit within the Ministry.
- Highlight **within the IWRM purpose and long-term strategy**:
 - **Efficient and socioeconomic water management** – water as a crucial element for economic development, i.e. crop diversification / planning, energy production, environmental and water resources protection, wastewater treatment and disposal;
 - **Food security** through increased yields via regulated and technified irrigation as a means to reduce malnutrition and advance social development and wellbeing, as well as independence from food imports
 - **RWSS as key rural development criteria** (education, health, DRR, productivity, general wellbeing) within IWRM;
 - **Safe sanitation / hygiene campaigns** on national level to be **included in school curricula**, as a tool to improve public health and increase society's socioeconomic potential;
 - **IWRM as a tool for conflict prevention and resolution** – within Tajik stakeholders as well as trans-boundary interests; and
 - Adapt existing **water legislation** (Water Code) to IWRM principles, such as **protection of heads of watersheds**.

73. Overall, sustainability of the systems is still fragile and needs to be enhanced by a number of measures during the next phases, defined within the text and under '*Recommendations*'.

74. Recommendations

RWSS Projects / Programs	Policy Dialogue
Sanitation	Water Sector Reform
- Consolidate <i>best practices</i> from Phase I into Phase II - Include sanitation infrastructure in new phases - Include health / hygiene education in primary school curricula - Follow up on Phase I projects to include sanitation infrastructure - Include in Phase II sanitation component a strong element of incentivizing construction of HH toilets/latrines – in parallel with enhanced health / hygiene campaigning	- SDC/SCO lobby through DCC and IMCC for rapid approval of WSR – crucial to have a solid base for the new Project Phases - SDC/SCO to formulate a long-term strategic vision for RWSS, its links with other water / water-related sectors and being part of IWRM - Sanitation / hygiene promotion and methods to encourage HH toilet / latrine construction (VIP) should be given special attention in the strategic vision - Enhance support to MLRWR in implementing IWRM - Help create IWRM unit within MLRWR - Accelerate process of tariff formula approval by AMA to be applied countrywide
Water and Sanitation	Health
- Implement new RWSS Phases as part of IWRM concept - Follow up on 'old'/completed projects, i.e. Caritas (2002-2011), to include sanitation infrastructure and rehabilitate projects no longer operating - OXFAM / AKF to design long-term M&E schemes - Prepare and approve by AMA cost recovering tariffs, including a sanitation component in semi-urban areas - Discuss and agree on tariffs with communities before begin of RWSS systems construction, - Create synergies between different WSS projects by 'learning' visits between projects	- Cooperate w/ Ministries of Health and of Education to include basic health / hygiene themes in primary & secondary school curricula (see ISW Kanibadam District) - Institute RWSS health impact monitoring system - Enhance SES quality assurance / lab-testing activities in rural areas, including necessary budget provisions.
Water and Health and DRR	Legal and taxes
- Enhance creating cooperation and synergies between SDC/SCO Health and WSS programs - Enhance creating synergies / cooperate with DRR Program - To strengthen SES water quality testing, consider partial funding of SES project activities	- Resolve legality of WUAs and their tax status - Resolve ownership issue of RWSS infrastructure - Review / adapt Water Code to IWRM principles (i.e. protection of heads of watersheds)
Gender equality	Institutions
OXFAM / AKF / ISW enhance current promotion activities for women participation in WUAs / decision making processes	Clarify institutional responsibilities – KMK, District (<i>Hukumat</i>), Sub-district (<i>Jamoat</i>) and WUAs

Annex 1 – Terms of Reference

Terms of references

Contract no. (Mandate type B)

External Review of SDC Rural Drinking Water Program and of Tajikistan Water Supply and Sanitation Project

1. Background and context

In Tajikistan, 48% of the rural and 7% of the urban population still do not have access to safe drinking water, resulting in severe health consequences –particularly for the poorest people. The inability of the government to deliver such basic services adds to the already difficult socio-economic situation in Tajikistan and results in growing discontent among the people.

The paradox of Tajikistan's natural richness in freshwater resources, against the poor coverage of drinking water supply has been well documented and discussed in many platforms. Also well documented is the set of challenges facing the sector which have led to poor levels of sustainability. Some of these challenges include:

- Legal framework: Rules and standards contradict each other and no understanding of ownership, no unique water law;
- Institutional weakness: No single "owner" for drinking water at the national level, yet as many as 11 Ministries are involved in rural water in some way;
- Inadequate systems for management and maintenance: Communities, WUCs, owners and operators don't have defined roles and don't know their rights; poor quality of construction materials and spare parts; unstable electricity supply (rural water systems are largely electricity dependent);
- Chronic underinvestment in the sector: Limited finances for capital maintenance and recurrent costs particularly in comparison to levels achieved prior to the end of the Soviet Union;
- General poor stewardship and wasteful consumption of water resources due to competing uses and unclear policies;
- Unclear policy arrangements taking into account the ability to pay.

Tajikistan is one of the pilot countries for the implementation of the Millennium Development Goals (MDGs), including MDG7, which is "to halve, by 2015, the proportion of people with sustainable access to safe drinking water and basic sanitation". There is strong political will in Tajikistan to attain the drinking water target, but at current level of progress and lack of focus will miss the sanitation target.

Based on a Needs Assessment facilitated by UNDP in 2003 - 2005, the Government of Tajikistan (GoT) has adopted the "Programme on the Improvement of safe drinking water supply to the population of the Republic of Tajikistan for 2008-2020". Estimate cost of the Programme is US\$ 1 billion (foreseen sources of financing are as following: 15% from National Budget, 15% from Local Budget and 70% from Donors, International and Local Investors). Official reports about results on undertaken measures over the past five years indicated, that about 1.2 million people have been provided with water of improved

quality and more than 600,000 people gained access to safe drinking water. In order to solve water-related problems, dozens of projects are being implemented totalling to more than \$ 500 million.

In July 2009, the Government of Tajikistan passed a Resolution (Resolution #406 from 2 July) to undertake comprehensive reform of all sector ministries and state agencies in and around agriculture. These included: Agriculture Sector Reform; Land Reform; Water Sector Reform; Local Governance Reform, with special attention to agriculture management.

Based on the existing challenges in the water sector, the Ministry of Land Reclamation and water Resources (MLRWR) undertakes comprehensive reforms in order to improve the water management efficiency, effectiveness and quality. **Specific objectives of the water sector reform:** 1) Water management areas changed from territorial administrative to hydrological and geohydrological and hydraulic management areas. 2) Efficient functioning, Integrated Water Resources Management (IWRM)-based institutes at national level take care of policies and regulations that would allow efficient coordination across sectors and interest groups, and at different scales, from local to international. 3) Transparent and accountable water governance institutes with tasks separated in policy and regulatory, organizational and regulatory, and operational in line with modern efficient and performance based management principles. The policy making regulatory institutes focus on the public and common interest, the operational institutes on best operational practices and client services.

There are other active donors and implementing organisations in the water supply and sanitation sub-sector in Tajikistan. Interventions by organisations such as the Swiss Agency for Development and Cooperation (SDC), UNDP, EU, Oxfam, International Secretary for Water (ISW) have primarily focused on: constructions of latrines, installation of pumps, and small-scale water systems. World Bank, EBRD and Switzerland (SECO), have concentrated on large-scale urban water systems. Whilst the focus has been on increasing the proportion of people with access to improved water supply and sanitation, there has been little attention paid to sector governance and essential issues as coordination and long term strategic planning and management. There has also been a lack of short and medium-term, practical strategies to address the weaknesses of the sector.

Switzerland has a long history of supporting rural water supply and sanitation in Central Asia. It has been working in the water sector since 1998 and still has on-going projects in Tajikistan. The Swiss drinking water supply and sanitation programme has proven highly effective and is one of the four priority domains of intervention in Tajikistan under the new Swiss Cooperation Strategy for Central Asia (2012-205).

The Swiss rural drinking water programme in Tajikistan currently consists of two projects, the Tajikistan Water Supply and Sanitation (TajWSS) and the Regional Rural Water Supply and Sanitation (RRWSS) project.

The Regional Rural Water Supply and Sanitation (RRWSS) project is part of the Water Strategy of Switzerland in Cenral Asia. It responds to a critical need to improve the healt and living conditions in the Andijan and Ferghana regions of thee Republic of Uzbekistan and the the Sugd Region of Tajikistan by providing potable water and better hygiene practices. The first phase of the RRWSS project (2004-2007) has been implemmented in Uzbekistan. From January 2007, the project activities have ben expanded to Sugd oblast of Tajikistan. The project is in line with the priorities of the Government of Tajikistan to imrove rural people's acess to the safe water drinking supply.

In Tajikistan the RRWSS project brings an answer to the issue of water management and ownership of water infrastructures. The water users associations successfully manage their water systems and they are the owners of the infrastructures. The potential to scale up is therefore high and will be based on a clear strategy favoring the decentralized ownership and management of water systems. By the end of 2013, the ongoing activities of the project will be finalised and documented by the current implementer, ready for a hand-over to a new implementer. Moreover, in 2013 the project will be tendered out.

An external evaluation carried out in June 2012 concluded that the project is highly relevant, has reached all physical targets with relatively high cost effectiveness, managed to obtain a good involvement of the population and municipal authorities, but that a weak anchorage at regional and national levels has limited the potential for scaling up.

The decision to split the RRWSS project and look for more cohesion in the Tajik rural water supply portfolio of Switzerland has been taken in 2012 and from January 2014 the project will be implemented separately only for Tajikistan.

The Tajikistan Water Supply and Sanitation (TajWSS) programme implemented by Oxfam GB, in partnership with UNDP, and Ministry of Land Reclamation and Water Resources (MoLRWR) and funded by SDC, is a programme which aims to tackle the long standing problems with sustainability of rural water supply in Tajikistan. The 4 year project follows a turbulent period in Tajikistan's history over the last 20 years, which has largely led to poor condition and unclear arrangements for sustaining a somewhat extensive water supply system, much of which was built during the Soviet era - as well as continuing unsustainable water use resulting from Soviet water management patterns still being followed.

In parallel, in order to address the common issues faced by many NGOs and other agencies implementing rural water supply projects over many years, the SDC decided to commit to the issue of sustainability of rural water supply over a period of 10 years. SDC released a tender for the initial phase of work which was granted to Oxfam through the Tajikistan water Supply and Sanitation project (TajWSS), in 2009.

During the first two years of the project, and continuing into the third year, significant results have been achieved at the policy level. While during the third year of the project and continuing into 2013, the TajWSS project has been able to realize the implementation of these policies at the local level through specific project interventions (i.e. scaling up of construction activities, conducting capacity development for regulators and operators, etc.), providing a well developed picture of how the policy process and the continued improvement of the institutional structure of the subsector has translated into concrete improvements at the district and village level.

As mentioned in the TajWSS Midterm Review Report the project is now mid-way through implementation and generally on track to achieve its objectives, although large challenges remain. These challenges described above, are largely known, anticipated and being planned for by the TajWSS steering committee, which has a strong understanding and experiences with the dynamic and complex nature of the political economy of rural water supply in Tajikistan. While all potential risks cannot be mitigated for, a process of building partnerships and continuous discussion and assessment of potential risks will contribute to changing approaches to address the policy landscape.

While the second phase of the TajWSS Midterm Review Report concluded that TajWSS has made important first steps in strengthening sector policy and institutions responsible for developing

and sustaining WASH services and linking these to core government reforms and it is important that this is not overlooked in the current drive to deliver results. Sustainability continues to represent a major challenge to the rural water sector both in Tajikistan and internationally.

In addition, a substantial intervention in the water sector in Rasht Valley is planned to start in 2013 with an explicit CSPM approach. A Swiss engagement in the Rasht Valley is fully consistent with the Swiss Cooperation Strategy for Tajikistan. The following main outcomes are envisaged: (i) increased sustainable access to safe drinking water for the rural populations, (ii) improved health conditions through the promotion of better hygiene practices linked to water, (iii) improved capacity of the community, state and non state actors to organize, design, finance, implement, and maintain sustainable water and sanitation systems.

2. Purpose of the external review

The purpose of the external review is twofold and relates both to SDC's overall rural drinking water programme in Tajikistan and to the Tajikistan Water Supply and Sanitation project in particular.

On the project level, the external review shall validate the achievement of the project objectives and outcomes as well as to give some foundation to concepts for strategic orientation and fresh ideas from an external point of view for increasing the platform's effectiveness.

On the programme level, the review shall provide insights with regards to the programme's coherence and relevance in the present context in the rural drinking water context and if the main issues (tariffs, taxation and policy dialogue) are well covered by the programme. As the Tajik Government is currently undertaking a comprehensive Agrarian and water reform which also considerably affects the water sector, the review should further assess whether SDC's drinking water programme in Tajikistan is in line with the current water reform. The review will also offer SCO an opportunity to capture the synergies between the different projects.

The External Review will therefore not only focus on results but also have a forward looking perspective for the development of the drinking water portfolio in Tajikistan under the Swiss Cooperation Strategy for Central Asia 2012 – 2015. In addition, the review team will further contribute to the consolidation of the process, already being conducted by Oxfam, SDC and other key stakeholders, with the aim of providing strategic recommendations for the development of Phase II of the TajWSS project.

The main users of the review are SDC/SCO, Oxfam / UNDP. The results and recommendations of the review will also be shared with the other donors active in the sector, as well with the main Tajik partners.

3. Scope and focus of the review

The **main objectives** of the review at the program level are:

- ❖ **Relevance:** To assess the coherence of the rural safe drinking water programme with the Results Framework of the new Cooperation Strategy. To provide recommendations on how

to improve and effectively develop SDC support in the rural water sector in Tajikistan in line with the on-going comprehensive reforms and national strategies and programmes.

- ❖ **Effectiveness:** How to strengthen further SDC/SECO synergies with other donors and agencies working in the water supply and sanitation sphere to conduct a more effective policy dialogue.
- ❖ **Efficiency:** To propose an effective mechanism to coordinate and steer the Swiss drinking water program (all on-going rural drinking water supply projects);

The **main objectives** for the project's review are to assess:

- ❖ **Relevance** of the project and its objectives in the current context in Tajikistan;
- ❖ **Efficiency** with regards to the project set up and an assessment of the capacities of the project implementation partners as well as of SDC;
- ❖ **Effectiveness:** to review activities and results of the TajWSS project, in particular results in the policy dialogue and with regards to the performance of the network (interaction, roles and coordination among Oxfam, UNDP and SDC);
- ❖ **Sustainability and possible scale up strategy:** recommendations for suitable approaches and next steps, including further coordination with the World Bank and EBRD.

The recommendations for each project and/or programme component should be built around **three main points:** institutional framework, i.e. acceptance by local authorities and population, compatibility with local institutional and legal framework; know-how level, already acquired or potential and potential for financial sustainability.

4. Review key questions

The questions at the programme level are:

- ❖ **Relevance**

- (i) Is the Swiss water programme in line with the on-going water sector reform? Are the programme objectives coherent with the country's priorities (in terms of the legal and institutional framework) and is there coherence with other donors' interventions?
- (ii) Does the programme effectively address the needs of the vulnerable population?

- ❖ **Effectiveness**

- (i) How can SDC effectively strengthen its programmatic approach, team-up with other actors in the sector and increase the sustainability and effectiveness of the programme in the next four years?

- ❖ **Efficiency**

- (i) Does SDC have enough resources to steer and manage the water supply and sanitation programme?

- (ii) Is SDC addressing the critical issues with the right means to reach the set goal? Is SDC's intervention strategy feasible taking into account the capacities of the local partners and organizations of the civil society?

❖ **Governance:**

- (i) Are the issues of tariff policy and taxation in the water sector sufficiently addressed in the programme?
- (ii) Is the question of water quality adequately taken into consideration by the programme?

The questions at the project level are:

❖ **Relevance**

- (i) What are the major challenges or gaps in addressing WS&S issues in Tajikistan and how does the project manage these difficulties?

❖ **Effectiveness**

- (i) Is TajWSS project able to play an effective role in the policy dialogue?
- (ii) How can the policy dialogue component of the TajWSS project be strengthened?
- (iii) Which role should SDC/TajWSS play in the policy dialogue?

❖ **Efficiency**

- (i) Is the way of advocating endorsed by the project addressing sufficiently the critical issues of WS&S at all the different levels (policy dialogue, capacity building and services)?
- (ii) What is the level of utilisation of provided equipment and other resources to the project partners/beneficiaries?
- (iii) How can project approaches be optimized in order to achieve better results?
- (iv) Is the monitoring and evaluation system of the project structured and comprehensive?

5. Review Team and requested qualifications

It is expected to mobilise a team of 2 experts that combines 1 senior international and 1 TJ expert in the following domains:

The **international consultant/Team leader** should possess the following qualifications:

- Professional skills and working experience in evaluation methodologies;
- Excellent knowledge of sustainable development and cooperation in transition context, in particular as regards project management and capitalization of experiences;
- Good knowledge of and working experience in the sphere of rural water supply, water sector reforms. In case the consultant chosen as Teamleader is not a water specialist, the involvement of a representative of the Global Water Initiative is envisageable;

Or:

- Good knowledge of and working experience in organizational and institutional development, networks, and effective cooperation between government and civil society organizations.

- Excellent oral and written knowledge of English.
- **National Consultant/Governance** in TJ (organised by the SCO Dushanbe): general expertise in rural water supply systems and services, water sector reforms, social mobilisation, community-based structures and mechanisms, governmental bodies and gender (assessment of gender aspects).

6. Methodology and deliverables

The review team will have to acquire preliminary desk knowledge of the Swiss programme and TajWSS project by reviewing background documents related to the water supply sector in Tajikistan and the Swiss policies and activities in this sector. The tentative list of these documents is presented in point 9 of these TORs. A briefing at SDC HQ will equally be part of the preparatory work. The review team shall submit an inception report to SDC prior to the mission to Tajikistan.

During the review mission, the main methodological approach will be:

- Interviews with stakeholders in Dushanbe (SCO, implementing agency, ministry officials, other donors representatives like EU, FAO, USAID, UNDP)
- Visits to selected villages in the districts (Muminobad and Rudaki), interviews and group discussions with beneficiaries and local stakeholders.
- Debriefing with SCO / Presentation of preliminary results and recommendations to implementing partner and main stakeholders.

It is expected that the team leader develops further the review methodology in the frame of the inception report.

A draft report (electronic) in English language is to be submitted to SDC HQ and Swiss Cooperation Office in Dushanbe within two weeks after return from the mission. The revised final report is expected two weeks after SDC/SCO staff has commented the draft.

The report is introduced by an executive summary. Its main body starts with a description of the method used and is structured in accordance with the present ToRs. Based on the review assessment and findings, the review team shall draw conclusions and lessons learnt, as well as make recommendations and present them in order of priority.

The Report should not amount to more than 25 pages, plus annexes.

7. Review Timetable

The mission in Tajikistan is tentatively scheduled in February 2013.

The following total time allocation is suggested for the consultants:

- | | |
|--|------------------------|
| - briefing at HQ: | 0.5 day TL |
| - preparation, desk study, inception report: | 3 days TL, 3 days NC |
| - travel: | 2 days TL |
| - field work: | 14 days TL, 14 days NC |
| - report writing: | 3 days TL, 2 days NC |

8. Logistics

SDC HQ shall support the international consultant in his/her travel arrangements, if required (visa, tickets, information for SDC consultants traveling to CA/TJ, etc.). SCO TJ shall organize the field missions of the review team and provide the logistic support.

9. Documentation

- TajWSS Project documentation: Credit Proposal, ProDoc and monitoring system ;
- Progress Operation Reports of the TajWSS;
- Midterm review report for TajWSS
- Minutes of TajWSS Network meetings;
- Projects brochures and booklets;
- Legal documentation related to the sector (Water Code, The law on Drinking Water and Water Supply)
- Swiss Strategy for Central Asia 2012-2015, Regional Water Management Concept 2012-2015
- The Programme on improvement of the provision of safe drinking water to the population of RT for 2008-2020 Vulnerability study (2010)
- Central Asia and Tajikistan context analysis (2010)
- Sector analysis for the SDC WSS/Irrigation sector (2011)
- Results framework for the WSS sector (draft)
- External review on RRWSS
- Final report of the AKF project in GBAO, Khatlon and Rasht Valley
- Rasht Valley - Feasibility study report

Bern,

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For the Swiss Agency for Development
and Cooperation

For the Consultant

.....

Sophie Delessert

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Annex 2 – List of Agencies and People Met

1. Interviews in Dushanbe

Government agencies

- *Ministry of Land Reclamation and Water Resources (MLRWR)* – Sultan Rahimov, Dpty. Minister;
- *State Public Utility for Housing and Communal Services (KMK)* – Muso Z. Gafurov, Dpty. Director General, Ravshan Tuichibaevich Dadabaev, Chief External Relations;

International

- *Swiss Cooperation Office (SCO)* – Peter Mikula, Director, Sadykov Ruslan, Program National Officer Water, Mouazamma Djamalova, Program Officer Health, Anvar Sabzaliev, National Program Officer, Disaster Risk Management; Nigora Safarova, Consultant;
- *Oxfam* – Ghazi al Kelani, Country Director; Davide Costa, Project Manager; Brian Wettlaufer, Dpty. Project Manage; Dilafruz Usmanova, Communications Officer; Alisher Alimov, Technical Officer;
- *Aga Khan Foundation (AKF)* – Yodgor Fayzov, Chief Executive Officer;
- *European Union (EU)* – Christian Ben Hell, Program Manager;
- *European Bank for Reconstruction and Development (EBRD)* – Ulf Hindström, Head of Office; Ravshanak Khusein-Zade, Analyst;
- *World Bank (WB)* – Takhmina Mukhamedova, Operations Analyst (water / energy);
- *UNDP* – Sukhrob Khoshmukhamedov, Assistant resident Representative; Shukhrat Igamberdyev, National Program Officer;

2. Field Visits and Interviews

Muminobod:

National

- *Public Utility Water and Sanitation (urban / semi-urban) (Vodocanal – KMK)* – Jumakhon Karimov, Director;
- *Muminobod District Commissioner / Chairman Trust Fund Board* – Zaripov Pirmadkhon Khudoievich,
- *Water User Federation* – Dilrabo Mirzoeva, Head of Federation, Negmatullo Rizoev, Financial Manager, Khurshed Sharifov, Engineer, Safarali Fozilov, Community Mobilizer;
- *Local Development Committee of Muminobod District (LDC) Secretariat* – Rajabali Bahromov, Secretary;

National / International

- *Mountainous Societies Development Support Project (MSDSP – AKF)* – Visits and interviews with respective water User Committees (WUC)
 - Villages of of *Kipchok* and *Labi Havz* villages;
 - Health Center of Dehlolo – Nurse on duty;
- *OXFAM* – WUCs of Dehlolo and Shululu villages
- *CARITAS* – Willem van Weperen, Director;

Rudaki

- *Rudaki (Hukumat) District Commissioner / Chairperson Water Trust Fund Board* - Tagoev Said Murod;
- *District Commission* (about 15 members present)
- *Rudaki Sub-district Council* - Fayziddin Zuripov, Dpty. Head of Local Development
- *WUC of Oxfam Project, comprising 5 villages* – Mr. Yuldashev, Head of Investment and Business, chair of the WUC meeting, covering:
 - Navobod – 144 households (HH)
 - Duobaibolo – 330 HH
 - Mehtari – 316 HH
 - Rohati – 75 HH covered by project (500 pop.) – 1,145 h (8260 pop.) covered under other project
 - Nilkon – 350 HH
 - visit Maghmurut village – water catchment area
 - visit Mehtari village – 316 HH – 33 stand posts

Khudjan (originally not foreseen for ER – was evaluated June/July 2012)

- *International Secretariat for Water (ISW)* – Oliver Normand, Project Director; Makhfirat Abullaeva, Project coordinator;
- *Khudjan Water Supply Project, Phase II (EBRD / SECO)* – Firdavs Akilov, Project Consultant
- *Kudjan Water Company = Vodakanal* – Akilov Ilholm Mahmudjonovich, Project Manager of Kudjand WS Improvement Project;
- *Drinking Water Organizations (DWO)* – 4-village multi-system
 - Mahram
 - Pakhtator
 - Lokhuti
 - Karakchikum
- visit and interview with Chief Drinking water Organization (DWO) of Karakchikum village

Annex 3 – SCO Dushanbe Debriefing Participants – 22 March 2013

N	NAME	Organization	Contact details
1.	Ruslan Sadykov	SCO	RSadykov@sdco.net
2.	Nazokat Isaeva	Oxfam / TajWSS	nisaeva@oxfam.org.uk
3.	Purviz Khudoydodov	Oxfam / TajWSS	pkhudoydodov@oxfam.org.uk
4.	Alisher Alimov	Oxfam / TajWSS	aalimov@oxfam.org.uk
5.	Dilafroz Usmanova	Oxfam / TajWSS	duzmanova@oxfam.org.uk
6.	Brian Wethlawer	Oxfam / TajWSS	bwethlawer@oxfam.org.uk
7.	DAVIDE COSTA	Oxfam / TajWSS	DCOSTA@OXFAM.ORG.UK
8.	AUDREY BARTHALOT	OXFAM	ABARTHALOT@OXFAM.ORG.UK
9.	Ghazi Alkilani	oxfam	gkelani@oxfam.org.uk
10.	Peter Milut	SCO	—
11.	Bepina Guja	SCO	—
12.	Nori Shimomura	UNDP	norimasa.shimomura@undp.org
13.	Nargiza Usmanova	UNDP	nargizakhon.usmanova@undp.org
14.	Shuldrat Igamberdiev	UNDP	shuldrat.igamberdiev@undp.org
15.	Nigora Seifanova	(Consultant) SCO	nigorass@hotmail.com
16.	Muhammad Nizomova	SCO	—
17.	Khurshed Kholov	UNDP	khurshed.kholov@undp.org
18.	Anvar Sabzaliev	SCO	— — — —

Annex 4 – Mission Agenda

11.03.2013

Programme External Evaluation Mission for External Review of SDC Rural Drinking Water Program and of Tajikistan Water Supply and Sanitation Project

March 11 –23, 2013

Participants: Mr. Peter Koenig Team Leader, Interpreter
From SCO's: Regina Gujan, Senior Program Manager, Ruslan Sadykov, National Program Officer
Oxfam: Mr. Ghazi Kelani (Oxfam) Country Director, Oxfam Project Team in Dushanbe, Rudaki and Muminabad
Drivers: SCO driver (Sobir Suleimanov) for Dushanbe and Oxfam drivers for Muminabad and Rudaki districts
Hotels: Mercury Hotel, Dushanbe

Date	Time	What	Where	Who
Sunday March 10	03.30	Arrival Dushanbe International Airport (from Frankfurt) - Transfer to Hotel Mercury	Airport	SCO Driver
	13:00-17:20	Briefing with Peter Mikula and Ruslan Sadykov	SegaFredo restaurant	MKP, SADRU
Monday March 11	09:00-09:40	Briefing with SCO County Director, Peter Mikula	SCO, Dushanbe	E-Team, MKP, SADRU
	10:00-12:00	Meeting with Brian Wettlaufer, Project Manager Oxfam	SCO, Dushanbe	Peter Koenig
	12.00 – 13.30	Lunch with Oxfam	Tbd	Peter Koenig
	14.00 – 15.30	Meeting with AKF, Yodgor and Sirius	AKF office	Peter Koenig
	16:00-17:00	Meeting with Anvar Sabzaliev, NPO DRR	SCO	Peter Koenig
	17:00-18:00	Meeting with Mouazamma Djamalova, NPO Health	SCO	Peter Koenig
	19:30	Diner	Tbd	Peter Koenig
Tuesday March 12	09:00-10:30	Meeting with EU, Mr. Ben Hell (Agriculture/Water Sector Reforms)	EU delegation	E-Team

	11:00-12:30	Meeting with Ministry of Land Reclamation and Water Resources, 1-st Deputy Minister Mr. Sulton Rahimov	Ministry of WLRWR	E-Team
	12:30-14:00	Lunch	Tbd	E-Team
	14:00-15:30	Meeting with State Unitary Enterprise “Housing and Communal Services” SUE KMK – Mr. Tagoymurodov, Head of SUE KMK	KMK office	E-Team
	16:00-17:30	Meetings with Mr. Ulf Hidstrom, Head of EBRD in Tajikistan and Ms.Ravshanak Khuseinzade, EBRD Programme analyst	EBRD office	E-Team
	18:00-19:00	Meeting with UNDP	SCO office	
	19:30	Diner	Tbd	E-Team
Wednesday March 13	07:30-11:00	Departure to Muminobad by Oxfam car	From Mercury Hotel	E-Team
	12.30-13.30	Lunch	Tbd	E-Team
	14:00-17:00	Team meeting and presentation of the project (Muminabad component)	Oxfam office in Muminabad	E-Team
	19:00	Diner with CARITAS Project Manager, Willem Van Vepperen, tel: 98 844 22 26	In Muminobad	E-Team
		Overnight in Kulyab “Atac” Hotel		E-Team
Thursday March 14	09:00-11:00	Architecture department in Muminabad district	Muminabad Architecture depart	E-Team
	12.00-13.30	Lunch	Tbd	E-Team
	14:00-17:30	Meeting with Muminabad Hukumat (Chairperson and members of Water Trust Fund Board)	Muminabad Administration	E-Team, Oxfam Team
	19:00	Diner	Tbd	E-Team, Oxfam Team
		Overnight in Kulyab “Atac” Hotel		
Friday March 15	09:00-10:00	Meeting with head of Muminabad Vodokanal	Muminabad Vodocanal	E-Team, Oxfam team

	10:30-11:45	Meeting with head of WUA's Federation and his team	Tbd	E-Team, Oxfam team
	12:00-14:00	Lunch	Tbd	E-Team, Oxfam team
	14:00-17:30	Visit of Muminabad villages (WUA's)	Tbd	E-Team, Oxfam team
	19:00	Diner	Tbd	
		Overnight in Kulyab "Atac" Hotel		
Saturday March 16	08:00-12:30	Transfer to Dushanbe		E-Team, Oxfam team
	12:30-14:00	Lunch with Lena Krylova, Team Leader for Gender Study	Tbd	Peter and lena
	14:00-15:30	Meeting with Takhmina Mukhamedjanova, World Bank	Tbd	Peter Koenig
	16:00-18:00	Work on the Report in the Mercury Hotel	Mercury Hotel	Peter Koenig
	19:00	Diner		
Sunday March 17	08:00-12:00	Mercury Hotel	Mercury Hotel	E-team, Oxfam team
Monday March 18	08:30-09.15	Transfer to Rudaki	Tbd	E-team, Oxfam team
	09:30-10:30	Meeting with Rudaki Hukumat (Chairperson and members of Water Trust Fund Board)	Rudaki Administration	E-team, Oxfam team
	10:30-12:30	Architecture department in Rudaki district	Rudaki Administration	E-team, Oxfam team
	12:30-14:00	Lunch	Tbd	E-team, Oxfam team
	15:30-16:30	Meeting with Rudaki Vodokanal	Rudaki vodocanal	E-team
	16:30-18:00	Visit of Rudaki project villages (WUA's)	Tbd	E-team, Oxfam team
	19:00	Diner	Tbd	E-team
Tuesday March 19	06:00-11:00	Transfer to Khudjand	Mercury Hotel	E-team

	12:00-13:00	Lunch with Olivier Normand	Tbd	E-team
	13:30-18:00	Meeting with Olivier Normand	Khudjand city	E-team
	19:00	Diner with Olivier Normand	Tbd	E-team
Wednesday March 20	09:00-10:00	Meeting with head of Khudjand Vodocanal	Khudjand Vodocanal	E-team
	10:30-12:00	Visit of Kanibadam villages		
	12:00-13:30	Lunch with Olivier Normand	Tbd	E-team
	16:00-19:00	Visit of Kanibadam villages	SCO	E-team
	20:00	Diner with Olivier Normand	Tbd	E-team
Thursday March 21	09:00-12:30	Transfer to Dushanbe	Mercury Hotel	E-team
	12:30-13:30	Lunch	Tbd	E-team
	14:00-17:30	De-briefing with Peter Mikula, SCO Country Director	Tbd	MKP, E-team
	19:00	Diner	Tbd	
Friday March 22	09:00-12:00	Preparation for the de-briefing	SCO Dushanbe	E-team
	12.30-13.30	Lunch	Tbd	E-team
	13:30-17:30	De-briefing in SCO	SCO	E-team, GURE, SADRU, Oxfam team
	19:00	Diner	Tbd	E-team
Saturday March 23	04.30	Transfer hotel – airport flight to Frankfurt	Airport	Driver SS

ABBREVIATIONS USED

(MKP) - Mikula Peter, Country Director; Mob.: + 992 918; 612 313;
(GUJRE) - Regina Gujan, Program Manager; Mob.: + 992 918 798 502;
(SADRU)- Ruslan Sadykov, National Program Officer, Infrastructure,
(STAIG) - Igor Starostin, Logistics Officer; Mob.:+ 992 918 612 315;
(SS) - Sobir Suleymonov, Driver Mob: 918 61 23 20

Reception- Tel.:+ 992 224 73 16

Annex 5 – OXFAM Investment Costs

No.	Location	Status	Total cost (USD)	Beneficiaries	Cost / person (USD)
1	Rohati, Rudaki District (5 villages)	Completed	250,000	7,800	32
2	Dehlolo, Muminabad District	Completed	185,000	800	231
3	Shulolo, Muminabad District	Completed	40,000	600	67
4	Barakat, Rudaki District	Planning	85,000	470	180
5	Balki, Rudaki District	Planning	200,000	1,400	143
6	Muminabad Centre	Planning	840,000	11,500	73

Annex 6 – Swiss Involvement in Tajikistan's Water Sector since 2004

Funding Source	Period	Amount	Project
SECO + EBRD - SECO - EBRD	Phase I: 2004-2009	US\$ 4.9 million US\$ 3.15 US\$ 1.75	Khudjand Urban Water Supply (WS)
SECO + EBRD - SECO - EBRD	Phase II: 2009-2013	€ 6.5 million € 4.25 € 2.25	Khudjand Urban WS
SECO + EBRD - SECO - EBRD	Phase III: 2013-2016	US\$ 10.1 million US\$ 7.0 US\$ 3.1	Khudjand Urban Sanitation (Wastewater – WW – collection and treatment)
SECO + EBRD - SECO - EBRD	Phase I: 2011-2014	US\$ 21.7 million US\$ 10.7 US\$ 11.0	North Tajik Urban Rehabilitation Project (Karaikkum, Kanibaidam, Isfara, Gaufurov, Taboshar, Chkalovsk and Khorog)
SECO + EBRD - SECO - EBRD	Phase II: 2013-2016	US\$ 18.8 million US\$ 11.0 US\$ 7.8	North Tajik Urban Rehabilitation Project (Istravshan, Panjakent, Shakhristan and Zafarobod)
SDC - OXFAM	Phase I: June 2009 – 31.08.2013	CHF 4.0 million	Muminobad (2 villages) and Rudaki (1 multi-village system) RWS
SDC – OXFAM	Phase II: 2014-2017 (under preparation)	To be determined (tbd)	Likely Muminobad and Rudaki, plus possibly 1 or more districts
SDC – ISW (joint RWS project Uzbekistan – Tajikistan) - UZ-Tajikistan - UZ-Tajikistan	Phase I: 2004-2007 (only UZ) Phase II: 2007-2010 Phase III: 2010-2013	 US\$ 3.136 million US\$ 4.2 million	Regional Rural Water Supply and Sanitation (RRWSSP) Fergana Valley Uzbekistan and Tajikistan
SDC – (partner to be determined- being tendered) - Tajikistan	Phase I: tbd	tbd	RRWSSP – Khudjand Region – Fergana Valley
SDC – AKF (MSDPS)	01.12.2011 – 30.06.2012 (Contribution)	CHF 460,000	Drinking Water Provision and Sanitation Improvement in Mountain Districts of Tajikistan
SDC – AKF (MSDPS)	01.10.2012- 30.09.2013	CHF 960,000	Improving access to safe drinking water systems and hygiene practices in mountain regions of Tajikistan – Rasht Valley
SDC – AKF (MSDPS)	New phase - tbd	tbd	Tbd – but likely continuation in previous areas
SDC – IWRM Syr Darya River Basin organization, support to MLRWR	2 Phases – 4 yrs. Each Tentative begin Phase I: 01.11.2013- 31.12.2016	Tentative budget CHF13 million	Fergana Valley, Sugd District Irrigation

Annex 7 – Synopsis of Village Visits (page 1)

Projects Visited (total 6)	
Muminobad District OXFAM	Rudaki District OXFAM
Dehlolo Village (completed) Operating since January 2013 75 households - HH (pop. 627) - every HH yard connection w/meter - tariff TJS 1.-/m3 (not yet AMA submitted/approved) - WUA registered w/ sub-district (tax) authority - WUA contains several women in roles of treasurer and health / hygiene education - Weekly health / hygiene seminars since Sept 2012 (now once/month) - health: reduction in diarrheal disease in children - sanitation infrastructure: latrines – hygiene needs improvement - investment cost : US\$ 231/person	Rohati multi-village system (completed) (5 villages, visit to <i>Mahmurut</i> spring catchment; mainline to distribution point for 5 villages) - total 126 public stand posts – 1 per 5-10 HH - water production: > 1,000m3/day - reservoir 165m3 (exit meter needed) - every village has meter at main distribution point - tariff ~ TJS 1/person/month - tariff decided by village representatives (not yet AMA submitted / approved) <i>Villages covered:</i> - Navobod – 144 HH - Duobaibolo – 330 HH <i>Mehtari</i> – 316 HH (<i>visited</i>) - Nilkon – 350 HH - Rohati – 75 HH (500pop) served, out of total 1,145 HH (8,260 pop), served by separate system Multi-village system serves 1,215 HH (7,800 pop) Operating since December 2012 (inaugurated 19.3.2013) - WUA for 5 villages 7 members, incl. 2 women (health / hygiene) - health/hygiene education daily during project preparation, now weekly - system monitored for 3 yrs. (may be insufficient – timeframe be flexible according to needs) Mehtari – village visited: 316 HH 33 stand posts - school water supply (3 schools) - No san. Infrastructure for schools 1 latrine ea. girls/boys for 480 pupils – bad, unhygienic conditions

Annex 7 – Synopsis of Village Visits (page 2)

Projects visited (Total 6)	
Muminobad District OXFAM	Muminobad District AKF- MSDPS
Shululu Village (almost completed) Operating since 22 Dec 2013 • 50 - HH (pop. 433) • 3 stand posts (no yard connections) • also (i) carpet washing installation and (ii) animal trough (uncompleted) • tariff TJS 5.-/m3/family/month (not yet AMA submitted/approved) • internal subsidy for poor families • WUA registered w/ sub-district (tax) authority • WUA contains woman for 'women affairs and health / hygiene education • 50m3 reservoir • water source: spring 0.38 li/sec • also well (20m) groundwater but polluted • sanitation infrastructure: latrines – hygiene needs improvement • investment cost : US\$ 67/person <i>Note: water sufficiency questionable, especially in summer</i>	Labi Havz Village (completed) Operating since July 2012 • 25 - HH (pop. 192) • 6 stand posts (no yard connections) • Spring catchment / gravity • 5.5 km mainline – drench dug by community • ~100 li/family (also for garden watering) • Reservoir 25m3 • tariff TJS 5.-/m3/family/month, plus TJS 1/family member fee (not yet AMA submitted /approved) • WUA registered w/ sub-district (tax) authority • sanitation infrastructure: latrines – hygiene needs improvement • investment cost:US\$ 98/person
AKF- MSDPS	Khudjand District ISW
Kipchok Village Operating since July 2012 • 35 - HH (pop. 160) out of total 220 HH – about 650 pop. - rest of village covered by old Soviet systems – no WUA) • 6 stand posts (no yard connections) • spring catchment / gravity – 2.2 km mainline • tariff TJS 5.-/m3/family/month, decision by HHS – on affordability criteria (not yet AMA submitted / approved) • WUA registered w/ sub-district (tax) authority • WUA contains woman for health / hygiene education • 20m3 reservoir • sanitation infrastructure: latrines – hygiene needs improvement • investment cost : ~ US\$ 50/person	Makhram multi-village system 4 villages and railway rehabilitation plant, visit to Makhram pump station Operating since Jan. 2013 (4 yrs.constr.) • 2 boreholes (95m3/h and 75m3/h) • 146 km pipeline • 5,000 HH=34,000 beneficiaries • 1 village = 1 WUA (drinking water organization - DWO) • WUAs registered as NGO w/ Ministry of Justice (largely tax exempt) • WUAs have equal rights within system • WUAs design own tariff (ISW formula) • all tariffs AMA submitted/approved • full cost recovery, incl. amort./ repl. • tariff recovery: 50%-70% (and raising) • chlorination, plus regular laboratory water testing • Investment costs: US\$ 90/person <i>Villages:</i> - Makhram - Pakhtakor - Lokhuti <i>- Karakchikum visited:</i> • WUA – 90% tariff recovery (penalty scheme) • 275 stand posts – 200 yard conn. (design: 50li/c/day SP; 95li/c/day)

Annex 8 – Summary of Gender Assessment

Executive Summary of Gender Assessment (March 2013)

The aims of the gender assessment of the drinking water sector in Tajikistan, commissioned by the Swiss Development Cooperation (SDC), were to gain a broad understanding of gender issues in the country context generally and in the drinking water sector specifically, and to conduct analyses of effectiveness and relevance of the gender mainstreaming approaches used by SDC partners in the framework of the SDC Drinking Water Program 2012-15. The assessment has revealed various strengths, weaknesses, opportunities and challenges.

In terms of ***policies and regulations at the state level***, the assessment concludes that framework policies for the water sector reform (including the drinking water sub-sector) are in place but are still incomplete and gender insensitive. Although there are favorable national gender equality policies and related laws in Tajikistan, expertise in mainstreaming gender issues and monitoring changes across various sectors is limited, due to, among other reasons, weak capacities of structures established in the support of the policies implementation at different levels, insufficient integration of these structures into a wider development context and a disconnect with the grassroots.

In terms of ***general gender concerns in the context of drinking water and sanitation*** in the country, women and girls, as providers and managers of water, guardians of hygiene and family health caretakers, are heavily affected by poor access to these services. Poor access impacts on their time distribution, mobility, health and work burden. The burden on women increases as they engage in additional economic activities (especially in rural areas and in the context of massive men labor migration). Yet their productive role is largely underestimated and they have limited control over assets and resources. Labor migration of men presents both an opportunity for women to undertake new roles, and a threat of increased drudgery for women if it is not followed up by role redistribution and better gender equality. This process is complicated by existing socio-cultural traditions in the country, especially in rural areas.

Prospects for gender mainstreaming in the SDC Drinking Water Program are supported by the strong commitment of the SDC implementing partners to the gender equality agenda. However, translating this commitment into practice in the drinking water sector remains a challenging task. Access to safe drinking water has proven to be an important precondition for reducing the burden on women with respect to their reproductive role, but it is not sufficient for meeting women's practical needs if wider concerns of sanitation and health are overlooked.

In terms of the effect of the SDC Program on non-productive and productive uses of water by women, only anecdotal evidence is currently available. In achieving women's participation in quantitative terms, attention needs to be paid to the quality of women's engagement and to avoiding homogenizing women as a single social category. There is also a danger of "gender" becoming a synonym for "women" rather than a transformation of gender relations.

The introduction of new forms of water management create an opportunity for new dynamics and opens new ways to engage men and women, but sectorial interventions put limits on community empowerment, meeting women strategic needs and strengthening women's role in the public domain. Entry points for more meaningful empowerment, including more active engagement of women, are opening with the introduction of, and increasing emphasis on, integrated participatory local development planning in the country.

On the grounds of these findings, the assessment ***recommends to the SDC Drinking Water Program***, that it adopt a more programmatic approach to planning and implementation of its interventions, that allows: a) effective meeting of women's practical needs through improved and combined access to drinking water, sanitation and health; b) the facilitation of more equitable and

sustainable engagement of women into productive roles and redefinition of their position in the family, and; c) the creation of spaces for a more meaningful community and women's empowerment (beyond instrumentalized participation for achieving project efficiency). ***At the project level*** this should translate into an approach to gender equality that emphasizes: a) adequate inputs in terms of comprehensively meeting women's practical needs; b) process in terms of facilitating women's access to productive assets and channels of influence, as well as information and skills, allowing them to switch effectively to new roles, and; c) outcomes/impact in terms of women's and men's access to resources, actual exercise of influence and redistribution of workload and responsibilities between men and women.

Annex 9 – OXFAM Designed Rural Water Supply Models

No.	Location	Description	Status
1.	Shulolo, Muminabad	Model for a small single village or settlement; consists of a spring, main line, reservoir, chlorination station and water collection point near the reservoir; there is no village distribution network; the entire system functions with gravity; owner of the system is the Jamoat and operator is the village-based WUA	Complete
2.	Dehlolo, Muminabad	Model for a rural village; consists of a bore-hole, pump reservoir, main-line, chlorination station, transformer, distribution network, HH taps and individual water meters; requires the use of electricity to lift water from the bore-hole to the reservoir, then gravity distribution to the individual taps; owner of the system is the Jamoat and operator is village-based WUA	Complete
3.	Rohati, Rudaki	Model for a multi-village or settlement system; consists of a spring, reservoir, main-line, chlorination station, bulk meters for each village or settlement, main line, distribution network and public stand taps; the entire system functions with gravity; owner is the Jamoat and operator is a village based WUA	Complete
4.	Zinabad, Rudaki	Model for a large multi-village settlement with a large population; the system requires electricity to operate; consists of a bore-hole, multiple reservoirs, two pump stations, transformers; chlorination station, main line, distribution networks, HH taps and individual water meters; the first pump station lifts the water from the bore-hole to the 1 st reservoir, the second pump station lifts the water from the 1 st reservoir to a 2 nd reservoir (larger), then the water flows with gravity through the distribution network; owner is Government (formerly ToD, now SUE KMK) and the owner is Government (formerly ToD and now SUE KMK)	Canceled, will not be implemented during this phase
5.	Muminabad Centre	Model for a district or Rayon Centre; it is a mixed system with a bore-hole and a spring as the source; it includes, a reservoir, pump, transformer, chlorination station, main-line, distribution network, individuals HH taps and water meters and public stand taps; water is lifted from the bore-hole to the reservoir with electricity and water from the spring feeds directly into the reservoir with gravity; then gravity distribution from the reservoir to the distribution network; SUE KMK is the owners and operator of the system	Planned

Annex 10

Project Impact – Matrix (page 1)

Projects visited	Relevance	Effectiveness / Impact	Sustainability
<u>OXFAM - TajWSS</u> - Muminobad - Rudaki	<u>Positive:</u> • In line w/sector policy • decentralized RWSS • addresses water needs • aims at cost recovery <u>To be improved:</u> • Sanitation hygiene • tariff structure • legal status WUCs / ownership unclear • 'Water strategy' not strategic only descriptive	<u>Positive:</u> • Convenience close-by drinking water • improved health • improved awareness • participation • WUAWUC • concept of paying water service <u>To be improved:</u> • absence san. Infrastructure = health benefits not optimal • cost-recovering tariff • cross-subsidy (w/in WUAs and among WUAs) • Investment costs \$34 - >\$200/p.c.	<u>Positive:</u> • Establishment of TF, if turned into Revolving Fund (RF) • Sustainability if: <u>To be improved:</u> • clarify ownership • cost-recovering tariffs; • full tariff recovery • define legal/tax status of WUCs • WSS schools/health centers • Encourage household (HH) toilets – with incentives • follow-up on built systems • Turn TF into self-sustained RF

Annex 10

Project Impact Matrix (page 2)

Projects visited	Relevance	Effectiveness / Impact	Sustainability
<u>AKF – MSDSP</u> - Muminobad	<u>Positive:</u> • In line w/sector policy • Decentralized RWSS • Addresses water needs • Punctual health / hygiene education • Aims at cost recovery • Follow up <u>To be improved:</u> • Sanitation infrastructure / long-term hygiene education • Tariff structure • Weak cost recovery • Legal status WUA/WUCs unclear	<u>Positive:</u> • close-by drinking water • improved health • improved awareness • participation • WUA/WUC • paying for water service • women developed microcredit scheme • investments costs \$40-\$70/p.c. <u>To be improved:</u> • optimize health impact with sanitation in schools / health centers and encourage for HH • Aim at full cost-recovering tariff • concept of cross-subsidy (w/in WUAs and among WUAs)	<u>Positive:</u> • Regional experience • Sustainability contingent on: <u>To be improved:</u> • clarify infrastructure ownership • cost-recovering tariffs; • increased tariff recovery • define legal & tax status of WUA/WUCs • build school & health center WSS&S systems • encourage improving HH toilets • guarantee continuous funding for O&M and expansion (see tariff) • regular follow-up on built systems

Annex 10

Project Impact – Matrix (page 3)

Projects visited	Relevance	Effectiveness / Impact	Sustainability
<u>ISW – Fergana Valley</u> - Makhram 4 village system (34,000 pop) – Yard connections and stand-posts	<u>Positive:</u> • Good technical and social concept • in line w/sector policy • decentralized RWSS • addresses water needs • full cost recovery • Approved water tariff • Participation • long-term health hygiene education <u>To be improved:</u> • School/health center san. infrastructure and improve HH toilets • Improve policy dialogue through SCO	<u>Positive:</u> • Replicable large-scale concept • close-by drinking water • improved health • improved awareness • participation • DWOs • paying water service • investments costs \$55-\$92/p.c. (multi-system) <u>To be improved:</u> • Optimize health impact with sanitation infrastructure in schools / health centers and HH	<u>Positive:</u> • ISW experience • ISW long-term follow-up (up to 10 yrs.) • synergy with similar Uzbek project • replicability multi- and individual systems, • functioning DWOs • Approved cost-recovering tariffs • High collection rates <u>To be improved:</u> • Clarify infrastructure ownership sanitation (toilets) schools /health centers, HH)

Annex 10

Project Impact Matrix (page 4)

Project	Relevance	Effectiveness / Impact	Sustainability
<u>CARITAS</u> (not visited – based on interview – project terminated in 2011 ~ 20 systems since 2002) - Muminobad	<u>Positive:</u> • in line w/sector policy • decentralized RWSS • addresses water needs <u>To be improved:</u> • Cost recovery not clear • sanitation infrastructure missing • systematic follow-up missing	<u>Positive:</u> • convenience close-by drinking water • improved health • improved awareness • participation • concept of paying water service • investments costs \$41-\$86/p.c. <u>To be improved:</u> • Follow-up on old systems • optimize health impact with school health center sanitation and HH	<u>Positive:</u> • CARITAS on location with potential follow-up on built systems <u>To be improved:</u> • Clarify infrastructure ownership • Revisit past 20 projects aiming at: • optimize health impact with school/health center sanitation • encourage HH toilets - with incentives • cost-recovering tariff • Introduce cross-subsidy (w/in WUAs and among WUAs)

**ANNEX 11: LOG-FRAME: TAJIKISTAN WATER SUPPLY AND SANITATION (TAJWSS) PROJECT
(February 2013)**

Overall Project Goal		
Rural communities (women and men) in Tajikistan have sustainable access to drinking water and sanitation.		
Hierarchy of Objectives	Indicators	Achieved
Phase Objectives		
1. Improvement in the policy environment related to water supply and sanitation (WS&S) at central and local levels. 2. Improved practices that lead to sustainable management of WS&S services are endorsed by key stakeholders.	1.1 Policy briefs for policy development are reviewed by the IMCG on a quarterly basis with the buy-in from the Ministry of Water and inform policy reform processes. Policy briefs take into consideration the special needs of women related to access to water and sanitation 1.2 Formal mechanism is established to allow for WS&S DDPs to inform national policy development by year three of the project. 2.1 At least 60% of (served) villages achieving sustainability indicators (ownership, O&M, and quality of construction and fee collection rates.)¹. 2.2 At least 3 out of 5 sustainable and replicable models are endorsed by the TajWSS and the network.	
Outcomes		
Policy Development: Changes influencing the legal and institutional framework of water supply & sanitation services adopted by the Government of Tajikistan.	- Changes done by the GoT lead to the enabling environment in the WS&S sub-sector. - Models of effective solutions for the governance, management and maintenance of water supply in rural areas of Tajikistan are piloted.	- Law on "Drinking Water and Water Supply" adopted on 29 December 2010; - IMCC officially established on September 13, 2011; - State Unitary Enterprise Khojagii Manziliyu Komunali (SUE KMK) appointed as the sole entity responsible for the coordination of the WS&S subsector. 9 innovative solutions concerning governance, management and maintenance, which aim to improve sustainability have been developed.

¹ It will not be feasible to guarantee sustainability of all constructed water supply systems under pilots and water trust fund in accordance with sustainability indicators due to such facts as: pilot models will be constructed in parallel to the policy reform; the project is limited in its timeframe to allow sufficient follow up & technical support to WS&S projects, particularly the ones that will be completed in 2012.

Hierarchy of Objectives	Indicators	Achieved
Outcomes		
Tajik network on sustainable water supply and sanitation: - Enhanced collaboration and cooperation across the Tajik water supply and sanitation sub-sector. - Innovative solutions addressing challenges of sustainable water supply to rural population designed and implemented	- Tajikistani Network of Stakeholders of Sustainable Water Supply and Sanitation effectively functioning. - Enabled legal and institutional framework, know-how technologies, management of operation and maintenance, tariff set up.	- TajWSS Network established, at the national level, in November 2009 and at the local level in August 2011, in both the pilot districts of Muminabad and Rudaki; 15 Network meetings conducted at the national level and 11 conducted at the local level; 60 member organisations at the national level; 22 in Rudkai and 40 in Muminabad 5 models for the sustainable implementation of DWSS approved by the Network; - Policy brief regarding ownership and operational management rights taken forward by the IMCC; - Vital systems roster endorsed by the IMCC; - The methodology for conducting an inventory of DWSS has been approved by the IMCC and is being piloted in Muminabad; - TWG on tariff policy is currently finalising a proposal for tariff policy and a draft methodology for tariff calculation.

Capacity Building in target districts: Enhanced capacity of the community, jamoat, district and central level institutions to effectively implement water governance	- Replicable Training Curriculum for directly involved staff in WS&S services (operator). - Mechanism for linking DDP with National Level (regulator). - Raised ability and willingness to pay for WS&S services amongst general public (consumers).	- Training materials and manuals developed for community based and government operators of water supply systems and officials involved in the implementation of the simplified procedures for obtaining construction permits (i.e. the 'Single Window'); 'Single Window' has been launched in Rudaki and Muminabad, 42 project applications submitted to the mechanism; - Transfer of completed DWSS onto the balance sheet of the district Hukumat in Rudaki and Muminabad; - Agreements between the Jamoat and operators signed; - Tariff calculation process is ongoing in the pilot districts; - Campaign has been conducted on raising awareness regarding payment for water. Monitoring of the impact is ongoing; - Draft contract template between operators and customers has been drafted; - Inventorisation process is ongoing and activities linking the DDP with the national level will taken up once the inventorisation is completed.
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Water trust funds in target districts: • Part of the selected districts water needs will be covered by the established water trust fund • New and targeted funds by other donors committed to extend the water trust funds to new districts	• By the end of the phase at least seven WS&S systems will be constructed and 13500 inhabitants of 7 villages will have sustainable access to potable water. • By the end of the phase in the selected district or new district, at least additional 5800 inhabitants in 3 villages will have sustainable access to potable water.	• Five villages in Rudaki and two villages in Muminabad (9,200 beneficiaries) have improved access to sustainable water supply services (completed projects); • Three additional projects selected through the WTF for an additional 11,500 beneficiaries.
Output 1: Policy development		
1.1 The policy dialogue project targeting the IMCC is designed and operational.	• IMCC is functional and coordinating on a regular basis. • Terms of reference for the IMCC are established and accepted by members • A study on implications, advantages, and disadvantages of potential policy changes on WS&S sub-sector governance presented to the IMCC.	• Terms of reference for the IMCC accepted by members and approved by GoRT; • Three meetings of IMCC conducted; • 7 policy briefs/recommendations taken up by the IMCC.
1.2 Policy reform recommendations presented to the IMCC inform decision-making processes.	• Policy decisions at different government levels reflect recommendations put forth by the Network. • IMCC active participation in the Network, to present on and communicate to, the new decisions (decrees, ministerial and local authority ordinances). • Policy briefs take into consideration the special needs of women related to access to water and sanitation. • Detailed baseline studies will be conducted and will include gender-disaggregated data.	The following 6 recommendations put forth by the Network have been taken forward by decision of different levels of the GoRT: 1. Passing of the Law on Drinking Water in December 2010; 2. Methodology for technical inventory of drinking water supply and sanitation systems; 3. Implementation mechanism for GoT decree #282, as of 06 May 2009, concerning construction activities by the principle of 'Single Window', and the introduction of changes to the regulations concerning the allotment of land parcels for water supply and sanitation projects; 4. Manual on administrative procedures to obtain permits for the implementation of DWSS projects approved by the NACA, which in turn issued an official order enforcing its application by all responsible organizations, entities, government line ministries and agencies throughout Tajikistan; 5. The naming of a single regulator for the WS&S subsector (urban and rural) by the GoRT; 6. Implementation of the WTF in the pilot districts; • 7 IMCC Members are active and regularly attend Network meetings; • Base-line studies have been conducted in pilot project locations and data regarding water born and other diseases and how they impacted on women and children has been collected. Also data on house hold expenditure to treat these diseases was collected.

Hierarchy of Objectives	Indicators	Achieved
OUTPUT 2: TAJIK NETWORK ON SUSTAINABLE WATER SUPPLY AND SANITATION		
2.1 Collaborative network on water supply and sanitation is established and well functioning	- At least 5 policy briefs are produced with wide participation of stakeholders (including GoT local authorities, ministerial and state specialised organisations), donors, UN, (I) NGOs, Private Sector and civil society (representing the interest of men and women) and presented to the IMCC. - Active and regular participation of stakeholders in thematic working groups within the Network.	8 policy briefs have been completed (2 of the 8 are still at the TWG stage and will be completed by the end of the current phase of the project); - Under the authority of the Network, 13 TWG have been established. Representatives of 24 Network member organisations (out of 60 total Network Members) participate regularly in TWG, based on their specific technical expertise and its relevance to the work of the TWG.
2.2 Potential solutions addressing concerns around sustainability of rural water supply service in Tajikistan are identified and promoted.	- At least 5 pilot models for potential sustainable rural water systems researched and implemented by the TajWSS Network to serve 9500 inhabitants in 5 villages. - One in-depth study conducted for at least five areas affecting sustainability are agreed and carried out by members of the network in coordination with consultants in that thematic area.	- All 5 models for potential sustainable rural water systems were developed and approved; - Four of the 5 models have been or are currently being implemented in the pilot districts reaching 22,000 beneficiaries in 10 villages; 3 in-depth studies have been completed: <i>Development trends in WS&S sub-sector, Institutional Mapping of Operators and Regulators at District Level</i> and <i>Review and Analysis of the Legal Framework on Subsidized Taxation in the Drinking Water Supply sector</i>.

2.3 Greater awareness of, and action on issues affecting the sustainability of rural water supply service in Tajikistan by organisations amongst at the local, regional and global level around.	• 1500 number of hits to the TajWSS website. • At least one additional investment for rural water supply is committed • At least 60% of consumers in targeted project areas demonstrate willingness to pay service fees².	• The, with 363,785 hits on TajWSS website from 75 different countries • 11 Newslines have been produced and widely disseminated • 45 press and news releases have been distributed to a wide array of media organisations • Media outlets, including Jahonnamo, Bahoriston, Safina and Regional Mir TV, Radio Sadoi Dushanbe; • Articles in newspapers Argumenti I facti, Vecherniy Dushanbe and various other local media organisations in Muminabad and Rudaki districts; • International coverage on Deutch Welle and Russia Today; • Initial contact with potential donors have been made; TajWSS and district Hukumats are institutionalising the operating procedures and consolidating lessons learned before a greater push to attract additional investment to the WTF is made; • Public awareness campaigns, focused on issues of cost-recovery and health and sanitation, have been conducted in Muminabad and Rudaki. Impact monitoring of the campaign is currently ongoing.
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² According to WB 2007 53% of the population in Tajikistan live in poverty. In addition to willingness of people to pay for services (stereotype is that water is gift of God) brought us to 60%. However the feasibility study that will be conducted individually for each of the WS&S projects financed under TajWSS will determine the break even point to attain, thus the proposed figure is realistic given in the current environment.

Hierarchy of Objectives	Indicators	Achieved
Output 3: Capacity in target district		
3.1 Enhanced institutional capacity of sector regulators and operators in targeted districts of Tajikistan.	• At least 20 applications to the Water Fund received. • At least one district development plan designed and linked to the national plan. • Five water system operators demonstrate at least one practical application of training received³. • Replicable training curriculum prepared and approved on: O&M, management of the water fund and development of WS&S DDPs.	• 16 applications were received in Muminabad and 5 in Rudaki for the pilot project selection process. The application process for the WTF is currently ongoing. • Inventorisation process is ongoing and work linking the DDP with the national level will taken up once the inventorisation is completed. • Capacity building needs assessment of the two pilot district architects and representatives of engineering services conducted with 22 participants; • 5 WUAs registered; • Over 30 members of the WUAs and operators from pilot areas received trainings on gender, sanitation, management and accounting, and technical operation and management; • Procurement of IT and office equipment for the respective district Architects of Muminabad and Rudaki Hukumats. • An exchange visit to Soughd oblast of Tajikistan organized for state and non-state managers and operators of WSS in pilot districts, heads of departments and generally mid-level specialists of ministries and agencies; • All five operators are effectively and transparently managing the financial contributions from their respective communities and pay salaries to staff on a timely basis.

³ The capacity building for the operators of the five pilots will take place. As for mentioned indicator, the figure above is covering the operators of the WS&S systems constructed under WTF.

Output 4: Water trust funds in target districts

4.1 Established and tested model for resource allocation for rural water supply and sanitation sub-sector support at district level.	• Two District Hukumats sign agreements for establishment of water trust fund • Established and functioning water trust fund	• MoUs in both pilot districts signed to establish the WTF with the district Hukumats • Concept approved by SDC in July 2012; • Bank accounts opened, local decrees issued and charters governing the accounts developed and signed by the Chairpersons of the district Hukumats. • First Board meetings were conducted in both pilot districts in November 2012, and to date, three meetings have been conducted. • ToRs, application selection criteria, and applications were discussed and approved during Board meetings; • Three projects selected for funding by the Boards of the WTF and currently project designs and feasibility studies are underway.
4.2 Selected rural villages have increased access to sustainable potable water supply and sanitation services.	• Signed agreements between service providers and consumers • During HH visits, consumers report regular access to of water supply and sanitation services • During HH visits, women report regular access to of water supply and sanitation services	• Contracts between <i>Jamoat</i> and operators are signed; • Templates developed to be signed between operators and customers; • Monitoring of service quality and access to service is planned for the coming months.