SDC Support to RWSSI Trust Fund in period 2010-2013

Review Report

skat_ Swiss Resource Centre and Consultancies for Development

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Abbreviations

AfDB	African Development Bank
AfDF	African Development Fund of AfDB
AWF	African Water Facility
DAO	West Africa Division of SDC
FSF	Fragile States Facility of AfDB
FSU	Fragile State Unit of AfDB
GPWI	Global Programme Water Initiatives of SDC
JMP	Joint Monitoring Report, produced by WHO and UNICEF
M&E	Monitoring and Evaluation
O&M	Operation and Maintenance
OWAS	Water and Sanitation Department of AfDB
RCC	RWSSI Coordination Committee
RWSS	Rural water supply and sanitation
RWSSI	Rural Water Supply and Sanitation Initiative
RWSSI TF	Trust Fund of the Rural Water Supply and Sanitation Initiative
SOSA	South and East Africa Division of SDC
SHA	Swiss Humanitarian Aid
SP	Strategic Plan 2012-2015 for RWSSI and RWSSI TF
SSA	Sub-Sahara Africa
TA	Technical Advisor

1. Background and methodology

1.1. Rationale of the review

In 2003 the **Rural Water Supply and Sanitation Initiative** (**RWSSI**) was launched by the African Development Bank (AfDB) as the leading mechanism to support African governments in their efforts to improve Rural Water Supply and Sanitation and finally to achieve the MDGs and goals of the African Water Vision. In 2008 RWSSI was also politically endorsed by African Governments on the Sharm el-Sheik high level meeting.

In 2005, a **RWSSI Trust Fund** (RWSSI TF) was established to mobilize additional funding for RWSSI. In a later stage the focus of the Trust Fund shifted towards improving quality and sustainability of water supply and sanitation services with particular focus on improving access in fragile states, and towards strengthening capacity development and improving governance of RWSSI and of the RWSSI TF.

Internal and external evaluations in 2010 and 2011 have highlighted the relevance of RWSSI and RWSSI TF as a very important funding mechanism and knowledge platform for rural water supply and sanitation (RWS) in Africa. Based on the findings, which also show some shortcomings, a new **Strategic Plan 2012-2015 for RWSSI and RWSSI TF** was developed. Both RWSSI and RWSSI TF are managed by OWAS, the water and sanitation department of the AfDB.

Within SDC the support to the RWSSI TF is managed by the West Africa Division (DAO).

The current funding framework of SDC for the support to RWSSI TF is based on the decision of SDC to strengthen its engagement in water and climate change, after the Parliament decided in February 2011 to increase official development assistance to 0.5% of Gross National Income by 2015.

This review should provide the basis for deciding whether and how SDC should continue its support to RWSSI TF.

1.2. Objectives of the review

The review has four objectives[1]:

- To inform SDC about the results of the RWSSI TF and value addition of SDC's contribution (3 years) to the RWSSI TF,
- Provide major current trends in Rural Water Supply and Sanitation in Africa,
- To provide the factual information for the end of phase report of the project,
- To facilitate the decision making within SDC to continue, delay or abandon the support to RWSSI TF

The focus of this review is to assess the achievements of SDC's involvement so far, the effect of its engagement and the potential, challenges and risks of a further engagement or non engagement. It is not the objective to have a comprehensive review of the RWSSI initiative or the Trust Fund as such.

In particular the review should focus on six areas:

- RWSSI and its impact
- Value addition of RWSSI TF and its financial situation
- Role of SDC within RWSSI / RWSSI TF
- Development Partners of RWSSI TF
- SDC's Strategic Options
- SDC's operational requirements

[1] TOR for review mandate (final version) 18.6.2013 →see Annex 1

1.3. Methodology and timeline

The review covers the period of 2010-2013, the period of SDC's engagement in RWSSI TF so far. However the review should also look ahead towards a potential future period. To achieve the objectives for the review the methodology considered four elements such as:

- **Desk study of documents:** The review is very much based on the information presented in official documents published by the OWAS, in particular the new strategic plan 2012 – 2015 for RWSSI / RWSSI TF, the annual report 2012, draft workplan and budget for 2013 and other documents of AfDB such as the independent evaluation of Trust Funds Management in AfDB and its management response, as well as the RWSSI internal and external reviews by OWAS. All documents consulted are listed in the annex 2.
- **Analysis of data provided by AfDB/OWAS**: OWAS was asked officially to provide detailed information which were not presented in the documents published so far, such as on specific financial aspects of RWSSI TF, on impacts of RWSSI activities and on planned activities for the RWSSI TF.
- **Interviews with key actors**: A set of interviews with different actors involved in the support to RWSSI but also in implementation of RWSSI projects were conducted, e.g. with other development partners in the RWSSI TF, with a representative of a community where a RWSSI project is implemented, with staff members of a COOF. A list of interviews is included in the annex 3.
  In his function as representative of SDC in the Steering Committee of RWSSI TF Nic Zingg had the opportunity to exchange on the review directly with the management of OWAS at the Steering Committee meeting in Marrakesh by end of May 2013.
- **SDC internal atelier**: A SDC internal atelier was conducted on 19th of June 2013 to discuss the preliminary information collected and to identify information gaps to be filled by the review. At the atelier DAO and Global Programme Water Initiative (GPWI) were represented. Other departments such as SOSA and the Humanitarian Aid were invited but could not participate.

1.4. Lead and internal and external communication

The lead for this review is within DAO. However the support to RWSSI TF is linked to different sections within SDC working in Africa and all of them have to be consulted for the review.

The review is conducted by Skat Consulting as part of their backstopping mandate with the West Africa division of SDC (see Chapter 6.1).

In March 2013 the Director of OWAS was formally informed by SDC about the purpose and background of the review. It was agreed that the review report will be shared with OWAS, once it has been approved.

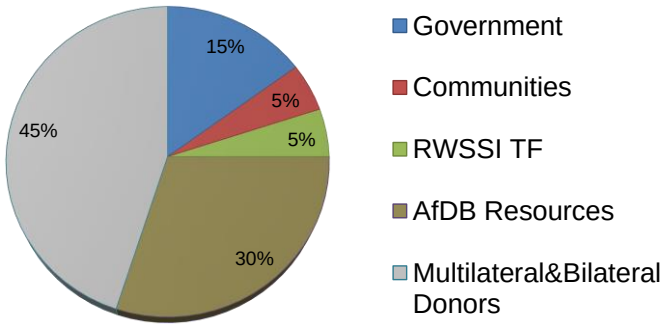
2. Context

2.1. RWSSI and RWSSI TF

RWSSI is the Africa wide initiative to promote and implement water supply and sanitation interventions in rural areas. RWSSI incites African governments to access funding from AfDB for their rural water supply and sanitation projects (RWSS), if these projects comply with the eligibility criteria for RWSSI as defined by OWAS. RWSSI projects usually include infrastructure components for water supply and sanitation in rural or peri-urban areas, but also capacity development for actors on national and local level.

According to the Strategic Plan 2012-2015 for RWSSI, self-funding (government and communities) needs to be around 20% of the total project costs. The remaining funding comes from the Bank, from the RWSSI TF and from other bilateral or multi-lateral donors (see figure 1).

Figure 1: Source of funding for RWSSI projects according to new strategic plan



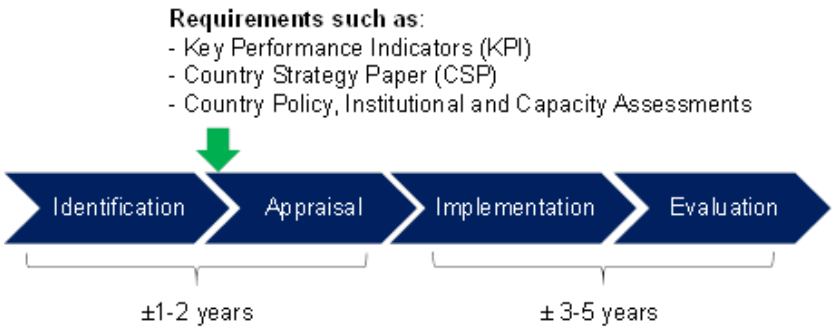
The **RWSSI TF** is a multi-donor Trust Fund managed by the OWAS at the AfDB. The RWSSI Trust Fund was initially established to mobilize additional funds for RWSSI. In April 2013 a new strategic plan for RWSSI and RWSSI TF for the period 2012-2015 was approved by the AfDB Board. According to the new strategic plan about half of the annual RWSSI TF resources should be targeted to infrastructure investments in RWSSI projects, particularly in fragile and off track countries. The other half of the annual RWSSI TF expenditure should go into software activities to improve governance in the water sector, for improving sustainability and capacity development and sharing of knowledge between RWSSI countries to enhance the quality and sustainability of RWSSI achievements.

Between 2008 and 2013 the donors contributing substantially to the RWSSI TF included the Netherlands, Canada, France, Denmark and Switzerland. SDC joined the RWSSI TF in 2010. In 2012, some African countries and Italy pledged to become new donors to the RWSSI TF, but on a much lower level (e.g. Italy pledged Euro 0.5 million). From 2010 to 2012 the annual commitments for the RWSSI TF reached an amount of 15 - 20 million Euros. RWSSI funds are mostly provided as concessional loans, some partly as grants. RWSSI TF resources are provided as grants.

2.2. Implementation of RWSSI projects

RWSSI projects should be designed based on a demand driven approach. Key actors involved in the identification and design phase should include the local and national government of member countries but also the communities in need. RWSSI projects are implemented by governments or the decentralised bodies, local communities (water user committees) and their partners, following country procedures. Therefore, the progress of implementation of RWSSI projects depends not only on Bank internal procedures, but also on the mobilization and formation of water user committees, on existing capacities and on efficient procedures within the countries to implement infrastructure projects. The role of the Bank and its departments involved in the project cycle varies from phase to phase (see figure 2). Different entities are involved within the Bank, at headquarters and at regional and national levels where AfDB field offices are operational.

Figure 2: Project Cycle of RWSSI Projects



Once the project is approved, the role of the Bank is mainly financing, supervision of project implementation, facilitation of the sector coordination, sharing of information and monitoring of the project on the ground.

3. Major trends in the WASH sector

The following trends in the WASH sector influence the impact of RWSSI projects on the ground but also affect the institutional set up within the AfDB:

- The JMP Report 2013[2], elaborated annually by WHO and UNICEF, identifies successes but also the deficits concerning **access** to improved water and sanitation particularly in rural areas of countries in Sub-Sahara Africa (SSA). Still hundreds of millions of people do not have access to safe water and adequate sanitation services in SSA (see figure 3 and 4).

Figure 3: Coverage for sanitation (JMP 2013)

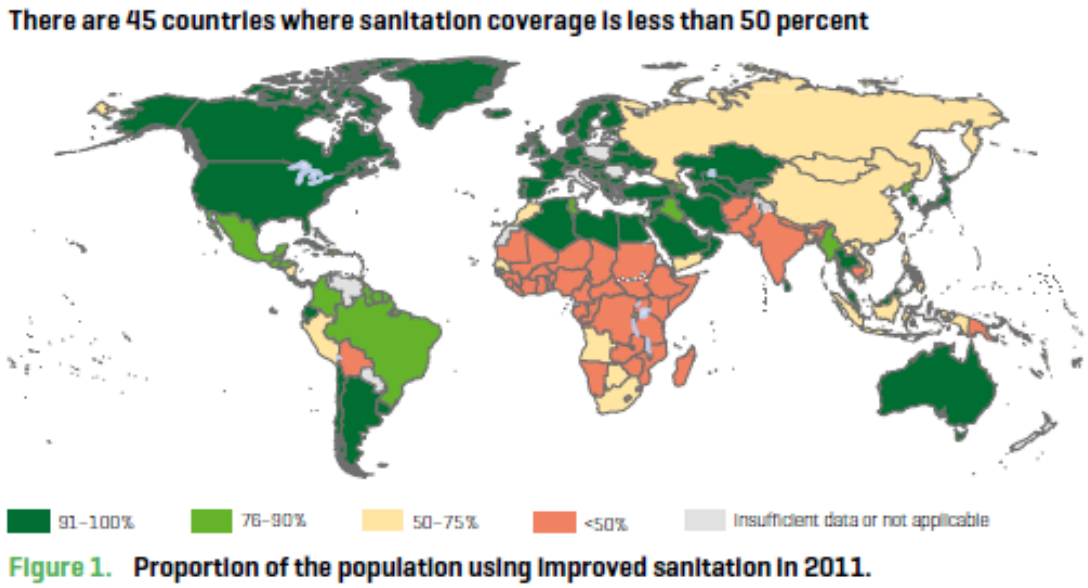
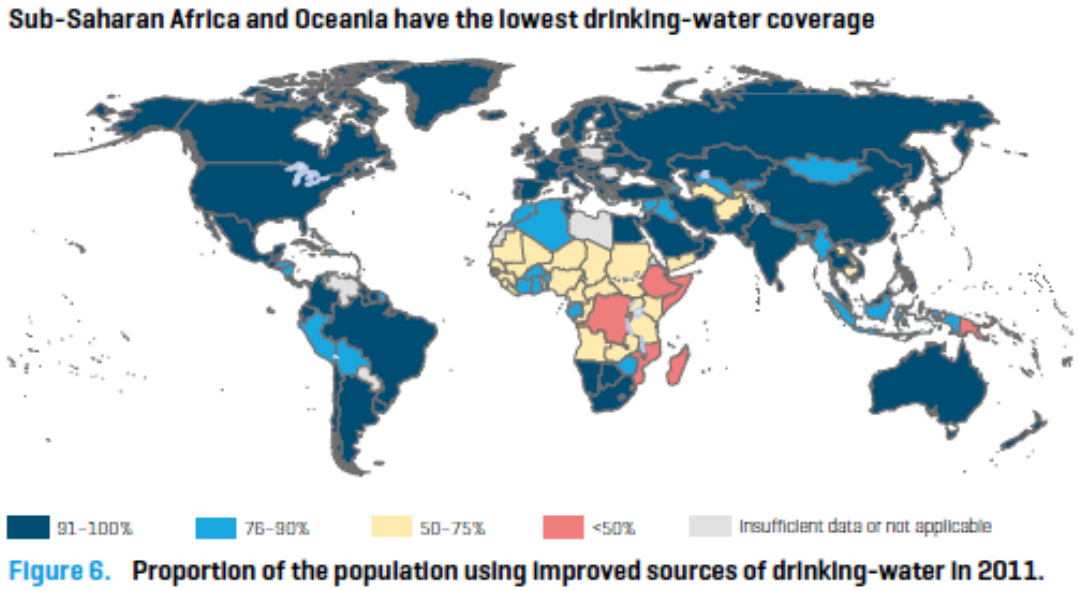


Figure 4: Coverage for water supply (JMP 2013)



- Funding for sanitation is still much too low in many WASH projects, in particular in rural areas. More sensitisation and advocacy are needed.

[2] JMP Report 2013 (WHO/UNICEF): http://apps.who.int/iris/bitstream/10665/81245/1/9789241505390_eng.pdf

- The poor of the poor are often not reached with conventional approaches which are based on piped systems or boreholes with hand pumps (see annex 4).
- Agreements on aid effectiveness such as Paris Declaration and Busan Principles will shift competences related to resource allocation and implementation and monitoring further towards the partner countries.
- Working along programmatic approaches and through decentralised service delivery approaches still includes many challenges in many countries such as related to equity and inclusion and sustainability. In order to strengthen governance and accountability specific capacity development on national and local level, follow up on the ground and coordination on national level are needed.
- Many cross cutting topics such as fostering decentralisation, gender mainstreaming, climate change resilience, monitoring, or improving sustainability of services were taken up in strategic documents and plans. However on the implementation level there is little evidence that sufficient actions were taken and topics were really embedded in operational procedures. Little systematic data is available on impacts so far.
- Corporate strategies such as the long term strategy of the AfDB[3] or USAID's new strategy 2013-2018 on water and sanitation[4] indicate the need for water and sanitation projects and programmes to become more integrated and to link stronger with other sectors such as green growth or agriculture and food security and health.
- Degradation of environmental resources and climate change impacts will affect more and more countries and projects.
- An increasing number of WASH projects will be implemented in fragile states and off track countries. Projects itself might also become a source of conflict if not properly designed and managed. Working in contexts of fragility and in areas with degraded environmental resources demands for new ways and processes of working including applying a fragility lens in the design, implementation and monitoring of WASH interventions, but also specific coordination and funding modalities.

A more detailed summary on important trends and challenges is included in annex 4.

4. RWSSI and its impacts

4.1. Activities within RWSSI so far

On the **operational level** the Bank has approved 38 RWSSI projects in 27 countries since 2003. These projects have contributed to improving access to safe drinking water and adequate sanitation services for 56 million and 41 million respectively[5]. By end of 2012 the 38 projects have benefitted of a total funding of 4.7 billion Euro of which 1.0 billion Euro were from AfDB and 109 million Euro from RWSSI TF. The rest came from other donors, governments and communities.

Currently about 30 RWSSI projects are approved or in the implementation phase. About 15 of the 30 ongoing activities were supervised by AfDB field offices, the remaining projects from headquarters. By end of 2013 around 9 projects will be active in fragile states (Central African Republic, DRC, Chad, Comores, Djibouti, Guinea Conakry, Liberia, Sierra Leone and Sao Tome & Principe).

On an **organisational level** OWAS has started a recruitment process to establish a RWSSI Focal Point at OWAS, who is in charge of all RWSSI and RWSSI Coordination Committee (RCC) related work within OWAS. The RWSSI Focal Point should become operational by summer 2013.

Based on recommendations in the internal and external review from 2010 and 2011, OWAS strengthened decentralisation of activities and has posted more specialist staff into AfDB field offices. By end of 2013 OWAS plans to manage RWSSI projects through at least 20 country offices.

On **strategic level** a new Strategic Plan was developed for RWSSI and RWSSI TF for the period 2012-2015. Development partners pushed OWAS to include concise and harmonized results framework for both

[3] AfDB: At the Centre of Africa's transformation: Strategy for 2013 – 2022
[44] USAID: Water and Sanitation Strategy 2013-2018
[5] RWSSI Annual Progress Report 2012

RWSSI and RWSSI TF in the strategic plan. The new strategic plan will focus on supporting governance in the water sector of member countries, on improving access to safe water and sanitation in fragile states and on enhanced monitoring of impacts, but also on improving governance of the RWSSI TF itself. RWSSI TF resources should be targeted towards five key operational areas: (see table 1). The strategic plan also calls for the application of a fragility lens (conflict sensitive project planning) as well as for the observance of the Human Right on water and sanitation.

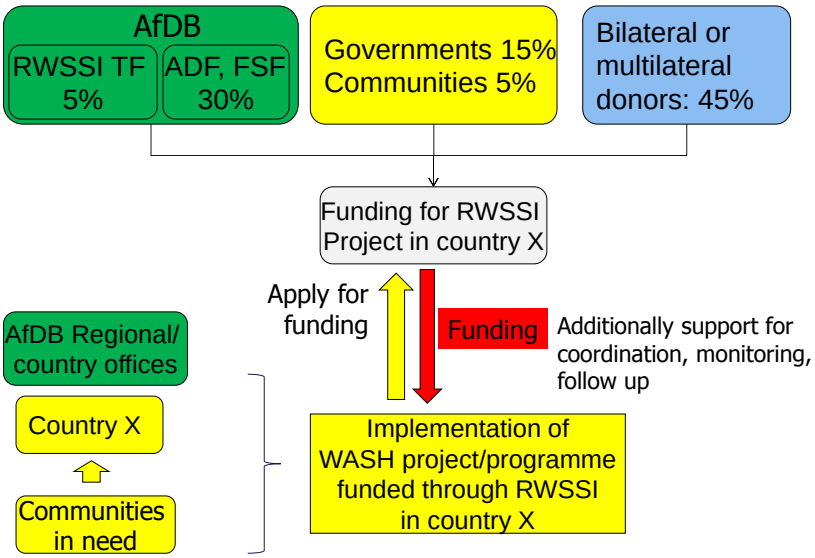
Table 1: Indicative distribution of RWSSI TF resources[6]

No	Key operational areas	Target value %
1	Strengthening RWSSI TF Governance	1%
2	Improved Sector Governance	15%
3	Enhanced Investments in RWS in fragile states	56%
4	Sustainability of RWS systems	13%
5	RWSSI knowledge management, sector M&E	15%

4.2. Channelling funds to RWSSI projects and project implementation

After approval the project will be implemented through country systems. The lead for the implementation is with the government. In the implementation phase the role of the Bank is to support government entities on national and decentralised level in planning, coordination, monitoring and investments.

Figure 5: RWSSI Project Implementation



Depending on the level of decentralisation in the country, local bodies, such as the district authorities may be in charge of the implementation. National procurement procedures apply, but also planning and decision making, reporting procedures and sector coordination will be followed according to the national context.

An interview with representatives of a community of Koudougou in Burkina Faso, where a RWSSI project is under implementation, revealed the fact that local governments or communities still may face difficulties to get informed on the project and are not involved adequately in the relevant aspects of the design of projects and in particular when it comes to decision making. Infrastructure was planned and built without proper needs assessment beforehand, capacity training on how to use and to maintain the facility. It was reported that there was no follow up and information on next steps.

[6] Strategic Plan 2012 – 2015 for RWSSI, approved by the board, 18.4.2013

4.3. Monitoring of impacts of RWSSI projects

So far ongoing RWSSI projects are monitored using AfDB's Cumulative Achievement Report (CAR) mechanism, which relies on data from the countries. Outputs achieved through RWSSI projects in the period 2010-2012 are summarized in Annex 5-1.

The figures presented, e.g. on people having access to safe water and sanitation, rely on data published by national authorities. These data usually do not give insight in the real performance and quality of services, on issues related to equity and inclusion or more disaggregated data such as for gender aspects. So far the data available did not allow building up an evidence basis for assessing impacts of RWSSI projects.

With the help of a Technical Advisor (TA) for M&E, OWAS is currently building up an M&E system which will allow in future to better monitor its activities and effects. Additionally, member countries are supported using RWSSI TF resources to further develop their M&E systems. Currently seven countries are improving their country specific M&E systems using the TA support from OWAS and RWSSI TF resources. Future RWSSI projects will be monitored using the new M&E procedures and tools.

So far support and follow up of projects by AfDB on country level were rather weak also due to the fact that in some countries there were no AfDB field offices, or no OWAS staff. To better support RWSSI implementation and follow-up on national level, AfDB is strengthening decentralization and increasing its number of staff in the field (incl. OWAS specialists).

4.4. Recent activities and achievements of RWSSI TF

In the initial years, the RWSSI TF was mainly used as an additional funding source for projects. With the approval of the Strategic Plan 2012-2015, the target areas for the TF are clearer defined (as outlined in Table 1). Accordingly, in the workplan 2013, the allocation of RWSSI TF funds shifted towards the new objectives.

Relevant activities recently funded through RWSSI TF include:

- Organisation and hosting of a training on Conflict Sensitive Project Management (CSPM) and Fragility Lens for the Bank, including African Water Facility (AWF), OWAS and field offices and its adaptation in the Bank and in particular for AfDB's water projects (training conducted by Swiss Peace in March 2013)
- Organisation and hosting of the kick-off meeting of the RWSSI Coordination Committee (RCC) in March 2013

The establishment of the RCC was one of the key requirements of the development partners. So far there was no mechanism in Africa to bring together representatives of technical and financial departments from governments, the Bank, development partners, key INGOs or the media on a regular basis. In March 2013 the RCC was officially launched. It has its secretariat in the Focal Point at OWAS and is co-chaired by AMCOW and OWAS. The RCC should play a key role in policy dialogue and inciting Governments to strengthen their focus on the importance to rural water supply and sanitation (achieving respective MDGs), in triggering the exchange between member countries and OWAS on experiences in RWSSI projects and on particular topics such as coordination, sector monitoring and support, advocacy and in mobilisation of funds for RWS. [7]

As the general assembly of the RCC, a RCC *Forum* was established which represents all members, including participating governments, development partners, INGO and media. The Forum will meet annually. The RCC *Coordination Committee,* a smaller body endorsed by the RCC Forum will steer the work of working groups and assure the linkages to and information of the RCC Forum. SDC was invited to be the representative of the development partners in the RCC Coordination Committee.

[7] TOR for RCC, in Annex 5 of Strategic Plan.

Future RWSSI TF allocations are presented annually in a workplan. In Annex 5-2 the draft workplan for RWSSI TF for 2013 is presented. Apart from infrastructure investments in fragile states it also includes activities and studies related to strengthening monitoring and evaluation in OWAS and member countries.

5. Financial situation of RWSSI and RWSSI TF

In the period between 2005 up to now development partners have committed approx. 176 million Euro to the RWSSI TF. Out of this, 125 million Euro have effectively been transferred to the Bank and 51 million Euro are pending.

In the period of 2010-2013 SDC contributed approx. 18 million Euro (see table 2).

Table 2: Commitments to RWSSI TF so far[8]

Donor	Commitment	Annual Contributions Received and Outstanding Amounts, EURO million										
		2005	2006	2007	2008	2009	2010	2011	2012	2013	Total	Outstanding
France*	**80**	12	10	3.2	14.8						**40**	**40**
Denmark	**30.83**	8.17	5.76	5.76	5.64		5.5				**30.83**	
Netherlands	**20**		2.25	3.47	3.57						**9.29**	**10.71**
Canada	**26.4**						8.59	8.78	9.07		**26.4**	
Switzerland	**17.94**						2.44	8.06	7.44		**17.94**	
Burkina Faso	**0.08**								0.08		**0.08**	
Italy	**0.5**									0.5	**0.5**	
Total € m	**175.75**	**20.17**	**18.01**	**12.43**	**24.01**	**0**	**16.53**	**16.8**	**16.59**	**0.5**	**125.04**	**50.71**

*The commitment by France includes Euro 40 million committed in March 2012

According to the annual progress report 2012 (page iv) approx. 118 million Euro have been effectively committed by the Bank to approved projects and other RWSSI related activities. This means that by end of 2012 approximately 7 million Euro had not been engaged and could be used for activities in the year 2013. In the projection of RWSSI TF according to the SP the amount to be carried over from 2012 to 2013 was estimated to be approx. 12 million Euro [9], including 5 million Euro of earlier committed funds from closed operations and rationalization of the program preparation activities.
According to the workplan 2013[10] a total of 21.68 million Euro are budgeted for planned activities funded through RWSSI TF in 2013. To allow realisation of planned work in 2013 additional 10 million Euro are needed. Hence, OWAS is facing a challenge to fund the planned RWSSI TF activities in 2013 as actually not enough funds are available. According to information received during the steering committee of May 2013, "t*here is hope that the outstanding Euro 10.0 million will be received from the French Government.*
However, in the event that not enough additional resources are received, the M&E studies in 6 countries will be scaled down".

An overview of the effective realization of TF projects approved by the AfDB shows that the implementation of these projects is quite slow. There is often a substantial time lag between the moment of commitments of funds to projects and the actual disbursement of these funds. This may be due to procedures within the bank but also due to planning, procurement and recruitment processes in the countries. Therefore the performance and level of disbursement is very much influenced by these interlinked steps and no clear linkage can be drawn easily between approval of projects, disbursement rates, actual expenditures and performance of projects. Each Project is a special case situation.

[8] Feedback of OWAS on SDC request, 5.6.2013
[9] OWAS: Projection of RWSSI TF based on SP, sent on 30th June 2013
[10] RWSSI / RWSSI TF Draft Workplan and Budget 2013

However efforts are needed by the AfDB and by the partner countries on internal processes to improve and accelerate project progress through the entire project cycle and to avoid or better manage delays, e.g. better communication and coordination between different departments and partners involved.

Management procedures don't allow commitment of TF resources for new activities, using resources which have been allocated before but which have not yet been realized.
Therefore, the implementation of RWSSI projects imply, that first there are disbursements by the donors to RWSSI TF and based on that commitments by the Bank to projects. Reliable disbursement by donors is a must for OWAS to keep trust of governments in RWSSI.

On the other side, OWAS is challenged by the still low level of contributions of governments and communities. Often those contributions did not meet 20% in previous years, in particular for projects located in fragile states. However, for the RWSSI project proposal of Sierra Leone which is to be approved in 2013, also substantial funding through other bilateral and multilateral donors was agreed (see annex 5-3).

Levering funds from third parties to RWSSI and RWSSI TF still seem to be a challenge. Moreover, Governments still favour urban water supply and sanitation compared to rural water supply and sanitation. The recently established RCC might be able to influence and change this trend. Further efforts and maybe new ideas and partnerships within the Bank or with partners outside the Bank should be assessed. According to the new SP, OWAS will develop and present soon a resource mobilisation strategy for RWSSI and RWSSI TF. This will be an important input for the planning of the coming RWSSI conference which is planned in 2014.

For the coming years OWAS has already drastically reduced the budget for the TF compared to the very ambitious targets in the SP. The actual targets in million Euros are: 2013: 21.7; 2014: 40; 2015: 50 compared to the SP with 21.7; 120; 150 respectively.

6. Future engagement of other development partners in RWSSI TF

In the period of 2010-2012 the main donors for the RWSSI TF included the Netherlands, Canada, Denmark, France and Switzerland. Smaller contributions were pledged by African states such as Congo, Niger but also from Italy. This set up has now changed significantly:

Denmark and Canada decided to phase out of the RWSSI TF by end of 2012. The background of their decision is to reduce the overall number of Trust Funds they are involved in and to focus more on their core contribution to the African Development Fund of AfDB.

The **Netherlands** decided to stop their support to RWSSI, as they stop or reduce all support to development banks in the water sector due to budget constraints. Additionally the Netherlands have concerns related to the low disbursement rate of the RWSSI TF compared to other TFs[11].
However concerning this issue there are different perceptions. The independent evaluation of Trust Funds at the Bank concluded that the perception of low disbursement was wrong and that the disbursement rates were in line with those in similar institutions. The assessment also showed that RWSSI TF disbursements are comparable to those of Bank funded investment projects and that the perception of slow disbursement was because the RWSSI TF was being wrongly compared with other TFs which were funding shorter duration technical assistance activities[12].

Apart from **Switzerland, France** is currently the other major donor for RWSSI TF. So far France was more a funding partner, but did not participate strongly in the thematic discussion. However recently France has expressed their interest to exchange more with Switzerland on how to best follow up and support OWAS in RWSSI and RWSSI TF[13].

[11] personal communication Aart van der Horst/MINBUZA, 8.5.2013
[12] Trust Fund Management at the AfDB – an independent evaluation, April 2013
[13] Personal communication C. Gilquin, AFD, 7.6.2013.

In 2014 a new RWSSI conference is planned. This event will be an important opportunity to advocate for RWSSI and RWSSI TF and to mobilize new donors. Achievements, new established procedures for good governance in RWSSI TF, clear targets in line with the new strategic plan but also synergies with other efforts in other sectors need to be presented to attract new donors. Switzerland, France and other donors should coordinate efforts to mobilise potential partners beforehand, e.g. by mobilizing their national water partnership, involving the "Francophonie" or through their engagement in multilateral institutions. In particular those countries and institutions that have shown interest in RWSSI TF before, such as South Africa, UK DFID, US need to be addressed specifically.

7. SDC's role in RWSSI TF and first achievements

SDC joined the RWSSI TF in 2010 and has up to now contributed approx.18 million Euro. In that period SDC was one of the most active partners in the steering committee. SDC was strongly involved and engaged in the process for developing the new strategic plan 2012-2015 for RWSSI and RWSSI TF. Based on constructive thematic support to and an open communication with OWAS a high level of mutual trust could be established. This allowed SDC bringing in key thematic topics in the new Strategic Plan of RWSSI and RWSSI TF such as specific approaches in fragile states (fragility lens, New Deal), reinforcing gender mainstreaming and governance aspects, observance of the human right on water supply and sanitation, as well as stronger involvement of the beneficiaries. SDC also supported AfDB at the WWF 2012 in Marseille to mobilize additional funding for RWSSI, which resulted in additional funding of 45 million Euro for RWSSI TF by France, Chad and Congo.

Apart from the involvement of SDC in the RWSSI TF, there was additional support from SDC side to OWAS and AfDB in that period:

- SDC finances a **technical advisor on monitoring and evaluation** for OWAS, who was contracted by OWAS (Fabio Losa, Jan 2012 – Dec. 2014). His work focuses on the development of an up to date M&E system for OWAS to monitor their own projects including RWSSI and to support member countries in improving their own M&E systems. His work is based on achievements which were developed by a former SDC funded consultant on M&E (E. Schaltegger). The technical assistance on M&E is funded through the "Swiss Consultancy Trust Fund": It will provide the basis to set up procedures in OWAS and in countries to deliver relevant data which are needed to monitor and evaluate RWSSI activities in the future. Some first results of this TA can be expected soon from 6 pilot countries. However the full monitoring system will only be operational after 2-3 more years.

  SDC's current support to OWAS to strengthen the level of M&E is of strategic importance for OWAS and RWSSI as so far there is little specific data and thus evidence on impacts from RWSSI projects on the ground. If the TA for M&E will be continued beyond end of 2014 there is a likely chance that in future there will be more reliable data on impacts of RWSSI projects.

- Additionally SDC financed a secondment of Cristina Hoyos, an expert on **Fragile States and Conflict Sensitive Programme Management** at the Fragile States Unit (FSU) of the AfDB. Before she left the Bank in April 2013, a first CSPM-training on the fragility lens and its application on water related issues was conducted with the involvement of Swiss Peace. The training was attended by staff from OWAS but also from various other departments of AfDB including the high management level of AfDB. This training not only has created awareness in the Bank including the management level on the relevance of the topic to water but has highlighted the need to align operational procedures of the Bank along this topic. In 2013 OWAS will revise its operational guidelines and develop a RWSSI tool kit which will include the fragility lens as an important element.

- Sponsored by SDC, the special **UN rapporteur on human rights to water**, Catarina de Albuquerque provided a valuable input for the RWSSI Strategic Plan. Moreover in May 2013 she gave an introduction to the topic of human right to water and sanitation to AfDB and OWAS.

- Based on an open tender in 2012, Skat has been contracted by DAO backstop DAO till end of 2015 in the follow up of the support to RWSSI TF. Based on a team of international experts Skat will

support SDC in policy dialogue with OWAS and supports COOFs on demand in topics related to RWSSI.

The mandate also includes the option that on demand of OWAS, Skat might provide specific support to OWAS related to RWSSI TF. In this context, Skat team members supported OWAS in the preparation of the RCC launching meeting and provided the facilitation of the meeting. Additionally Skat supported the Bank and OWAS in the organisation of the CSPM-training.

8. Value addition of RWSSI and RWSSI TF

For the actors involved in RWSSI the investments through RWSSI and RWSSI TF have different advantages:

- For **countries** with RWSSI projects: Financing and implementing projects through RWSSI shows particular advantages for governments as compared to many other donor financed projects, RWSSI implementation is through government systems. No parallel systems have to be established to become eligible for funding. Governments also appreciate that RWSSI projects are flexible with respect to the project design and that they focus on improving service delivery. Compared to AfDB many other donors are very rigid with respect to the design and thematic or regional focus of projects and the way of implementation.
- **Regional Coordination**: The newly established RWSSI Coordination Committee (RCC) will allow governments but also OWAS to better exchange experiences on RWSSI projects and on other activities in the sector. It will offer a unique platform for advocacy and for thematic exchange and discussions. So far there is no other platform in Africa in the WASH sector where representatives of ministries of water, sanitation and health but also of finance will come together, meeting development partners, NGOs or media on a regular basis.
- **For SDC:**
  - **Thematic discourse**: For SDC RWSSI and RWSSI TF and the RCC offer a good opportunity to bring in SDC's core concerns and competences such as decentralisation of services, water and food as a human right, conflict sensitive programme management, sustainability and M&E on a high agenda which involve many African governments, development partners and even other sectors within the Bank. As can be seen from the example of the "fragility lens" the support to the water sector offers potential to act as a door opener to other sectors and initiatives in the Bank such as peace building.
  - **Operational synergies**: SDC is active in some countries where there are RWSSI projects under implementation. This offers potential for synergies and joint efforts such as in the area of implementation, monitoring or advocacy for decentralised service provision. It also offers potential for fostering exchange and for improving governance in the water sector. So far this potential has not been further assessed or capitalized by SDC.
  - **Funding and RWSSI TF governance**: Together with other active development partners, SDC could steer the governance of RWSSI TF even more pro-actively, in particular if the partners do exchange more frequently on issues and ideas. This could also show benefits for thematic work of donors such as Switzerland and France in countries where both are active, e.g. in Niger or Mali.

9. Summary of assessment and recommendations

9.1. Outcomes

On RWSSI implementation level: So far reliable mechanisms were lacking to capture outcomes and impacts of RWSSI projects in detail.

Considering the current level of funding and progress in terms of access to safe water and sanitation services, it is clear that the objectives of the African Water Vision cannot be met by RWSSI.

OWAS' initiative to launch the RCC, involving representatives from governments, development partners, INGOs and media from all over Africa was perceived positively, in particular, the fact that RCC brings together representatives from the ministries in charge of water, health and finance.

On OWAS level: In 2012 OWAS started to develop an up to date M&E system and is supporting countries to improve M&E systems which should allow OWAS to monitor its activities and finally also impacts of the RWSSI projects. Key topics for SDC such as fragile states or human rights to water and sanitation have been picked up by OWAS and also within the Bank.

The workplan 2013 is aligned with the focus areas of the new SP. In 2013 OWAS will improve its capacity and efficiency by appointing the focal point and by introducing operational toolkits for RWSSI.

On SDC level: A good relationship between SDC and OWAS was further strengthened. SDC contributed to the strategic reflections within OWAS and through the promotion of trainings on applying a fragility lens (CSPM) and Human Rights in the area of water and sanitation.

Recommendations: The efforts for strengthening M&E in OWAS and in countries should be continued on a long term basis. Members of the RWSSI TF steering committee should get access to data of the M&E system to improve governance of the RWSSI TF.

9.2. Efficiency

An assessment of the current procedures of the bank should allow identifying areas with potential to make the disbursement more efficient. OWAS and field offices may need to communicate better and regularly to really capitalize from the decentralised set up of AfDB. The new operational tool kits and guidelines should be developed quickly and training should be provided for relevant AfDB staff including a follow up training after 6-9 months. Partners involved in the implementation of RWSSI projects should be informed about the new guidelines.

9.3. Sustainability

Financial and technical sustainability of investments very much depends on user's or user committees' involvement in the project design and implementation. Specific capacity development for users and communities and linkages to the local private sector are needed to establish the environment for a viable supply chain and operation and maintenance. In particular, acceptance and affordability of tariffs depend on an early involvement of user and user committees.

Procedures within RWSSI, from identification till implementation and follow up must assure that the users are involved in all relevant stages of decision making. As RWSSI projects are implemented through country systems, OWAS but also the development partners should engage more to assure accountability and good governance.

Targeted capacity development is needed to assure institutional sustainability on all levels (national, local, community). There are indications that some RWSSI projects need to put more effort in these sustainability aspects. Guidelines and follow up activities should take up these issues.

So far impacts of RWSSI projects are assessed through end-of-project assessments. In future, outcome assessments are envisaged even during project implementation. In order to assess sustainability of RWSSI projects it is recommended to also foresee post-project follow up assessments 3-5 years after project completion, e.g. through external evaluators.

9.4. Scaling Up

RWSSI and SDC's support through TA for M&E in combination with the RCC do offer a huge potential for scaling up thematic approaches and good practices in the WASH sector in Africa. SDC's engagement and rapport with OWAS actually allows SDC to bring up new themes and to propose new cross cutting issues which might lead to changes in the way of working within OWAS but even in Regional Member Countries of the Bank. However this potential is directly linked to the trust OWAS has in SDC's support.

10. Rationale for a possible further engagement of SDC in the RWSSI TF

There is no doubt that still huge efforts are needed to improve access to safe water and adequate sanitation on a sustainable basis in particular in SSA (see chapter 3 and annex 4).

A recent analysis of EU shows that efficiency of water projects in Africa has often not been satisfactory and that improvements are needed, e.g. in terms of sustainability and capacity building for operation and maintenance[14]. OWAS plans to further improve governance and performance of RWSSI.

For SDC, the following criteria are decisive whether to continue supporting RWSSI TF or not:

The further engagement of SDC/DAO in RWSSI TF needs to be **in line with SDC's strategic orientation** in particular with the "Message on Switzerland's International Cooperation in 2013–2016" and the "Guidelines of the West Africa Division".

- In fact, water is one of the thematic priorities of the Message and is globally supported by the Water Initiative.
  In contrast to the overall strategy of SDC, drinking water and sanitation has not been chosen as one of the thematic focal areas of the West Africa Division. It does not really fit within the domain of "food security and rural development" which focuses more on agriculture production and value chain. However RWSS fits well into "decentralisation and local governance" the third topic of the DAO Guidelines which empowers the local government structures to provide necessary services based on the needs expressed by the local population.
  Governance is a transversal priority of SDC at global level as well as for the DAO. SDC's main attention regarding RWSSI has always been related to governance issues and these topics have well been taken up by OWAS. In the coming years a great effort will be needed to put the governance recommendations into action.

In a potential engagement in RWSSI TF, SDC wants to bring in **strong thematic inputs** in addition to the financial contribution. In particular SDC wants to mobilize its extensive thematic expertise and it wants to foster the exchange with the relevant networks and country level water programs to be an even more active and relevant actor in the policy dialogue.

- Synergies between different SDC divisions and global programmes may be further developed such as already existing between DAO and GPWI (e.g. GPWI co-financed the first contribution to RWSSI-TF in 2010 and provided thematic advice and played an active role in the animation of the World Water Forum in Marseille 2012). However further collaboration is encouraged to capitalize potential for synergies e.g. with COOFs or with SOSA and the Humanitarian Aid, regarding exchange of experiences and capacity development, supporting policy dialogue on national level or following up RWSSI activities on the ground.

  Skat has the mandate to play a proactive role in facilitating this kind of collaboration and synergies.

Efforts of SDC and its partners have to be targeted and managed in a way, that financial support will provide **good value for money**. Effectiveness and sustainability of investments in water supply and sanitation in rural areas of Africa through RWSSI have to be further improved.

- AfDB and OWAS are committed to continue their engagement in RWSSI and will further streamline the management of the RWSSI TF towards the principles as stated in the strategic plan. RWSSI TF will benefit from planned efforts to further improve Trust Fund management within the Bank, as declared in the Management response on the evaluation of Trust Fund Management.

For SDC it is not enough to implement good projects. There is a need to **monitor the programmes and to document long term results**. Therefore a good monitoring and reporting system is needed.

[14] http://www.bbc.co.uk/news/world-africa-23087918

- In the past the monitoring system of OWAS was not satisfactory and did not allow detecting and correcting inappropriate approaches and technologies in time.

  The new monitoring system of OWAS will finally bring more elaborate information on the progress and results of RWSSI. However this system will still take quite some time to be operational.

  In the meantime SDC may be interested in observing occasionally the implementation modalities of RWSSI projects e.g. by COOFs in countries where SDC has its own RWSS programmes and participates in the policy dialogue or by GPWI and/or Skat during field visits and interactions with involved stakeholders. In these cases, the observations have to be shared with OWAS in a transparent manner.

11. Discussion of Options

11.1. Scenario 1: Continuation of support to RWSSI TF

Description of scenario and role of SDC:

- SDC continues to support RWSSI TF financially, with about CHF 6 million Euro per year, i.e. about CHF 18-20 million for the period 2014 – 2016. Apart from SDC also France will hopefully contribute substantially to the RWSSI TF in the years to come. The annual budget of RWSSI TF is around Euro 20 million, also depending on the buy in of other donors.
- If no new development partners will join soon, SDC and France will be the only influencing development partners for RWSSI TF.
- SDC will continue to be a Steering Committee member for the RWSSI TF and will be the representative for the development partners in the RCC at least for a first period.
- SDC will paly an active role in providing technical and strategic input to OWAS and in exchanging experiences with relevant networks.

Embedding within SDC:
SDC has established a clear set up between its departments and entities with defined roles to support RWSSI TF and RCC. The new set up might include departments in SDC, who have not been involved so far, such as SOSA or the Humanitarian Aid. GPWI (its regional representative in Addis Ababa) and in particular COOFs will be involved more to contribute to SDC's support to RWSSI TF and RCC:

- The lead within SDC for the follow up of RWSSI TF will still be at DAO.
- Concerning its activities related to the support to RWSSI TF, DAO will focus its activities along its strategic themes governance, equity, decentralised service provision and sustainability.
- SDC internally, the water competence will be assured through targeted support from the GPWI, in particular through its Regional Focal Point for Africa.
- Stronger links could be established between DAO and SOSA, where the "water" topic is also under "Governance". In the SOSA region, SDC is implementing major water projects which are located in countries with RWSSI projects, such as in Mozambique and Chad.
- The potential for closer links with MENA and SHA needs to be assessed.
- Along their country strategies the COOFs may be involved in the policy dialogue in the water sector on national level. In particular COOFs with major projects in the field of "gestion publique local" and water may be engaged in thematic exchange with other actors in the water sector including AfDB.
- Where needed specific technical support related to water or governance can be provided through the Skat mandate or through other Swiss Partners working locally (e.g. NGO's).

Resources needed for SDC:
For the period of 2014 – 2016 a budget of CHF 18-20million is envisaged for the RWSSI TF which means this scenario needs significant financial resources for the RWSSI TF.

Within SDC the leading division DAO needs thematic support by GPWI and Skat to take on its role. This support might also include training and follow up of COOF staff on particular water related issues.

Expected impacts:
SDC will have increasing impact on the quality of implementation of RWSSI TF. In particular in combination with the TA support to M&E a basis for monitoring of impacts of RWSSI projects and for strengthening governance will be established.

In this scenario DAO, GPWI and COOF's realize synergies and complementarities on strategic, thematic but also on operational levels.

11.2. Scenario 2: Time out of SDC in RWSSI TF

Description of scenario and role of SDC:
Assuming that in previous years not all RWSSI TF funds have been allocated or spent entirely a significant amount of money could have been built up within TF which could be used in 2013 and coming years to fund RWSSI TF activities. In this case additional disbursements of SDC in 2013 or 2014 would not be needed.

According to the rules of the RWSSI TF in general allocated money for RWSSI activities which has not been spent cannot be reallocated to other projects. According to the annual report 2012 from OWAS there were approx. 7 Mio Euro by end of 2012 which have not been spent or allocated[15]. In a recent communication by OWAS the amount to be carried over was adjusted to 12 Mio Euro.[16].

However this amount of funds is by far not enough to implement the activities planned without any further disbursement from donors. To implement the activities proposed in the workplan 2013, additional 10 Mio Euros are needed. France is expected to fill the gap within the second semester of 2013. However to plan for the coming years and engage funds for projects, a certain reserve of about one years budget on the TF account would be necessary. Actually there is no good reason for SDC to delay the next disbursement to RWSSI TF.

Nevertheless, in the case that SDC would choose this option, the following description would apply:

Embedding within SDC:
Some follow up of RWSSI and RWSSI TF is needed to stay informed and to inform OWAS about the position and plans of SDC. Some exchange to RWSSI and OWAS could be continued e.g. using existing linkages of COOFs to RWSSI activities and AfDB on national level or through the Skat mandate.

Resources needed for SDC:
No particular financial resources are needed for this scenario for the period of the time out. Also there is no need to adjust roles or to allocate more time to follow up this mandate. In this scenario DAO could access some level of information on AfDB and RWSSI through the COOFs and through Skat (till end of 2015).

Expected impacts:
Most likely SDC role in the RWSSI TF Steering Committee would decrease and SDC might give up its role in the RCC Coordination Committee in the period of time out. Maybe SDC can have an observer role in the RCC.

Considering the financial situation of the TF, there is no justification for this option and it would be difficult to explain it to the Bank. Therefore it might be linked with a loss of predictability and credibility from the side of the partners.

11.3. Scenario 3: Phasing out of SDC from RWSSI TF

Description of scenario and role of SDC:
SDC decides to end the support the RWSSI TF and to pull out of RWSSI TF completely.

SDC will be no longer member to the RWSSI TF Steering Committee and will step out as member of the RWSSI Coordination Committee.

Embedding within SDC: Some exchange to RWSSI and OWAS could be continued e.g. using existing linkages of COOFs to RWSSI activities or to AfDB or through the Skat mandate. Further exchange on

[15] Annual report 2012
[16] OWAS: Projection of RWSSI TF based on SP, sent on 30th June 2013

RWSSI TF could be established through the engagement of SDC on the AfDB Bank level. However why should SDC want to step out of the RWSSI TF and at the same time to keep involved in the discussions?

Resources needed for SDC: For this scenario no additional financial or personal resources will be needed.

Expected impacts:
SDC will lose its impact on the RWSSI TF and on RWSSI and RCC. The level of exchange with OWAS will decrease. Synergies offered by the work of the TA for M&E might not be captured. On Bank level SDC's role might get weakened, e.g. in consultations around replenishments due to loss of trust.

12. Discussion of options and conclusions

12.1. Discussion of options

Potential for value addition of SDC
SDC is in a good position to bring in new ideas/themes in the RWSSI TF Steering Committee and/or in RCC. The RWSSI TF and RCC can be developed further towards a kind of think tank and catalyst for the water and sanitation sector in Africa if properly managed. As it is aligned with AMCOW and supported by governments RCC has a high potential for leverage effects.
A new strategic plan for RWSSI needs to be developed in 2014/2015. This plan will need to consider the implication of the post 2015 MDGs on water. The coming period of 2014-2016 will offer SDC a unique opportunity to feed in its experience and expertise to this strategic process.
In the next years SDC is funding some big water and sanitation implementation projects such as the PEPP in the Grand Lacs region or in Mozambique. This offers a lot of potential for synergies with a potential future engagement of SDC in RWSSI, RWSSI TF and RCC.

Regarding the SDC's strategic objectives scenario 2 and 3 would not add any contribution, but most likely create a big challenge to RWSSI TF to continue its operations.

Risks
SDC has been involved and strongly engaged in the RWSSI TF and in particular in the development of the new strategic plan 2012-2015 for RWSSI / RWSSI TF. New governance mechanisms are now being established for RWSSI TF at OWAS level. SDC has supported OWAS in organising the kick off meeting of the RCC and has been invited to participate as first representative of the development partners in the RCC Coordination Committee.
Stepping out (scenario 3) would create a reputational risk for SDC. Even a time out (scenario 2) of SDC in this phase of RWSSI TF will cause a lot of irritation on AfDB side, as there were no signals from SDC side so far that this engagement is questioned. If this scenario should be considered at all a very subtle communication strategy is needed. Potential synergies with the work of the TA for M&E might not be realized.

12.2. Conclusions

SDC's engagement in the RWSSI TF started in 2010. Its engagement has led to many important changes within RWSSI and RWSSI TF's strategy, such as related to new themes of governance, fragility and human rights. The current level of engagement in OWAS with the TA for M&E and in the steering committee of RWSSI and RCC allows SDC to bring in new topics and push for better monitoring of activities and impacts. Within OWAS and RCC SDC is appreciated and trusted as a reliable partner.

RWSSI is a complex mechanism to improve access to safe water and adequate sanitation services in rural Africa. So far there is little reliable data on impacts. With the development of a new strategic plan, with the start of the SDC supported TA on M&E and the launch of the RCC some important steps have been taken to improve monitoring and governance of RWSSI and RWSSI TF.

The current financial situation of RWSSI TF is a challenge as some donors pulled out of RWSSI TF and some are delaying disbursements to RWSSI TF. For now only France and Switzerland are the major donors remaining for RWSSI TF with Italy and Burkina Faso as minor contributors. The planned conference for

RWSSI in 2014 should be used to further position RWSSI TF as an African think tank and catalyst for innovative approaches in the water sector in Africa.

In this review different options concerning SDC's future engagement in RWSSI were discussed and assessed including continuation of engagement in RWSSI TF under specific conditions (scenario 1), a time out (scenario 2) or even pulling out of RWSSI TF (scenario 3).

For the scenario 1, continuing SDC's engagement in RWSSI TF, it is recommended to better define and strengthen linkages between DAO, SOSA and GPWI, maybe SHA to capitalize synergies and to foster strategic coherence. Specific support is needed to strengthen synergies between RWSSI and COOF in countries where SDC is involved in rural water supply and sanitation. For this GPWI and Skat may play a supportive role.

Scenario 2 includes the risk for OWAS for not having sufficient funds anymore in the next years to continue the RWSSI TF. Additionally, OWAS and RCC would lose the support of the most active donor in a critical period of time. The scenario 2" time out" would leave the option for both sides to come back however a very clear communication would be needed from SDC side on why this "time out" and under what reasons and conditions to come back to avoid losing trust. However the actual financial situation of the TF would not justify a delay of contributions.

The consequences of scenario 3 would be linked with a loss of recent achievements and a loss of trust from the side of OWAS and the other partners.

Annex

Annex 1: TOR for review mandate (final)

Annex 2: List of relevant documents consulted

Annex 3: List of interviews

Annex 4: Major trends in water supply and sanitation in Africa

Annex 5: Selected key inputs published by OWAS

Annex 1 TOR Review

Review of the SDC Contribution to the Rural Water Supply and Sanitation Initiative (RWSSI) Trust Fund of the AfDB - Objective and implementation of the review

1. Background

Since its beginning in 2005 RWSSI is the leading mechanism within the AfDB to support governments in their efforts to improve Rural Water Supply and Sanitation. Through RWSSI African governments can access funding for RWS projects, if these projects comply with eligibility criteria defined by OWAS (the Rural Water and Sanitation Department of the AfDB). Internal and external evaluations in 2010 and 2011 have highlighted the relevance of RWSSI as a very important funding mechanism for RWS but also some shortcomings in the internal procedure, governance but also thematic focus.

SDC has supported the RWSSI Trust Fund now for 3 years financially but also with thematic support. In 2012 SDC has brought in various thematic issues in the preparation of the new Strategic Plan for RWSSI 2012-2015 (approved on 16.04.2013) which also describes the framework for the RWSSI-TF. From SDC side important thematic aspects include fragile states, conflict sensitive project management (CSPM, fragility lens), Human Right on access to safe water and sanitation, gender mainstreaming, M&E and sustainability.

Some of the initial development partners (e.g. Denmark, NL, Canada) involved in the RWSSI-TF have reduced the disbursements to the RWSSI-TF recently for different reasons, other partners came in recently and started funding.

The funding period for SDC's current contribution for RWSSI-TF will come to an end by December 2013. In order to prepare a decision basis for a possible new credit proposal for RWSSI-TF, a review of the achievements of the current support to RWSSI and an outlook should be developed and discussed internally. In order to be aligned with the procedures within SDC the final report should be available by mid of July 2013. Within SDC all relevant partners should be involved in the discussion of the findings, including DAO, SOSA, WI.

2. Proposed TOR for the review

According to DAO's concept note the review has three objectives:

- To inform SDC about the results of the RWSSI-TF and value addition of SDC contribution (3years) to the RWSSI-TF
- Provide major current trends in Rural Water Supply and Sanitation in Africa
- To provide the factual information for the end of phase report of the project
- To facilitate the decision of SDC to continue, delay or abandon the support to RWSSI-TF

Six focus areas have been defined by DAO for the review:

RWSSI and its impact (Voir aussi les commentaires de Michel à la fin de ce papier)

- How is RWSSI and RWSSI -TF funding channeled to projects in countries?
- What have been the main activities and effects of RWSSI and RWSSI-TF funded projects on the ground in the past 3 years? What has been achieved and confirmed through independent / external reviews?
- How would OWAS define the added value of RWSSI and of the RWSSI-TF so far?
- Which indicators were covered and did generate reliable data by the OWAS M&E so far? Which indicators can be captured in the next 3 years producing reliable data on RWSSI projects and internal processes?
- Are there first tangible results reflecting the focus of the new SP? What has been the role of OWAS so far to embed the new SP in OWAS and AfDB?
- In terms of the new Strategic Plan, how will OWAS design and manage the project so that thematic requirements will be implemented?

- How far have the institutional changes foreseen in the RWSSI SP 2012-2015 been implemented (in particular with respect to the RWSSI Focal Point)?
- Which procedures and guidelines exist in OWAS to support design and follow up of the thematic issues?

Value addition of RWSSI-TF and its financial situation

- How (what for) has the money of RWSSI-TF been spent so far? Give details for what TF money has been spent in 2010, in 2011 and 2012
- What is the actual financial situation of RWSSI-TF at the end of June 2013? How much funding has been released to the TF and from which source?
- What is the actual budget for 2013 and what are the planned activities? What are the priorities if funding is not sufficient for planned activities?
- How many projects have been approved in 2010, 2011, in 2012 and which were the effective disbursements in 2011, 2012?

Role of SDC within RWSSI / RWSSI-TF:

- What is the added value of SDC involvement in RWSSI / RWSSI-TF? How has SDC been involved in the strategic and thematic discussion of RWSSI so far? How have other DP's been involved?
- What have been or are the effects on RWSSI by SDC supported personnel / activities within AfDB and OWAS for RWSSI (e.g. through fragile states unit, through inputs on human rights, through support for monitoring & evaluation system (Schaltegger and Losa), SKAT)?
- What is the value and effects of the trainings carried out on CSPM and on the Human Right on the access to safe water and sanitation sponsored by SDC ? Should SDC be involved in the promotion of such aspects (CSPM, HR) and in such trainings also in the future ?
- What is the exact contractual situation of SDC funded people working in the AfDB?
- Have our expectations been fulfilled (c.f. SDC Credit Proposals) ? Which are the formal limitations of SDC's role to enforce its expectations?

Development Partners of RWSSI-TF

- What is their actual engagement, what are their perspectives for the future in terms of funding but also thematic engagement?
- What are their constraints with respect to performance of the RWSSI-TF? What are their ideas/strategies to improve the situation?

SDC's Strategic Options

- How does SDC's involvement in the RWSSI-TF fit with strategies of SDC/DAO? Complementarity with Country Strategies of SDC, potential for coordination, synergies?
- What is the vision for SDC's role in RWSSI and RWSSI-TF?
- Which are scenarios for SDC's involvement as a future Development Partner in the RWSSI-TF (phase out, time out, ongoing support with more rules, others)? What could be the role of DAO, of SOSA and WI in these scenarios?
- Which strategic options should SDC follow considering various scenario of future Development Partners involvement in the TF?

SDC's operational requirements

- Which are the resources, structures and processes needed to fulfill the intended role in the TF in the future? (HQ DAO, OSA?, WI, COOF, regional coordinator, ResEau, other partners)
- Which activities should be planned by SDC to better capitalize from RWSSI and its involvement in the RWSSI-TF ?
- How can DP's and SDC improve the performance and impacts of RWSSI and the RWSSI-TF (e.g. more input in form of human resources, stronger involvement of DPs in projects funded through RWSSI-TF?)

- How can the impact be monitored better / more precisely?
- What is required from OWAS to allow SDC to continue its support?
- How will OWAS be informed about SDC's position? What are the next steps by SDC internally and externally (wrt OWAS and DP's)?

3. Requirements

The Support to RWSSI-TF is not a standard type of project, it works through the structures of the AfDB. Therefore, also the review of the achievements and of the outlook have to consider the particular procedures and capacities of AfDB, the entry points of SDC but also the limits of SDC to influence the effectiveness and efficiency of the RWSSI and RWSSI-TF implementation.

During the process different departments within SDC should be involved in this review to get a wide ownership, for some of them, options for potential future roles needs to be defined. Therefore, during this process these partners should be informed with respect to the procedures of RWSSI, with the objectives of SDC in this process and also to assess the potential for stronger involvement and coordination of their activities with RWSSI in future.

OWAS and some donors (France and Netherlands) have been informed already about the planned review. The reaction of OWAS was positive so that there is no particular protocol needed.

4. Proposed Review Process

As time is short, most of the work for the review needs to happen in parallel. The attached work plan presents the schedule of the tasks considering deadlines and missions due to other assignments of SKAT.

Below some details are discussed with respect to the six areas (not exhaustive):

Area 1: According to the draft work plan a first phase of data collection will take place between mid April – Mid May. Here the focus is on literature research and specific interviews with OWAS and development partners of RWSSI-TF.

Area 2: the key details are not available online so specific support is needed from OWAS. Questions will be directed to the Director of OWAS, Mr. S. Jallow with cc to Maimuna Nalubega and Fabio Losa.

Area 3 and 4: Interviews with various persons will be held using telephone, skype or face to face meetings where possible through visits funded through other assignments.

Area 5-6: Between beginning and mid of June the findings will be discussed with SDC's departments (DAO, DOSA; WI) and verified with specific interviews with experts from outside (to be defined). The data and findings will be documented and shared within SDC as preparation for a 1 day workshop, which is scheduled on 19th of June. In the report also the mechanisms of how RWSSI works and how the RWSSI-TF should work will be presented in order to allow the participants to understand fully the scope and potential of SDC's involvement in RWSSI-TF but also to identify bottlenecks.

The SDC internal half day workshop will bring together DAO, DOSA, WI, maybe others (SDC in IBA, ADB) to discuss findings (areas 1-4) and strategic options for SDC and for next steps (areas 5-6). The inputs for the workshop will be prepared by SKAT. The facilitation can be done by DAO or by another institution if requested by SDC.

After the workshop the participants have two more weeks to discuss the workshop findings internally and to clarify their roles and vision in a potential next round of support to RWSSI TF. The comments should be submitted to DAO/SKAT by 8th of July .

By mid of July a final report and an internal document on SDC's role and vision with respect to possible future contributions to the RWSSI-TF will be available.

5. Responsibility for the Review Process and Expected Outputs

The SKAT team, within the existing mandate from DAO, is responsible for the management of the process and for the accomplishment of the expected outputs.

André Olschewski is the leader of the review team. But also Jürg Christen or Roger Schmid will be involved in the review to bring in a more external view on RWSSI. The international members of the Skat Team members will provide comments to the draft report.

The expected outputs include:

Review Report: 15 pages with attachments (for the public)

Internal document for SDC (including sensitive information, if necessary; max. 3 pages)

The submission of the final report to DAO is due mid of July 2013.

Comments de Michel Evéquoz

Je pense que ces TORs couvrent les éléments importants pour la revue du programme ainsi que pour l'aide à la décision de notre part. Toutefois, il me semble que certaines questions pourraient être plus précises et plus directement liées à des défis ou des outcomes tels définis dans la proposition de crédit. En général et particulièrement pour le focus area 1, les questions sont très centrées sur ce que nous pouvons influencer directement, mais l'impact est à un échelon supérieur, sur les populations, sur la décentralisation, sur les femmes etc. Je suis conscient que cette revue n'a pas pour but de faire une analyse directe à ce niveau mais la fera à travers des documents de revue, de projets fournis par OWAS, mais il faudrait tout de même voir si certains aspects importants tels mentionnés dans la proposition de crédit sont vérifiables ou pourront être vérifiés car ces hypothèses sont à la base de notre choix d'intervenir à travers ce fond.

Ainsi :

Les aspects de support à la décentralisation (focus area 1, bullet 1) pourraient faire partie de ce point. Est-ce que les fonds ont été canalisés de manière décentralisée comme il est mentionné dans la proposition de crédit (chap 2.4)

Dans le même ordre d'idée, et si l'on examine les indicateurs quel est le pourcentage des fonds alloués pour les états fragiles, pour les zones rurales et pour améliorer la ''sanitation''. Ce sont trois défis importants qui sont à l'origine de l'appui.

Dans ces indicateurs (focus area 1, bullet 4) il faudrait mentionner particulièrement la santé et l'égalité du genre. Dans la proposition de crédit, sous outcome et outputs of SDC's RWSSI contribution, le bullet point 2 mentionne ''impact of RWSSI on enhanced health situation and gender equality is measured : est le cas ? quelles sont les tendances ?

Un autre aspect qui me semble important pour notre travail avec les institutions multilatérales c'est le passage à l'échelle ou l'effet de levier. Cet aspect est mentionné aussi dans la proposition de crédit, (chap 4, a major focus lies on .. bullet 1) For doing so, grants from RWSSI TF are an important means to trigger interests and investments to this sector. Est-on sur la bonne voie? Quel en est le rapport ? quelques indications seraient les bienvenues.

Dans ce chapitre de la proposition de crédit, il y a aussi d'autres aspects, qui pourraient faire l'objet d'une petite analyse : water sector governance, policy reforms etc.

Annex 2 : Relevant documents consulted for review

AfDB

- RWSSI -Strategic Plan 2012-2015-Revised 1-Approved –Final; 18.4.2013
- RWSSI / RWSSI TF Annual Progress Report 2012 (March 2013)
- Draft RWSSI 2013 Work Plan and Budget (March 2013)
- Trust Fund evaluation at the African Development Bank- an independent evaluation, 17.4.2013
- RCC Meeting Report Summary, 26/27.3.2013 – Final
- Management Response to Trust Fund evaluation, 25.4.2013
- AfDB Strategy for 2013–2022 - At the Center of Africa's Transformation, 2013
- Fabio Losa: Bridging Project and Country WASH Monitoring and Evaluation; Input for IRC Symposium on Monitoring and evaluation; 9-11.4.2013 in Addis Ababa
- Minutes of the 7th RWSSI TF Steering Committee Meeting 29th of May 2013; Marrakesh, Morocco

SDC

- Message on Switzerland's International Cooperation in 2013–2016
- « Ligne Directrice » of West Africa Division DAO (Draft June 2013)
- Abteilungsrichtlinien 2013-2016 Abteilung Ost und Südliches Afrika OSA

Other

- USAID Water and Development Strategy 2013- 2018

Annex 3 : List of actors interviewed / interacted

OWAS	Official feedback from OWAS, shared with DAO; 5.6.2013 and 30.6.2013	Official feedback from OWAS, shared with DAO; 5.6.2013 and 30.6.2013
AfDB/FSU	C. Hoyos, AfDB/SDC	Tel. Meeting, 2.5.2013
MINBUZA, NL	Aart van der Horst	Tel. Meeting, 8.5.2013
Agence France de Développement AFD	C. Gilquin,	Tel. Meeting, 7.6.2013
Communauté de Koudougou, Burkina Faso	Meeting with M. Tondé,	Meeting, 30.5.2013
OWAS M&E	Meeting with Fabio Losa, in Addis Ababa	Meeting, 11.3.2013
Ministry of Water and Environment MWE	D. Ssozi, Water Liaison MWE Uganda	Written Inputs
Senior Advisor Ministry of Water, Sierra Leone	Kwabena Manu, Adam Smith International Ltd.	Written Inputs
SDC COOF Burkina Faso	Interview with Pascal Rouamba	Meeting 28.5.2013

Annex 4

Major current trends in Rural Water supply and Sanitation in Africa

Kerstin Danert, Skat, June 2013

The opportunities and challenges of presenting trends

The Joint Monitoring Programme (JMP) presents data on coverage; the Global Assessment and Analysis of Sanitation and Drinking Water (GLAAS) presents an overview of the policy environment and finance; while the AMCOW Country Status Reports (CSO) analyse the service delivery chain from finance and policy through to water use. At global level these are the three most prominent sources of synthesised information on trends in rural water supply and sanitation in Africa. They all rely on data generated by national governments.

The JMO, GLAAS and CSO do not cover four pertinent issues. Firstly, the quality of Water, Sanitation and Hygiene (WASH) implementation, in terms of infrastructure construction and social aspects is notably absent. Secondly, a comprehensive understanding of human and institutional capacity levels at local government is lacking. Thirdly, the trends and hotspots with respect to the natural environment and their effect on Rural Water Supply and Sanitation are missing. Finally, there is a lack of analysis of the effects of economic development on WASH.

There is a wealth of information contained in the studies and evaluation reports commissioned by development partners and international NGOs which could assist in understanding trends in Africa. Unfortunately, these reports remain scattered, and efforts to compare and synthesis this information and make it widely available for discussion are inadequate given the scale of the WASH challenge in Africa.

Access: Sanitation and Drinking-Water Facilities Used

According to the latest JMP (2013), rural northern Africa is ahead of other regions of the world in terms of access to improved drinking water supplies and sanitation while rural sub-Saharan Africa is lags behind (Figures 1 and 2).

Figure 1 Use of Sanitation Facilities (JMP 2013)

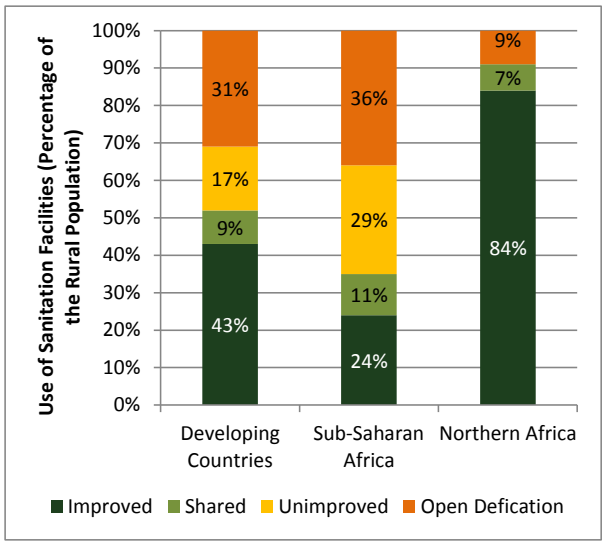
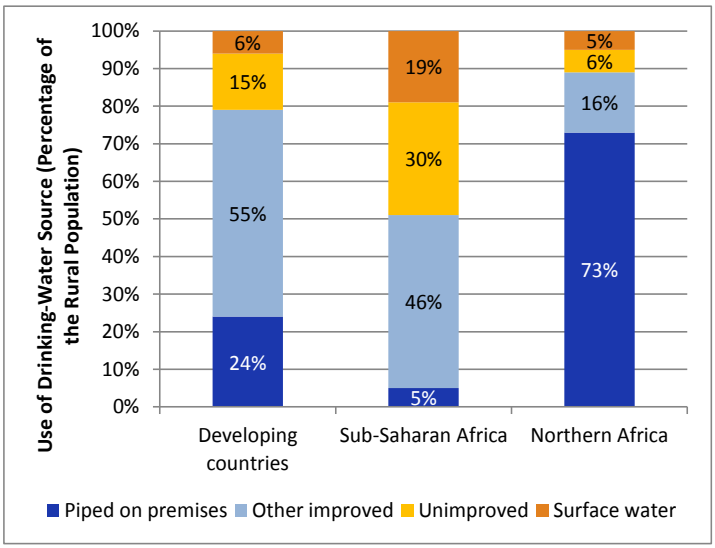


Figure 2 Use of Drinking-Water Sources (JMP 2013)



The proportion of people using improved sanitation has increased from 19% to 24% in Sub-Saharan Africa and 54% to 84% in Northern Africa between 1990 and 2011. However rural populations also increased in

this period. In Sub-Saharan Africa 200 million rural people practice open defecation and 160 million use shared or unimproved sanitation facilities (Figure 3). In terms of drinking water access in Sub-Saharan Africa, significant progress has been made with respect to other improved supplies. Figure 5 shows that an estimated 254 million rural people now using drinking-water from protected springs, boreholes, hand dug wells fitted with handpumps and tap stands. There has been a tremendous increase in the use of piped supplies on the premises in Northern Africa (Figure 6) but this not the case in Sub-Saharan Africa (Figure 5).

Urbanisation trends vary considerably. In Northern Africa rural populations are expected to grow until 2025 (UN-DESA 2010). Overall, the African rural population is expected to grow until 2045 (UN-DESA 2010). A major difficulty of water and sanitation service delivery in Sub-Saharan Africa is keeping up with rural population. This is illustrated in Figure 3 and 5 where the number of people using unimproved sanitation facilities and unimproved drinking-water sources has risen between 1990 and 2011.

Figure 3 No of rural people using sanitation facilities - Sub-Saharan Africa (JMP 2013)

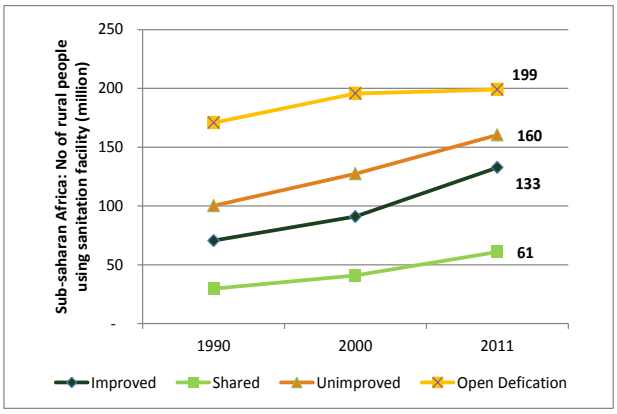


Figure 4 No of rural people per sanitation facility- Northern Africa (JMP 2013)

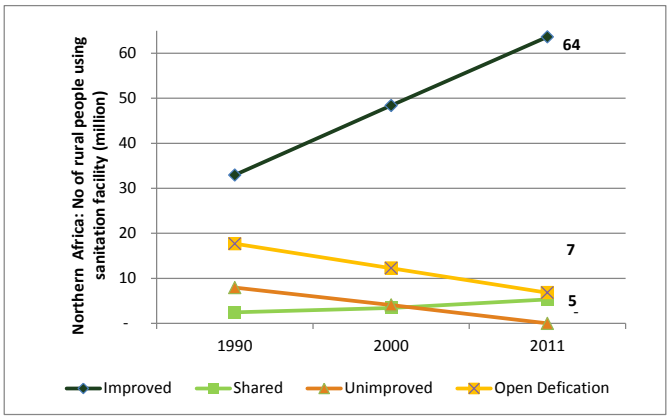


Figure 5 No of rural people using drinking-water sources - Sub-Saharan Africa (JMP 2013)

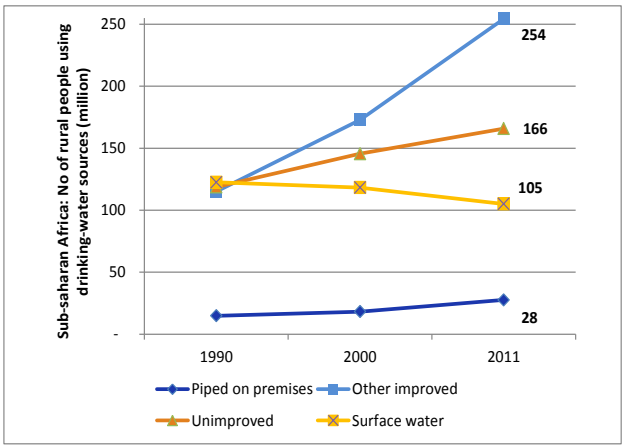
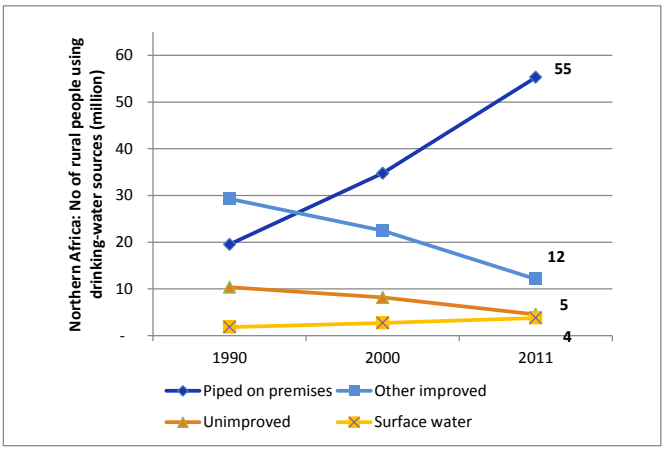


Figure 6 No of rural people using drinking-water sources - Northern Africa (JMP 2013)

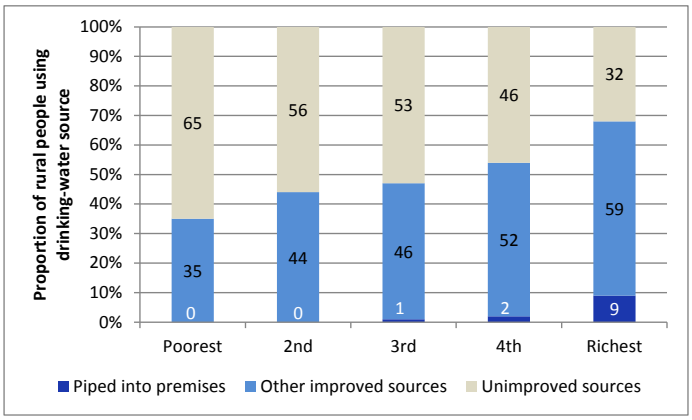


Equity: Who is being left behind?

The JMP (2011) thematic report revealed that there are significant social disparities with respect to drinking water supplies. In rural areas the richest wealth quintiles benefit most from piped water into the home. It is the poorest wealth quintile that is most likely to use an unimproved drinking water supply (Figure 7).

Pastoralists continue to be left behind with respect to WASH in many parts of Africa. Pastoralism enables nomadic people to live productively in arid and unpredictable environments by moving livestock according to the shifting availability of natural resources. However, efforts to improve WASH, which tend to be based on methods for sedentary communities frequently fail, and may even increase the risk of environmental degradation.

Figure 7 Proportion of the rural population of Sub-Saharan Africa using drinking-water source by wealth quintile (JMP 2011)



There is urgent need to develop WASH practices with pastoralists that fully consider cultural norms, livelihood strategies, and livestock as well as well as human needs as well as rangeland management (Nassef 2012; Axweso 2011). The alternative is continued food crisis and an increasing dependency of pastoralists on emergency relief, and ultimately threats to local and national security.

Monitoring and Evaluation

One of the encouraging trends with respect to water and sanitation is that several governments are starting to undertake systematic performance monitoring. At least 25 countries in the region have or are planning joint sector review processes (Figure 8). Baselines of rural water supply facilities have been undertaken (or redone) in a number of countries to provide inventories (e.g. Tanzania, Uganda, Ethiopia, Liberia, Malawi, Mozambique, Sierra Leone, and South Sudan), many of which are geo-referenced. Partial data is also available for Chad and Ghana.

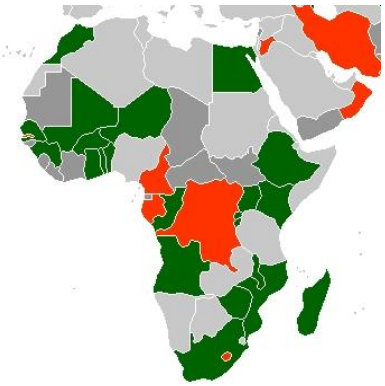


Figure 8 Countries with annual or biennial reviews of rural drinking water (GLAAS 2012)

National monitoring frameworks are already in use in some countries (e.g. Uganda, Kenya) and are under development in others (e.g. Sierra Leone, Malawi). Several countries have produced one or more annual sector performance reports[17]. These mechanisms should help to improve planning, as well as communication and coordination between the different stakeholders operating in the country. However, there is still some way to go with respect to data reliability and analysis as well as dissemination of the findings. The rise in Voluntary Organizations for Professional Evaluation in African countries is indicative of a trend towards increasing professionalization in this area (IOCE 2013).

As monitoring and evaluation improves, the next challenge is to turn numerous interlinking problems into priorities and take actions forward. This is particularly difficult given the limited financial and human resources and the web of competing political, technical, institutional and financial combined with development partner interests.

Functionality, Reliability and User Satisfaction

RWSN (2009) estimates that about one third of handpumps are not working. Figure 9 is illustrative of the decline in functionality of water supply schemes over time, which may perform effectively for some time,

[17] Including Uganda, Kenya, Malawi.

and then fall into disrepair or fail to provide the users with continued benefits (DFID 2013). Rehabilitation of existing water supplies is firmly on the agenda for many governments.

Figure 9. Functionality of Rural Water Supply Schemes by Age (WaterAid 2011)

Over the past few years is that functionality, reliability and sustainability are a much stronger component of the water and sanitation discourse than in the past. This is evidenced by the JMP (2011) thematic report which reflected on sustainability, WaterAid's (2011) Sustainability Framework, UNICEF's sustainability checks in Malawi (Anscombe 2012), Zambia, Mozambique, Comoros and Rwanda and the inclusion of functionality and reliability indicators for water supply in sector performance measurement frameworks. There also appears to be more recognition that disposal of human faeces in pit latrines is just the beginning of sustainable sanitation, which continues with pit emptying and disposal or the construction of new facilities.

Turning the sustainability rhetoric into a sustainable reality is the real challenge. There is documentation of good practices as some countries and organisations endeavour to provide on-going support to communities, support the formation of handpump mechanic associations or strengthen the oversight and monitoring of the private sector (WASREB 2012). However it remains difficult to determine how prevalent such practices are. Lack of technical standards, poor quality construction and lack of supervision ultimately all undermine the quality of service. For example, Anscombe (2011) finds that even when boreholes are considered to be functional, they may not be acceptable. They may suffer from low yield, turbidity and geogenic contamination (in particular iron and salinity). Systematic documentation of these issues remains weak.

Policies and Politics

The human right to water is now enshrined in many constitutions. The GLAAS (2012) indicates that at policy level in many countries there is progress with respect to rural water supply and sanitation. There are also many strategies in place. However, there still remains a divide between the formal and informal rules of implementation.

Another tension is that many political elites driving water supply development at national level favour high cost solutions (such as piped supply to the homes). At the other end of the spectrum a plethora of NGOs are arguing for very low cost solutions for rural water supply. Self-provision has become the norm for sanitation development in rural households (in the form of community-led total sanitation). This is not the

case for water supply where infrastructure still tends to be highly subsidised (at least for those who receive an improved service). Some country governments, notably Uganda, Ethiopia and Zimbabwe have embraced the concept of rural dwellers improving their own water sources (Self Supply) alongside conventional approaches. This is considered not only as a viable, but in fact a necessary approach to improve drinking water coverage in rural areas.

Capacity Development

While it may only take one or two years to build water and sanitation infrastructure, it takes "*ten to fifteen years to build effective capacity in an organisation*" (Alaerts 2013). Capacity development, particularly of the public sector in many African countries has been neglected for at least two decades or more. There is need for massive and sustained investment to strengthen skills, functions, processes and structures so that technical, managerial and governance competencies and the competence to learn are strengthened. Monitoring and evaluation plays an important role in this regard.

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Annex 5 :

A5-1: RWSSI Achievements 2010-2012[18]

Description	Indicator	2010	2011	2012	Total
Access to water supply	No. of people (millions)	8.6	12.1	10.5	31.2
Access to improved sanitation	No. of people (millions)	3.3	10.1	10.4	23.8
Water facilities constructed	No. water points (thousands)	12.1	59.1	46.1	117.3
Sanitation facilities constructed	No. of school latrines (thousands)	1.1	63.9	39.0	104.0
	No. of Health post latrines (thousands)	0.1	0.6	2.6	3.3
Institutional strengthening	No. of WASH Committees established (thousands)	5.3	13.2	18.2	36.7
	No. of WASH Committees trained (thousands)	5.6	16.7	18.5	40.8
Capacity building	No. of teachers trained (thousands)	0.1	1.9	0.6	2.6
	No. of artisans trained (thousands)	0.8	8.4	10.6	19.9
	No. of staff trained (thousands)	0.4	3.2	1.0	4.6
Communication	No. of people sensitized (millions)	0.8	3.9	2.6	7.3
Number of countries reporting access data		17	19	21	-
Number of RWSSI programme/project countries		23	24	27	-

[#]Source of information: the RWSSI Cumulative Assessment Report (CAR), compiled for the countries where the Bank is operational, and where countries are providing information.

[18] OWAS Feedback on SDC request, 5.6.2013

A5-2: New RWSSI Programmes/Projects and Activities Planned for 2013 (million €)

Table 2-2: Financing the New RWSSI Programmes/ Projects Planned for 2013 (million €)*

			Bank Group Financing (in million €)			
N°	Country	Project Description	ADB/ADF Public	FSF	RWSSI-TF	Total
1	DR Congo	Second Rural Water Supply and Sanitation Project	67.69	65.45	5.95	**139.09**
2	Sierra Leone	Rural Water Supply and Sanitation Project	14.19	3.22	5.30	**22.71**
3	Guinea Conakry	Institutional Support to SNAPE (Service National d'Aménagement des Points d'Eau)			0.50	**0.50**
4	Lesotho	Rural Water Supply and Sanitation Project	10.95		2.5	**13.45**
5	Sao Tome	Rural Water Supply and Sanitation Programme Preparation Study			0.83	**0.83**
6	6 Countries' M&E Strengthening	M&E, Coordination and Sector reporting support in six countries			5.0	**5.00**
TOTAL 2013 Projects/Programmes			**92.83**	**68.67**	**20.08**	**181.58**
New studies *(Annex 1)*					1.25	**1.25**
New RCC support activities *(Annex 1)*					0.35	**0.35**
Total New Operations			**92.83**	**68.67**	**21.68**	**183.18**

* *Not including financing from governments, other donors, NGOs and communities in countries which will be assessed (through the CAR and the RCC) and added to the total cost as part of annual reporting.*

Table 2-3: Alignment of RWSSI-TF Resource Allocations for the new Activities* of the 2013 Work Plan with the RWSSI-TF Allocation Targets in the draft SP

SP Operational Priority/TF Component		TF Finance Objectives			
		Target, %	Indicative for 2013	Cumulative allocation# (2012 - 2013), %	2013 Budget Million €
C1	Strengthening RWSSI-TF governance	1%	2%	5%	**1.6**
C2	Support for improved RWSS subsector governance and enabling environment	15	33%	32%	**8.36**
C3	Enhanced RWSS investments	56	31%	42%	**5.17**
C4	Sustainability of RWSSI systems	13	13%	11%	**2.42**
C5	RWSS knowledge management, sector M&E	15	22%	10%	**4.13**
	Total	**100%**	**100%**	**100%**	**21.68**

* *The countries are DRC, Sierra Leone, Guinea Conakry, Lesotho and Sao Tome. In addition, sector M&E (component 5, and coordination and reporting (component 2) will be strengthened in another six countries. Component 1 relates to RCC support activities and new studies to be initiated in 2013*

\# *Based on actual budget for 2012 and indicative budget for 2013*

Source: OWAS Feedback on SDC request, 5.6.2013

Annex 5-3 : Funding mix for RWSSI Project Sierra Leone (in million Euro)

- Sierra Leone (Bank project approval 2013)
  - ADF 9.065 (Loan)
  - ADF 2.85 (Grant)
  - FSF 2.71 (Grant)
  - RWSSI TF 4.45 (Grant)
  - DFID-UK 6.25 (Grant)
  - GEF 2.59 (Grant)
  - GoSL 1.18 (counterpart)
  - Total 29.114

Source: Project Proposal prepared for presentation 22.2.2013