AFRICAN DEVELOPMENT BANK

Rural Water Supply and Sanitation Initiative

Framework For Implementation

“A Regional Response to Africa’s Rural Drinking Water and Sanitation Crises”
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<td>WSS</td>
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EXECUTIVE SUMMARY

1. INTRODUCTION

Africa has the lowest total water supply coverage of any region in the world. Currently about 300 million people in Africa do not have access to safe water and about 313 million have no access to sanitation. This situation exacts a heavy toll on the health and economic progress of African countries. The Africa Water Vision was presented at the Second World Water Forum in The Hague, 2000, as part of the World Water Vision and represents Africa’s efforts at addressing the impending African water crises.

Within the framework of the Bank Group’s strategic plan (2003 –2007) and in response to the Africa Water Vision and the UN Millennium Development Goals, the African Development Bank Group conceived the Rural Water Supply and Sanitation Initiative (RWSSI) in 2002 with the view to accelerating access to water supply and sanitation services in rural Africa to attain 66% access to water supply and sanitation by the year 2010 and 80% by 2015. The achievement of the objectives of the Initiative would contribute to poverty reduction and spur economic growth. The Initiative has received backing from the international community including the G8 Summit at Evian, the World Panel on Financing Water Infrastructure and the African Ministerial Council on Water (AMCOW) as well as several bilateral donors. As the premier regional development institution, the Bank Group is well placed to play the lead catalytic role in galvanising broad support and building partnerships to implement the Initiative through collective action by donors, RMCs and other stakeholders.

Purpose

The Framework for Implementation (FFI) document represents the road map for realising the goals of the RWSSI. It would serve as a generic guide for mobilising investment funds and other resources for accelerated rural water supply and sanitation development in Africa and also for planning, programming, and implementing operational activities under the RWSSI.

The Challenge

In order to meet the 2015 RWSSI target of 80% access to water supply and sanitation, a total of approximately 270 million rural people will need to be provided with access to improved water supply and about 300 million to sanitation. The findings of the WHO-UNICEF WSS Assessment 2000 Report indicate that it will require a tripling of the rate at which additional people have been gaining access in the last decade in order to achieve these targets. New approaches will be needed to face the challenges. The major challenge would be mobilising sufficient resources to provide access to RWSS services. Additional challenges include policy and institutional strengthening to plan, design, construct and operate rural water supply and sanitation systems. This will require human resource development at all levels to enable African countries utilise and manage the increased level of anticipated investments in the sector.

3. RESOURCE REQUIREMENTS

Resource requirements and financial flows would need to be significantly increased to meet the requirements for implementing the RWSSI. Using the most basic level of service and technology, the 2015 targets could be attained at an extra annual investment cost of about
US$1.2 billion. The Bank Group would contribute to these requirements in conjunction with other donors, governments and communities.

The Bank Group would leverage financial resources from the donor community to implement the Initiative. Most of these funds would be provided directly to RMCs while some funds would be channelled through the Bank Group to support Bank financed RWSSI country programmes. The sources of funds include but are not limited to the following:

- Bilateral Donors;
- Multilateral Financial Institutions;
- PRSP and HIP C funds
- Trust Funds;
- NGOs
- The Africa Water Facility;
- African Governments;
- Communities.

The Bank Group would carefully target its investment support to the 30% to 40% of the poorest rural areas in RMC with the intention of maximising the poverty reduction impact of the Initiative.

In order to achieve this objective, the Bank Group would need to raise about $360 million per year for investment, representing 30% of overall regional resource requirements. This would imply that the Bank Group would increase its current lending in the sector by about 300%. The human and material resource requirements to meet this level of investment would be significant but achievable.

It is proposed to seek most of the additional financial requirements of the Bank Group from increased African Development Fund (ADF) contributions, commencing with ADF X. The provision of safe water and hygienic sanitation services underpins the attainment of all the Millennium Development Goals, such as infant mortality, poverty reduction, improved health and increased school enrolment rate. The cascading positive impact of providing improved water supply and sanitation services in improving all aspects of rural livelihoods makes WSS the logical area for increased ADF support. Efforts will also be made to seek funding from OECD countries in response to the pledges made in the Monterey Consensus.

4. IMPLEMENTATION PLAN

The implementation framework proposes a number of measures to accelerate planning, programming, preparation and implementation of investments as well as human resource capacity building activities under the RWSSI. The following measures would enable accelerated investments while ensuring long-term sustainability:

**Programme approach:** The RWSSI would promote the programme approach to RWSS sub-sector development where a country prepares a comprehensive sector investment programme to meet its long-term development goals and targets. The programme approach allows for long-term commitment between the RMCs and the development partners and facilitates the attainment of longer-term goals such as envisaged under the RWSSI. The added advantage of this approach is that it ensures consistency, country ownership and reduces duplicated efforts.

**Multi-Pronged Implementation Approaches:** The country programmes would be implemented using several implementation mechanisms and lending instruments including stand-alone programmes, multi-sector projects and modified Social Investment Funds whenever it is
assessed to be feasible. The Initiative would also support NGOs to implement RWSS projects where it is advantageous to do so. This multi-faceted approach has the advantage of taking every available opportunity to invest in RWSS using appropriate mechanisms, thus increasing the rate of investments.

**Appropriate Implementation Procedures**: The implementation of sub-programmes under the Initiative would take advantage of appropriate Bank Group and national procedures that are simple, fast and flexible. These include procedures for procurement and disbursement of funds that lend themselves to decentralised community-driven development programmes such as national competitive bidding, local and international shopping, and direct purchase. Disbursements through special accounts would be used more often. In view of the greater fiduciary responsibilities given to national and sub-sovereign entities, appropriate control mechanisms shall be instituted to ensure correct use of resources. The control measures would include Ex-Post Technical Verification and Ex-Post Financial Control procedures.

**Participation and Demand-Driven Approaches**: Programmes would be implemented using demand-responsive, decentralised implementation and management approaches that have the advantage of fast and efficient sub-project cycles implemented by communities and local government structures. Community participation in programme implementation would enhance sustainability of RWSS investments.

**Building Partnerships**: The Initiative would be implemented through partnerships with donors, governments and civil society in order to foster coordinated resource mobilisation and enhance synergy for implementation. At the country level, the Bank Group would build broad support for RWSSI by holding dialogue with governments and key national institutions and organise a consultative forum on the objectives, principles and anticipated outcomes of the Initiative. The partnership approach has the best prospects for achieving the targets in view of the synergy that will be harnessed towards achieving common objectives.

**Co-ordination**: In order to sustain the country partnership, the Bank Group would encourage and participate in government-led donor co-ordination mechanism that would include joint reviews of performance. It is necessary to work towards adopting a common programme, common procedures, and instruments for donor co-ordination, as this will greatly reduce transaction costs for the country. The Bank would support the RMCs in organising the co-ordination meetings and other fora in support of achieving the objectives of the country programme. At the regional level the various partnerships around RWSSI would be coordinated at the Bank.

### Scope of Activities

The scope of activities of the RWSSI is geared towards resource mobilisation and accelerating RWSS investments in Regional Member Countries (RMC) and includes the following:

- Funds Mobilisation;
- Advocacy at the regional and country levels;
- Country Assessments and Selection;
- Programme Preparation and Appraisal;
- Supervision and Implementation Support to RMCs;
- Co-ordination and Building Partnerships with stakeholders;
- Monitoring Country Programmes.
The responsibility for these activities is shared between the Bank Group, country level partners and stakeholders as well as the donor community. The Summary Table, Table A-1, provides an overview of the inter-linkages of these activities with the goals of the Initiative and anticipated outcomes.

5. OPERATIONAL CONSIDERATIONS

Resources

The anticipated Bank supported investments in the water supply and sanitation sector as a result of the RWSSI would be about US$ 360 million per year, about three-fold increase in the current investment rate at the Bank Group. Initial indications are that it would require significant increase in human resources in order to take on the increased workload in the short to medium term. The actual number of additional staff required and the skill mix need careful assessment. The increased operational activities would necessitate increased budgetary resource allocation.

Managing the Initiative

The RWSSI would be an integral part of the Bank Group Operations and consequently, an Operational Vice Presidency would provide oversight and management responsibility. The RWSSI Task Force would continue to co-ordinate activities of the Initiative as momentum is gathered for increased activity. However, the scope of activities of the RWSSI would increase over the medium term, and may require the creation of a Co-ordination Unit to manage the increasing operational activities. This should be carefully assessed alongside considerations for the overall organisational requirements for all other water related Bank initiatives and partnerships in order to achieve greater efficiency in water sector lending and non-lending activities Bank-wide.

Recommendations

The RWSSI and the Framework for Implementation is the African Development Bank’s response towards addressing the daunting challenges in meeting Africa’s rural drinking water and sanitation crises. Access to improved water supply and sanitation is a necessary pre-requisite towards eradicating rural poverty and spurring economic and social development in the continent. The RWSSI Concept was presented to the Board in April 2003 and received endorsement. The Board is called upon to consider and formally approve the RWSSI Concept and the Framework for Implementation (FFI) outlined in this document. Specifically, it is recommended the Board approve the following:

i. The RWSSI concept for accelerated investments in RWSS to attain 66% access in 2010 and 80% access in 2015;

ii. The general principles and operational guidelines, including the country programme approach and mechanisms for accelerated RWSS investment as outlined in the FFI;

iii. The Bank Group would seek dedicated significant additional ADF contributions towards financing RWSSI Country Programmes;

iv. Budgetary resources allocation for the year 2004 to finance the increased operations under the RWSSI. This relates to costs for missions and consultants services for the next
group of countries slated for intervention as well as oversight coordination, advocacy and resource mobilisation activities;

v. A review of the Bank structure and human resource requirements for the water sector with the view to achieving greater efficiency in water sector lending and non-lending activities, and in particular to implement the RWSSI.
Table A-1: Rural Water Supply and Sanitation Initiative Summary Table

<table>
<thead>
<tr>
<th>Goals</th>
<th>Objectives</th>
<th>Indicators</th>
</tr>
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<tbody>
<tr>
<td>• To Contribute to the attainment of AWV and MDG</td>
<td>• To accelerate access to improved and sustained RWSS through increased investment;</td>
<td>• Increase access rate from current 4.8 to 20 million persons/yr for water supply and from 1.4 to 15 million/yr for sanitation up to 2015</td>
</tr>
<tr>
<td>• To contribute to poverty reduction through improved and sustained access to WSS by rural communities in Africa</td>
<td>• To mobilize higher levels of funding from ODA, national governments, beneficiary contributions for RWSS services;</td>
<td>• Increase investment rate by about 1.2 billion/year up to 2015 for RWSS development</td>
</tr>
<tr>
<td></td>
<td>• To improve the enabling policy and institutional environment for increased and sustained access to RWSS services;</td>
<td>• Strengthen WSS policy/institution in about 20 African countries by 2010</td>
</tr>
<tr>
<td></td>
<td>• Improve the sustainability of RWSS systems through beneficiary involvement, training and capacity building.</td>
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</tbody>
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Activities Output Outcome Impact

<table>
<thead>
<tr>
<th>Activities</th>
<th>Output</th>
<th>Outcome</th>
<th>Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Advocacy and funds Mobilisation</td>
<td>Increased availability of investment funds</td>
<td>Increased investment in RWSS services</td>
<td>Increased WSS services</td>
</tr>
<tr>
<td>• Country selection planning and programming country interventions</td>
<td>Pipeline of relevant national RWSS programmes</td>
<td>RMC dispose of WSS programmes expressing national priorities</td>
<td>Increased flow of donor support for RMC programmes</td>
</tr>
<tr>
<td>• Preparation and implementation of Country programmes/sub-Programmes</td>
<td>Feasible and bankable RWSS programmes/projects prepared</td>
<td>Sustainable RWSS services ensured</td>
<td>Quality of life of rural dwellers improved Better health and hygienic environments</td>
</tr>
<tr>
<td>• RWSS sector policy reform and capacity building</td>
<td>National sector policies formulated, sector institutions capacities strengthened</td>
<td>Robust policy and enabling environment effective and efficient implementation and management of services</td>
<td>Increased flow of donor funds for sector development</td>
</tr>
</tbody>
</table>

Risks: 1. Insufficient financing; 2. Inadequate financial management; 3. Inadequate response from RMCs; 3. Unfavourable policy environment

The WHO-UNICEF Joint Monitoring Programme Reports will be used to verify achievements.
1 BACKGROUND

1.1 INTRODUCTION

1.1.1 With over 300 million of its population without water supply, the Africa region has the lowest water supply access of any region in the world. Access to sanitation is even worse than water supply. This situation is the cause of water related diseases, loss of valuable productive time and greatly contributes to perpetuate poverty on the continent.

1.1.2 In line with its strategic plan for 2003 to 2007 and in response to the Africa Water Vision and the UN Millennium Development Goals on water supply and sanitation (WSS), the African Development Bank Group launched a Rural Water Supply and Sanitation Initiative (RWSSI) with the view to accelerating access to water supply and sanitation services in rural Africa. Access to water supply and sanitation has been determined to contribute to poverty reduction and spur economic development. The RWSSI is part of the Bank Group’s contribution towards meeting the international development goals on water supply and sanitation, while addressing a major developmental challenge in Africa where rural poverty is pervasive.

Purpose

1.1.3 The Framework for Implementation (FFI) document represents the road map for implementing the RWSSI. It would serve as a generic guide for RMCs and the Bank Group in undertaking the following:

- Mobilising investment funds and other resources for accelerated rural water supply and sanitation (RWSS) development in general and for the Bank Group supported RWSSI Country Programmes in particular;
- Planning, programming, designing and implementing activities under the Bank Group supported RWSSI Country Programmes.

1.1.4 The framework provides the principles and practices for the development of concrete actions that the Bank Group would pursue with partners and stakeholders in achieving the goals of 80% access to water supply and sanitation (WSS) in Africa by the year 2015.

Situation Assessment

1.1.5 Globally, as at the year 2000, it is estimated that 1.1 billion¹ people have no access to improved water supply and 2.4 billion without access to improved sanitation. Current global coverage of water supply is 82% (representing 94% urban and 71% rural) and coverage for sanitation is 60% (representing 86% urban and 38% rural). The increase in number of people served during the period 1990 to 2000 was just sufficient to keep pace with population growth. Globally, the number of people without access to improved water supply and sanitation has remained the same.

1.1.6 Africa has the lowest total water supply coverage of any region in the world. Figure 1.1 depicts this situation. Total coverage of water supply in Africa (urban and rural) for the year 2000 was 62%² and sanitation coverage was 60%. Currently about 300 million people in Africa do not have access to safe water and about 313 million have no access to sanitation. This situation is the principal cause of diseases and almost all Africans suffer from one of six main water related diseases including infant diarrhoea, intestinal worms, cholera and guinea worm.³ The resulting health costs include expenditure on disease control and avoidable treatment services. The vulnerable groups, mainly women and children, are often the worse off as they travel long distances to fetch water (which is often of questionable quality) spending inordinate amounts of time and energy at the expense of family activities, education and productive work. This situation contributes to perpetuate poverty in Africa, particularly in the rural areas.

¹ Source: WHO-UNICEF WSS Assessment Report for 2000
³ Source: Africa Caucus Presentations at the Second World Water Forum, 2000
1.1.7 In order to meet the 2015 Africa Water Vision and Millennium Development Goals target, when half the population without access should be served with water, about 270 million rural people will need to be provided with access to water. This calls for different approaches and innovation in the delivery of RWSS services than has been the case up till now.

**International and Regional Responses**

1.1.8 So much has been achieved within the last 10 years in international understanding of global water problems that has resulted in international commitments to resolve the worst constraints. Some of the landmarks of particular relevance to RWSS are shown in Box 1.

1.1.9 The UN Conference on Environment and Development in Rio de Janeiro in 1992 set the stage and much of the agenda for subsequent discussions of water as an environmental resource, agent and victim. The conference adopted Agenda 21 with chapter 18 devoted to water.

1.1.10 The International Conference on Water and the Environment in Dublin, organised in 1992, issued four guiding principles that became known as the Dublin Principles for the management of water resources. The principles include the following:

1. Fresh water is finite and vulnerable resource, essential to sustain life, development, and the environment;
2. Water development and management should be based on participatory approach, involving users, planners, and policy makers at all levels;
3. Women play a central role in providing, managing and safeguarding water;
4. Water has an economic value in its competing uses and should be recognised as an economic good;

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4 Source: WHO-UNICEF WSS Assessment for 2000 Report
The fourth principle, which gives water an economic value, has brought about greater willingness to accept pricing in managing water, with considerable debate on how pricing can be reconciled with affordability, especially the rural and urban poor consumers.

Box 1

<table>
<thead>
<tr>
<th>Year</th>
<th>Event Title</th>
<th>Location</th>
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<tbody>
<tr>
<td>1992</td>
<td>UN Conference on Environment and Development</td>
<td>Rio de Janeiro</td>
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<tr>
<td>1992</td>
<td>International Conference on Water and Environment</td>
<td>Dublin</td>
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<td>1996</td>
<td>Formation of the Global Water Partnership</td>
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<td>1997</td>
<td>First World Water Forum</td>
<td>Marrakech</td>
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<td>1997</td>
<td>Formation of World Commission on Water for the 21st Century</td>
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<tr>
<td>2000</td>
<td>Second World Water Forum</td>
<td>The Hague</td>
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<td>2001</td>
<td>UN Millennium Declaration</td>
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<td>2001</td>
<td>New Partnership for African Development</td>
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<td>2002</td>
<td>World Summit on Sustainable Development</td>
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<td>2003</td>
<td>World Panel on Financing Water Infrastructure</td>
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<tr>
<td>2003</td>
<td>Third World Water Forum</td>
<td>Kyoto</td>
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1.1.11 The Global Water Partnership, formed in 1996, to take up an important Dublin principle that water should be managed in a holistic manner with Integrated Water Resources Management (IWRM) as the policy framework for allocating and managing water in its competing uses.

1.1.12 The World Water Council, formed in 1996 was tasked to organise the First World Water Forum in Marrakech 1997. This forum gave the WWC the mandate to conduct a study on global water. The World Commission for Water in the 21st Century was formed in 1997 to oversee this work. The Report, “A water secure world” was presented at the Second World Water Forum in The Hague in 2000.

1.1.13 The Second World Water Forum recognised the need for greater international financing for water and that locally, Development Banks and micro-credit mechanisms should be used more fully. It recommended that while water managers should aim at financial cost recovery, due consideration should be made for equity and the basic needs of the poor (in rural and urban areas).

Millennium Development Goals

1.1.14 In its Millennium Declaration, 2001, the United Nations set a target for 2015 to reduce by half the proportion of people without sustainable access to adequate quantities of affordable and safe water supply. Sanitation was added to the Millennium Development Goals (MDG) at the 2002 World Summit on Sustainable Development in Johannesburg. The 2015 targets, which concerns only drinking water and sanitation, is a stepping-stone towards full global coverage by 2025 as contained in the GWP Framework for Action and the Africa Water Vision. The 2025 targets include irrigation, industrial effluent, wastewater treatment, water resources and environmental management. The provision of WSS underpins the achievement of all the MDGs. The impacts of WSS provision on the attainment of the MDGs are detailed in Annex 1.

1.1.15 The World Summit on Sustainable Development (WSSD) held in Johannesburg, 2002, brought the issue of sustainable development to the fore and provided an opportunity for world leaders, civil society and other stakeholders to re dedicate themselves to concerted action and partnership to achieve sustainable development. The international community underlined that the global water crisis is a threat to economic development, poverty reduction and the environment, and hence to peace. The Water Dome activities at the summit provided the opportunity to announce the Africa Water Facility (AWF). Sanitation targets for providing halve the un-served population with sanitation facilities by 2020 were added to the Millennium Development Goals at this Summit.

1.1.16 The World Panel for Financing Water Infrastructure was constituted in 2001 as a joint initiative of the Global Water Partnership, the World Water Council and the Third Water Forum in
Kyoto, to address ways and means of attracting new financial resources to the water field. The Panel made proposals on financial aspects as well as the enabling environment that has an impact on those flows. The Panel endorsed the Bank’s RWSSI as a pertinent regional response which addresses the unique challenges of RWSS services delivery in Africa and accordingly included the RWSSI Concept Paper in the report.

1.1.17 Third World Water Forum, Kyoto organised in March 2003, addressed the challenge of balancing increasing human requirements for adequate water supplies and improved health and sanitation with food production, transportation, energy and environmental needs through more effective governance, improved capacity and adequate financing.

1.1.18 The Africa Water Vision (AWV) was presented at the Second World Water Forum in The Hague, 2000, as part of the World Water Vision and represents Africa’s efforts at addressing the impending African water crises. The AWV envisages: “An Africa where there is an equitable and sustainable use and management of water resources for poverty alleviation, socio-economic development, regional cooperation, and environment”. The Framework for Action to achieve the Vision calls for:

- Strengthening governance of water resources;
- Improving water wisdom;
- Meeting urgent water needs;
- Strengthening the financial base for the desired water future

Specific Responses

1.1.19 A number of special programmes aimed at contributing to the achievement of international development goals on water supply and sanitation have been initiated by various organisations. They include the following initiatives:

1.1.20 **The World Bank MDG Action Plan on Water and Sanitation:** The World Bank has undertaken a study in 14 African countries\(^5\) with the view to contributing to the attainment of the MDGs on WSS in Africa. The study provided an overview of the WSS sector in Africa, assessed progress towards meeting WSS MDGs, and outlined actions, which would help to meet them. It is also intended to reveal data gaps and validity issues to be addressed during the development of a full country action plans in conjunction with governments and donors. The results have been presented to the Bank Group water sector professionals. The World Bank will contribute to any financing gap identified in country RWSS investment programmes.

1.1.21 **The European Union Water Initiative:** The EU Water Initiative is a response to the WSSD, Johannesburg, and seeks to create a platform for strategic partnership to implement the programme of action for WSSD and to contribute to meeting the MDG on water supply and sanitation.

1.1.22 **UNDP Community Water Initiative:** The Community Water Initiative is inspired by the success of UNDP’s small grants programmes, a funding mechanism for community based environmental management project. This has now been extended to WSS and aimed at contributing towards the attainment of MDGs on WSS.

Bank Group Strategy and Response

1.1.23 The African Development Bank Group’s mandate is “to contribute to the economic development and social progress of its regional members – individually and jointly”. In an attempt to achieve this goal, the Bank Group would facilitate and mobilise the flow of external and domestic

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\(^5\) Ghana, Uganda, Ethiopia, Benin, Burkina Faso, Chad, Kenya, Senegal, Niger, Nigeria, Mozambique, Rwanda, Zambia, Malawi.
resources, public and private, promote investment, provide technical assistance and policy advice to RMC.

1.1.24 The challenge in Africa is widespread poverty, which has been estimated to affect 40 to 45% of the population. The underlying cause of poverty has been determined to be lack of access by the population to productive assets, social services, technology and infrastructure and deprivation from effective participation in the economic development efforts. The importance of RWSS in the Bank Group poverty alleviation drive is strongly articulated in its Strategic Plan (2003-2007). The Bank Group is poised to take the lead to influence RWSS development in Africa and the Initiative provides the platform to achieve this.


1.1.25 The Bank Group’s Strategic Plan is aimed at investment effectiveness by concentrating on certain priority activities by country so as to achieve greater impact on poverty reduction in Africa. With the view to attaining these objectives, the Bank Group will give priority in allocating its resources to agriculture and sustainable rural development, with emphasis being given to **water supply** in vulnerable rural and peri-urban areas and to human capital formation through primary education and basic health services\(^6\). Support would also be given to NEPAD supported essential rural infrastructure that is vital for rural development and aimed at fostering regional integration. The RWSSI is an important activity of the Bank Group’s Strategic Plan.

Integrated Water Resources Management Policy

1.1.26 The Integrated Water Resources Management (IWRM) policy is a concept that ensures Bank-supported water sector projects/programmes adopt an integrated approach. The policy has as its main objective the rationalisation and strengthening of Bank Group interventions in the water sector and to undertake lending and non-lending activities in a comprehensive framework. The basic principles underlying the IWRM policy are aimed at promoting efficiency, equity and sustainable development through integrated water resources management.

The Bank Group Agriculture and Rural Development Policy

1.1.27 The Bank’s vision for agriculture is to assume a leading and catalytic role in supporting technological, institutional and policy changes that would trigger a lasting transformation of rural economies of RMCs by empowering them to improve productivity and real incomes in a sustainable manner. The key areas of for investment for integrated rural development include inter alia, rural infrastructure for WSS, irrigation and roads.

Lessons from Bank Group RWSS Projects

1.1.28 The Bank Group’s total investment for water supply and sanitation from 1967 to 2002 amount to US$ 3.08 billion. The Bank Group has also implemented agriculture and irrigation projects with water supply as important components. The Bank Group has implemented 20 stand-alone rural water supply projects since 1967 at a total investment cost of US$ 235 million. In addition a number of RWSS sub-projects have been realised under community-driven Social Investment Fund (SIF) schemes implemented by the Bank Group in several countries. Overall implementation of all RWSS projects were judged to be successful, however operating performance for some of the schemes was sub-optimal. Out of the experience in implementing rural water supply projects, the Bank drew the following lessons:

- Include capacity building of communities in operations and maintenance in all RWSS projects;

\(^6\) Bank Group Strategic Plan 2003 - 2007
• Involve women in the planning, design and implementation of rural water supply projects;
• Decentralise project design and implementation to the community level;
• Use simple appropriate and standardised technology to ease O&M;
• Integrate sanitation and hygiene education into all rural water supply projects;
• Ensure the availability of spare parts supply chains for O&M;
• Achieve cost recovery to the extent possible.

These lessons have been taken into consideration in elaboration of the FFI document. The scale of water sector investments and non-lending activities undertaken by the Bank has provided it with sufficient knowledge and experience to implement the Rural Water Supply and Sanitation Initiative.

1.2 THE RURAL WATER SUPPLY AND SANITATION INITIATIVE

1.2.1 The RWSSI was conceived by the Bank primarily to address the problem of low access to WSS in rural Africa and to redress the urban bias of its previous investment programmes. Specifically the Initiative is a response towards the attainment of the goals of the Africa Water Vision declared at the Second World Water Forum in The Hague, 2000. The objectives of the MDGs gave additional impetus to the Initiative. The Bank Group set up a Task Force in July 2002 to develop a RWSSI Concept Paper (CP). This CP was subsequently presented at several international fora, including the World Panel on Financing Water Infrastructure, 2002 and the G-8 meeting at Evian, 2003, where it received endorsement. The CP also received endorsement by AMCOW at Dakar in 2003.

1.2.2 The RWSSI is anchored within the IWRM Policy and focuses on the most critical dimensions of the African Water Vision and the Millennium Development Goals: “accelerating access to drinking water supply and sanitation in rural areas while ensuring that the facilities are sustainable”. Essentially, the Initiative is intended to help mobilise as well as facilitate the flow of available and potential resources to accelerate investment in RWSS in Africa.

1.2.3 Most of Africa’s population live in the rural areas (62%) and yet access to WSS services is low (47% for water supply and 44% for sanitation). In view of the low access to WSS services in rural areas, rural populations are burdened to a greater extent by preventable water and sanitation related diseases, suffer great deprivation of women and children from embarking on productive economic activities due to time and efforts used to fetch water. The deprivation also results in low enrolment rate in education. These problems contribute to accentuate poverty in the rural areas.

1.2.4 The rural focus of this Initiative is in line with the strategic investment direction of the Bank Group, to spur economic growth through investments in productive assets, social services, infrastructure and technology knowledge and information. Investments in RWSS contribute immensely towards reducing poverty in Africa. By improving the lives of rural dwellers, the Initiative would contribute towards stemming the rural-urban drift.

1.2.5 Challenges and Constraints to RWSS Development: The major challenge facing RWSS services in Africa is the achievement of sustainable access through increased investment. Providing the right policy and institutional environment to foster effective and efficient implementation and management of RWSS services is another challenge. Other challenges include building human capacity to establish community-managed RWSS services as well as engineering and drilling/construction capacity to deliver WSS facilities. In the long term, sustainable water resources management is needed to protect water supplies and related social and environmental assets.

1.2.6 The key issues facing RWSS in Africa pertain to low access to WSS as a result of inadequate investment. This situation is exacerbated by inefficient management of O&M of WSS services and many facilities have fallen into disrepair due to lack of spare parts and maintenance support. Water resources variability and scarcity (droughts, population pressure, environmental degradation) worsens the situation in some countries.
1.2.7 **ESA Dominate RWSS Investment:** Investment in RWSS in Africa is dominated by external support agencies (ESA). Out of a total annual investment for RWSS of US$1b\(^7\) in the period 1990 to 2000, 70% was provided by donors. For sanitation, out of a total annual investment of US$ 100 million, 68% was provided by external support agencies. Meanwhile, total financial flows to the water sector has steadily decreased over the years\(^8\). This trend is likely to continue for sometime while Governments would be encouraged to increase their contribution to RWSS development.

1.2.8 **Lower Investment Priority for RWSS:** With dwindling external financing and low levels of domestic budget spending, the financing of RWSS has been inadequate over the years. Donor support in the water sector has concentrated on urban WSS. For example out of a total average annual investment of US$4 billion for urban and rural water for the period 1990 to 2000, rural water supply annual investment was only one billion. The Bank Group lending to rural water supply is estimated to be about only 20% of water sector lending.

1.2.9 **Reluctance to Borrow:** African governments have tended not to borrow from Multilateral Financing Institutions (MFI) to finance RWSS because of perceived low returns on investments in the short term since RWSS systems have low cost recovery. In many countries, the provision of WSS services has been seen largely as a municipal or local government affair and not central government.

1.2.10 **Poor Cost Recovery on O&M:** Financial difficulties are not just with investment but also O&M. The Bank Group experience in rural water supply show that tariffs do not even cover O&M let alone accumulate reserves for increasing system capacity. It is inconceivable to plough back income from water supply revenue into expansion and extension of WSS services. Insufficient cost recovery for O&M has generally led to poor maintenance of systems which eventually leads to frequent breakdowns of water supply systems and consequent shut down. These systems then require major and costly rehabilitation. In Africa only 70% of rural water supply systems are functioning at any one time\(^9\).

1.2.11 Water supply and sanitation hardly featured in the first generation country PRSP, while sanitation does not feature at all in any PRSP\(^{10}\). Lack of prominence given to water sector in government institutional arrangements is reflected by the lack of governance structures to translate local level concerns into national priorities. This situation is gradually changing in recent times due to increasing realisation of the importance WSS in national development and poverty reduction. The current generation of PRSPs are systematically prioritising RWSS.

1.2.12 Other constraints militating against the development and management of RWSS services in Africa include the following:

- **Weak policy and legal framework:** Less than half (15) of the countries in Africa have introduced or are actively working on strengthened sector reforms;
- **Low capacity for O&M:** Capacity for preventive maintenance, repair services is inadequate in most rural areas and this is exacerbated by ineffective supply chains for spare parts due to inappropriate technology, lack of standardisation and poor planning;
- **Poorly defined institutional responsibility** is manifest in many countries;
- **Poor water resources availability and quality** is a constraint in some areas;
- **Insufficient communication and information.**

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\(^7\) WHO-UNICEF Global WSS Assessment 2000 Report


\(^9\) WHO-UNICEF WSS Assessment 2000 Report

\(^{10}\) Source: World Bank Water and Sanitation Program
1.2.13 The daunting challenge facing RWSS services in Africa requires the use of different and innovative approaches to address the crises. The RWSSI would use fast and flexible mechanisms in programme/project preparation, implementation and disbursement to significantly accelerate investment in RWSS. Investment programmes and projects would be accompanied by intensive capacity building at the grass root level using participatory approaches to increase the effectiveness of WSS services. The Initiative would encourage policy reforms that seek to achieve decentralised implementation and management of RWSS services, full cost recovery on O&M and integration of hygiene education and environmental sanitation promotion into RWSS projects/programmes. This would be achieved through increased financial resource mobilisation from external and domestic sources to meet the increased investment requirements. The key element in achieving accelerated coverage of WSS in rural Africa is the use of more flexible and fast paced project-processing and implementation procedures for the interventions. Some of the approaches and procedures advocated by the Initiative include the following:

- Programme approaches would ensure the preparation of one long-term RWSS country programme with easier processing cycles of subsequent sub-programmes. This would avoid the repeated and uncoordinated preparation of several projects in the same sector in the same country. The programme approach also brings consistency, national ownership, local empowerment and reduces duplicated efforts at the country level;

- Demand-responsive approach with community participation in the conception, design and implementation of sub-programmes leading to decentralised community ownership and management of services to enhance sustainable operation and management of the RWSS services

- The use of modified Social Investment Funds approaches that have simple and flexible procedures to speed up procurement of works, goods and services as well as special accounts to speed up disbursement of funds;

- Procurement and disbursement would be accelerated by taking advantage of appropriate Bank Group and national rules that lend themselves to decentralised programme implementation including national competitive bidding, direct contracting, international and national shopping etc;

- Building partnerships with donors and relevant stakeholders to foster co-ordinated resource mobilisation and the adoption of common implementation procedures. The partnership approach has the best prospects for achieving the targets in view of the synergy that will be harnessed towards achieving shared goals.

**Strategic Goals and Objectives**

1.2.14 The overall goal of the RWSSI is to provide access to improved and sustainable WSS services to all the rural population in Africa by the year 2025. In achieving the goals, the RWSSI would contribute to poverty reduction through increased access to WSS services. The main objective of the RWSSI is to accelerate access to improved and sustainable water supply and sanitation services through increased investment and the use of innovative approaches in investment projects/programmes implementation, management and operations.

**Targets and Milestones**

1.2.15 The achievement of full access to WSS services by 2025 would be achieved through intermediate phases and milestones. The key targets of the RWSSI is the attainment of specific access levels to improved WSS to the rural population at the following periods:

- 66% access by 2010
- 80% access by the year 2015
• 100% access by the year 2025

These targets are enshrined in the Africa Water Vision and the MDGs with some minor differences, mainly with sanitation targets. The anticipated progress towards the achievement of full access to WSS in rural Africa is presented in Table 1.1 and Figure 1.2.

1.2.16 The main source of verification of Regional progress towards attaining the targets, as stipulated by the UN declaration on the MDGs, would be the WHO-UNICEF Joint Monitoring Programme Report for Water Supply and Sanitation published yearly. Additional resources such as donor specific reports, RWSSI annual reports would be used to track progress.

**Strategic Short, Medium and Long Term Implementation Phases**

1.2.17 **Launching Phase:** The Initiative has started with the preparation of country programmes in five selected countries that have favourable policy environment and institutional arrangements in place. The period 2003 and 2005 is the Launching Phase and would involve investment in some countries that are ready, firming up data gaps on coverage and instituting and putting in place policy and institutional reforms in countries that require them to move to scale. Mobilising resources shall be an important activity during this period. Progress would be reviewed in 2005 after which corrective actions can be taken in the light of lessons learnt from three years of implementation. The year 2005 shall be the first milestone towards the 2015 target.

1.2.18 **The MDG Phase:** The period 2005 to 2015 should see concerted action by all stakeholders towards improving access to WSS service delivery in all African countries to achieve the RWSSI target of 80% coverage or other International Goals such as the MDGs. An intermediate checkpoint will be 2010 where coverage is to attain 66%. A major review would be undertaken in 2010 to readjust implementation strategies.

1.2.19 **The Full Scale Implementation Phase:** The period 2015 to 2025 is the last stage towards the realisation of the vision for access to all rural people in Africa with improved water supply and sanitation services for all. Accelerated investment shall continue in all countries that have not attained the targets. The intermediate check point for this phase shall be 2020.
The Table 2.3 summarises the actions and achievements expected during each phase.

**Table 1.1   RWSSI Phases, Actions and Targets**

<table>
<thead>
<tr>
<th>Actions</th>
<th>Period and Targets</th>
<th>Intermediate Target</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Launching Phase</strong></td>
<td>Data collection, Programme preparation, Funds mobilisation, Investments, Sector policy reforms</td>
<td>2003 – 2005 Achieve 50% access</td>
</tr>
<tr>
<td><strong>Full Scale Implementation</strong></td>
<td>Accelerated scale investment in all countries,</td>
<td>2006 – 2015 Achieve 80% access</td>
</tr>
<tr>
<td><strong>Vision Phase</strong></td>
<td>Investment programmes in all eligible countries</td>
<td>2016 – 2025 Achieve 100% access</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2020 Achieve 93% access</td>
</tr>
</tbody>
</table>

Source: Bank Group Statistics and Population Projections
2 IMPLEMENTATION FRAMEWORK

2.1 ENABLING FRAMEWORK

2.1.1 Poverty Reduction Strategy Papers (PRSP) describe a country's macroeconomic, structural and social policies and programs to promote growth and reduce poverty, as well as associated external financing needs. It has generally been agreed by development partners that nationally owned participatory poverty reduction strategies should provide the basis of all multilateral concessional lending and for debt relief under the enhanced Heavily Indebted Poor Countries (HIPC) initiative. It is essential that RWSS be included in all PRSPs to qualify for support under the Initiative.

2.1.2 The Bank has used the Country Strategy Papers (CSP) to articulate and mainstream its poverty reduction strategies and to facilitate dialogue with its RMCs. It is necessary to encourage the systematic inclusion of RWSS as priority in preparation of CSPs.

Critical Success Factors

2.1.3 Legislation and Regulation: Legislation that facilitates the development of community water supply and sanitation is necessary at the national level. Water legislation within an IWRM context must cover the following:

- Legal basis for water use rights;
- Customary entitlements;
- Quality standards for water supply and sanitation;
- Watershed management and conservation;
- Groundwater utilisation and conservation.

2.1.4 A sound legal framework for RWSS services delivery should articulate the following:

- **Stakeholder** roles and responsibilities with legal backing given to bodies to operate the WSS service, set tariff, manage funds, undertake such functions that are necessary to ensure continuity of the service;
- **Communities** should be the owners of the WSS assets so that responsibility for operations and maintenance is unambiguous;
- **Local government** structure is responsible for supporting the communities to access funds for WSS sub-projects as well as assisting in planning, procurement of goods and services;
- **Central government** normally represented by a parastatal agency is responsible for facilitating access to water supply and sanitation services through the setting of clear national policies and strategies, capacity building and mobilising funds for investment;
- **The private sector** would play an increased role for the provision of goods and services and technical assistance to communities in sub-project implementation and O&M;
- **NGOs** support and complement the efforts of governments by investing in RWSS projects with support from international NGOs and other sources of funds. NGO’s also provide technical assistance to communities for sub-project preparation and implementation;
- **RWSS strategy** that is anchored within a national IWRM policy.

2.1.5 **Capacity Building:** Capacity to mobilise, organise, and implement community based sub-projects is often weak in many countries. Capacity building at the community and local government levels should be embarked upon and be included in all country programmes. Capacity to plan, design, and construct/install water supply and sanitation systems is also crucial to the success of the Initiative and needs to be systematically developed in all countries.
**Table 2.1 Private Sector and NGO Roles in Rural Water Supply and Sanitation**

<table>
<thead>
<tr>
<th>Entity</th>
<th>Roles</th>
</tr>
</thead>
<tbody>
<tr>
<td>Local NGOs/artisans</td>
<td>Undertakes community training, hygiene education, construction of</td>
</tr>
<tr>
<td></td>
<td>wells, latrines etc</td>
</tr>
<tr>
<td>National NGOs/consultants</td>
<td>Supports local government in district WSS planning, Engineering</td>
</tr>
<tr>
<td></td>
<td>design of pipe systems and district level training</td>
</tr>
<tr>
<td>National/international suppliers and contractors</td>
<td>Imports and distributes equipment, pumps and spare parts, undertake construction of water supply and sanitation systems.</td>
</tr>
</tbody>
</table>

2.1.6 **Decentralisation and community organisation**: Decentralisation reforms favour the setting up of strong viable Community-Driven Development in which there is decentralised ownership of assets and management of services.

2.1.7 **Cost Recovery**: Payment for WSS services is the only way to keep the service running continuously and therefore tariffs should be designed to ensure financial viability. Cost recovery is achieved in some communities through the payment at the stand-post/borehole to designated vendors.

2.1.8 **Social intermediation** refers to the interactive processes undertaken by partner organisations/NGOs in promoting, mobilising and organising communities towards formulating the demand and preparing WSS sub-projects. Social intermediation is particularly important in community-driven projects because communities have to make informed choices of technology and level of service. The process for supporting communities to appreciate the import of their decisions requires special skills that partner organisations are trained to undertake. In order that a minimum content of essential information is provided to communities across a programme, participatory training guides and manuals are normally prepared to facilitate social intermediation. The evolving methodology for participatory knowledge transfer is termed “Information, Education and Communication” (IEC). The RWSSI would support the preparation of IEC tools in countries where they are not available.

2.1.9 **Small and medium enterprise** development would greatly enhance local entrepreneurship for wells and latrine construction, repair services and spares parts supply. The availability of well-managed WSS related support services would ensure sustainability and increase real incomes.

**Technical Infrastructure**

2.1.10 Improved WSS solutions include a wide range of appropriate technologies. The choice of technology option is location specific and depends on community demand, affordability and willingness to pay, community size and household density, resource availability and electricity availability. Technological options for community water supply include but not limited to the following:

- Improved shallow wells (with or without handpumps);
- Boreholes equipped with handpumps;
- Spring development;
- Motorised boreholes connected to standpipes or house connections;
- Surface water catchments (with treatment facility) connected to pipe system;
- Gravity flow pipe systems;
- Rain water harvesting.

The range of technology for sanitation include the following:

- Ventilated improved pit latrines for households
• Multiple-pit ventilated improved pit latrines for institutions and communal use
• Sand-plat latrine
• Small bore sewers
• Simplified sewerage

2.1.11 The most common problem in rural water supply services is ensuring continuous supply though effective and efficient operation and maintenance (O&M). The following elements are necessary aspects of effective O&M practices and should underpin all community O&M training programmes:

• Operations and Maintenance System Planning;
• Cost Recovery and Tariff Structure;
• Training for O&M;
• Performance-Based Service Contracts;
• Community Ownership and Participation;
• Effective supply chains for spare parts and repair services.

The Initiative would strive to improve the number of water supply systems working at any one time from the current 70% to about 95% by promoting sound operation and maintenance practices.

2.1.12 Stakeholder Participation: The RWSSI would encourage and respect local and national ownership of pragmatic solutions to consultation, participation, and partnerships. Getting the poor to participate, and mainstreaming them into community thought and action, will be a key area of the work of the Initiative. The RWSSI will promote participation in the management of water supply and sanitation services at all levels and collaborate in fashioning partnerships between governments, private sector, NGOs, and communities.

Partnerships

2.1.13 Partnership among donors, RMCs and other stakeholders is essential in meeting the international development goals and targets on water supply and sanitation. This partnership for RWSSI in Africa would look to NEPAD and AMCOW for political leadership, with governments and civil society embracing the key principles and practices that will create the required environment for the Bank Group and the donor community to provide technical and financial support. The partnership would foster co-ordinated resource mobilisation, capacity building and more efficient implementation of programmes and projects, the necessary ingredients for achieving the goals of the Initiative. The AMCOW meetings shall be used as a campaign vehicle to disseminate information and to obtain political will and commitment from RMCs for the Initiative.

2.1.14 In this regard, the Bank Group would strengthen existing partnerships, such as the World Bank- ADB Strategic Partnership and seek to establish others. The Bank Group would collaborate closely with other institutions implementing programmes with similar objectives, notably the World Bank MDG Action Plans on Water and Sanitation, the UNDP Community Water Initiative and the European Union Water Initiative in order to build synergies for optimising support to RMCs. A recent World Bank and Bank Group water and sanitation meeting identified several areas of co-operation and collaboration in the short and medium term and include country co-operation in operations and staff exchanges for mutual learning.

2.1.15 Local Partnership and Sector Co-ordination: Coordination and collaboration at the country level is crucial for attaining the RWSSI targets because no single entity is capable of ensuring the achievement of the goals of the national programmes of African countries. Local partnership is necessary to foster complementarities and collaboration at the country level, as well
as avoid duplication and discordance in RWSS development in any one country. At the national level, the partnership is between national governments, the external support agencies (ESA), NGOs and is characterised by regular meetings and review sessions. At the national level the government and its national agencies responsible for RWSS development should take the lead in fostering partnership and collaboration among stakeholders. At the community level this partnership is between local government authorities, community groups and service providers (such as spare parts vendors). The RWSSI would foster country level partnerships and collaboration among all stakeholders.

2.2 **PRINCIPAL GUIDELINES**

**Principles and Practices**

2.2.1 Rural Water Supply and Sanitation (RWSS) involves the provision of potable water to rural communities for domestic uses (including drinking, cooking bathing/hygiene) and requires that the supply is good quality water and available all year round. Rural sanitation involves activities distinct from water supply and focuses more on creation of awareness and behavioural changes, which extend to the household level. The provision of sanitation facilities will be embarked upon through creating demand by using appropriate IEC and social marketing methods and providing financial support to communities and families. The planning, design and implementation of RWSS programmes and projects under the Initiative would utilise the following practices to ensure programme effectiveness and sustainability:

- The demand-responsive approach;
- Community ownership and management;
- Participatory development methods;
- Gender considerations;
- Appropriate and standardised technology;
- Environmental management.

2.2.2 The conceptual and operational definitions of RWSS vary from one country to the other. Most countries refer to rural communities as having population range between 100 and 5,000 persons. On the other hand, there are many small and medium towns between population ranges of 5,000 to 50,000 that are in essence rural because of their agrarian nature. The working definition of RWSS under the Initiative would be the provision and management of WSS in an essentially rural community (or a group of communities) that is homogeneous enough to own and operate a WSS system on a sustainable basis. This definition would be adapted to specific country situations.

**Basic Water Requirement**

2.2.3 The Mal del Plata Conference on Water (1977) conference declared: “*all people whatever their stage in development and their social and economic conditions have the right to have access to drinking water in quantities and of a quality equal to their basic needs*”. A number of African countries have recommended 20 l/c/d as basic water requirements in their national policies. For small piped systems, 35 l/c/d has been the general practice. The quality of water recommended is that which is physically, chemically and bacteriological safe for human consumption. Distance from the water point is important in determining basic water requirements. The practice in many countries is a maximum of 500 metres from the user’s home to the water point. Since water quantity and quality varies widely from one country to the other, country level guidelines would be used for drinking water supply. The recommended BWR for the RWSSI should be between 20 and 35 l/c/d all year round and within a distance of about 500 meters from the user, and this requirement should be funded by the Initiative.
Eligibility and Implementation Criteria

2.2.4 **Country Eligibility Criteria:** The following criteria\(^\text{11}\) would be used to select and classify countries for intervention.

1. The country is a RMC;
2. Access to RWSS is below FFA/MDG targets;
3. Financing is not available internally to meet investment requirements for AWV-FFA/MDG;
4. Policy and institutional environment is favourable for RWSS interventions;
5. The availability of a RWSS sector investment programme;
6. RWSS has been included in the PRSP as a priority;
7. Good governance and sound public expenditure management.

**RWSSI Country Programme Decision Process**

2.2.5 Countries would be grouped in accordance with their readiness for investment intervention under the RWSSI. In order to do this, all RMCs would be taken through a rapid country assessment that would include policy environment and institutional arrangements, access to WSS, ongoing programmes, financing and cost-recovery. Countries would then be categorised in accordance with their suitability and state of preparedness to receive and implement RWSSI intervention. The flow chart in Figure 2.1 depicts the country classification decision process. The existing country coverage to RWSS (as provided in Annex 3), has been used to identify country status with respect to MDG targets. Assessment of the current RWSS situation in RMC’s would be part of the RWSSI Programme activities. It is expected that with time, countries would shift from one category to the other. The classification of countries in accordance with the nature of interventions anticipated is as follows:

2.2.6 **Category 1 Countries**

1. Access is low (physical coverage) Access to RWSS is below target set by AWV-FFA;
2. Demand cannot be met by existing financing and projects in the country;
3. RWSS expressed as a priority in PRSP;
4. National policy and institutional environment for providing RWSS services is fully favourable and functional with a sector development national programme in place.

**Action:** Country would be listed among the Category 1 countries for direct investment intervention under RWSSI and consequently the Bank Group would proceed to undertake programme/project identification and appraisal within the framework of the RWSSI. RWSSI programming has started in five Category 1 countries to launch the Initiative, so as to move to scale implementation. Preliminary assessment based on information available has identified the following countries as Category 1: Mali, Ethiopia, Ghana, Rwanda, Uganda, Benin, Mozambique, Burkina Faso, Senegal, Mauritania, Madagascar, Nigeria, Tunisia, Morocco, South Africa.

2.2.7 **Category 2 Countries**

1. Access to RWSS is low and below target set by AWV-FFA/MDG;
2. Demand cannot be met by existing financing and projects in the country;
3. National policy and institutions for providing RWSS services generally favourable but requires strengthening in some areas;
4. There is no comprehensive national programme for RWSS and may not be clearly expressed in PRSP.

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\(^\text{11}\) Most of these criteria is contained in the Monterrey Consensus
**Action:** Classify country for investment intervention with policy and institutional strengthening and capacity building elements in programme. The Bank would proceed to undertake programme identification activities and appraisal if sustainability is assessed to be achievable. Preliminary assessment based on information available has identified the following countries as Category 2: Chad, Niger, Malawi, Kenya, Lesotho, Guinea, Guinea Bissau, Mauritania, Republic of Congo, Cote d’Ivoire, Zambia.

### 2.2.8 Category 3 Countries

1. Access to RWSSI is low and below target set by FFA/MDG;
2. Demand cannot be met by existing financing and projects in the country;
3. National policy and institutional environment is unfavourable, requiring major reforms;
4. There is no national RWSS programme and RWSS not in the PRSP.

**Action Required:** Country would be slated for policy reforms with pilots leading to RWSSI investment programme. Bank would proceed to initiate policy dialogue with this category of countries if commitment is demonstrated. The Bank Group may introduce pilot/demonstration projects to promote reforms and refine implementation arrangements leading to full-scale RWSSI programmes. Investment under the RWSSI when the environment is right for sustainable RWSS services. Initial assessment based on information available has identified the following countries as Category 3: Gambia, Togo, Sierra Leone, Liberia, Burundi, Somalia, Angola, Sudan, Central Africa Republic, Zimbabwe, Cameroon, Eritrea.

### 2.2.9 Category 4 Countries

Access to RWSS is above targets set by AWV-FFA. Initial assessment based on information available has identified the following countries as Category 4: Mauritius, Comoros, Botswana, Algeria, Egypt, Libya and Djibouti.

**Action Required:** These countries would be encouraged to sustain and even improve their current coverage. They would be supported with technical assistance in this regard and if they so desire, they would be provided with investment funds from the Bank’s normal lending windows. The success stories of these countries in achieving high levels of coverage would be studied in order to draw lessons of experience for dissemination to other countries, especially countries with similar economic standing but with low RWSS access.

**RWSSI Country Programmes Entry**

2.2.10 The schedule of classification for some countries and nature of intervention envisaged is shown in Table 2.1. Information on the status of policy and institutional reforms and the availability of national programmes of some countries is shown in Table 2.2. All RMCs with WSS access below the international targets are potentially eligible for entry. However in view of limitations in funds and capacity, the priority for entry would be based on poverty levels and national governments commitment as well as the application of quality at entry dimensions. Country entry criteria include the following:

i. Poverty level as evidenced by information from national living standards survey with priority given to poorer countries;
ii. Commitment demonstrated by inclusion of RWSS in PRSP and increased budgetary allocation to the sector;
iii. Successful application of quality at entry dimensions on proposed interventions including demonstrated implementation capacity;
iv. Secondary criteria would be rural population density.
2.2.11 RWSSI interventions in countries under active conflict will be deferred until peace returns for them to be able to turn their attention to development.

**Table 2.1  Tentative Countries Classification and Nature of Intervention**

<table>
<thead>
<tr>
<th>Classification for Intervention</th>
<th>Type of Intervention</th>
<th>RWSSI Country Programmes Prepared, Approved and Implemented</th>
</tr>
</thead>
<tbody>
<tr>
<td>Category 1</td>
<td>Direct Investment with Capacity Building</td>
<td>Mali, Ethiopia, Ghana, Rwanda, Uganda, Benin, Mozambique, Burkina Faso, Senegal, Mauritania, Madagascar, Nigeria, Morocco, Tunisia, Namibia.</td>
</tr>
<tr>
<td>Category 2</td>
<td>Investment with Policy and Institutional Strengthening</td>
<td>Chad, Niger, Malawi, Kenya, Lesotho, Guinea, Guinea Bissau, Mauritania, Republic of Congo, Cote d’Ivoire, Zambia, Cameroon, Sao Thome and Principe, Tanzania Equatorial Guinea, Gabon, Swaziland, Libya.</td>
</tr>
<tr>
<td>Category 3</td>
<td>Policy Reform, Institutional Strengthening leading to Investment</td>
<td>Gambia, Togo, Sierra Leone, Liberia, Burundi, Somalia, Angola, Sudan, Central Africa Republic, Gabon, Zimbabwe, Cameroon, Eritrea Congo DR.</td>
</tr>
</tbody>
</table>

Notes: List would be updated subject to the availability of information.

**Table 2.2 Status of Policy and Institutional Environment of Countries**

<table>
<thead>
<tr>
<th>Policy, Institutional and National Programme Environment</th>
<th>Countries</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strong Sector Policies and Institutions and availability of a National Programme</td>
<td>Benin, Rwanda, Ethiopia, Tanzania, Uganda, Ghana, Mozambique, South Africa, Madagascar, Namibia, Morocco, Tunisia</td>
</tr>
<tr>
<td>Strong Sector Strategies with Experience in RWSS (no national programmes)</td>
<td>Niger, Senegal, Mali, Burkina Faso, Cote d’Ivoire, Chad</td>
</tr>
<tr>
<td>Finalising Policy and Institutional Reforms</td>
<td>Kenya, Nigeria, Malawi, Guinea, Lesotho, Mauritania</td>
</tr>
<tr>
<td>Weak Policies and institutions with no National Programmes</td>
<td>Zambia, Congo, Sierra Leone, Liberia, Burundi, Angola, Sudan, Democratic Republic of the Congo, Swaziland, Guinea Bissau, Congo, CAR, Eritrea, Togo, Zimbabwe, Cameroon, Sudan.</td>
</tr>
</tbody>
</table>

Notes: Table is based on available information
Figure 2.1 Flow Chart for Country Eligibility and Classification

Demand-Supply Analysis
Access to RWSS, Planned, Existing, Internal, Donor Financing

Is demand met through existing financing?

Yes

No RWSSI Investment Intervention

Assess Policy and Institutional Environment

Category 2 Country
- RWSS investment intervention with policy and/or institutional reforms as agreed with the country;

Category 3 Country
- Institute policy dialogue;
- Start pilot/demo projects.
- Investment intervention when environment is right;

Category 1 Country
- Direct RWSSI investment intervention;
- Programming;
- Identification/Appraisal;
- Implementation.

Yes, with some improvements

Is policy environment favourable?

No

Yes

The Bank Programme/Project Cycle
2.2.12 **Quality at Entry:** The success of the RWSSI interventions would be greatly enhanced when quality at entry to each country is ensured. Quality at entry is achieved through several tools including the logical framework approach and actually starts during country classification and entry considerations. The quality dimensions to assess during country selection, programme identification, preparation and appraisal are as follows:

- **Ownership:** Relevant stakeholders consider the programme theirs in terms of commitment;
- **Relevance:** Consistency between programme objectives and agreed policy objectives and strategy (CSP, PRSP);
- **Efficacy:** The power of the programme elements to produce targeted objectives;
- **Implementability:** Degree to which programme is appropriately organised to be implemented on time and within budget;
- **Sustainability:** Degree to which programme benefits are durable and continue beyond implementation period into operations.

2.2.13 **Identification:** Following the establishment of the need to intervene in a country to support an on-going RWSS country programme (or a programme developed with support of RWSSI), project/programme identification is next. This stage involves clarifying the development objectives and the outputs expected from Bank intervention. A detailed definition of the components of the Project/Programme is undertaken at this stage to provide sufficient detail to cost the project/programme.

2.2.14 **Preparation:** The RMC must address the technical, institutional, economic, environmental and financial issues facing the programme - including whether there are alternative methods for achieving the same objectives. An Environmental Assessment may be required at this point. The Bank often provides technical support during this phase.

2.2.15 **Appraisal:** Programme/Project appraisal involves assessing the project in terms of technical feasibility, institutional and financial viability with the view to making a final decision whether to finance the programme/project. Appraisal would assess the following elements of the programme:

- a) **Institutional arrangements** have set clear roles and responsibilities for all actors;
- b) **Social impact** of the country programmes would be evaluated and matched against the long-term benefits under a Strategic Impact Assessment (SIA). Measures to address negative impacts are adduced;
- c) **Environmental impact** is assessed to determine how the programmes would affect the natural environment and how negative impacts can be mitigated within a Strategic Impact Assessment;
- d) **Financial appraisal** assesses the financial sustainability of the programmes in terms of financing the programme/project and post investment O&M;
- e) **Technical appraisal** assess the technical feasibility of the technological options proposed in terms of ease of operation, maintenance and spare parts, water resources.

2.2.16 **Implementation:** Programme/project implementation at the country level is facilitated by the preparation of an operational manual (project implementation manual) (PIM) by the country. Ideally this document should be available for appraisal. The PIM spells out the rules and procedures for accessing the services offered by the programme/project. A number of guidelines and procedures manuals are used as additional resources at the country level.

2.2.17 **Supervision** (Implementation Support): During RWSSI Country Programme implementation it is very essential to offer continuous support through missions. The supervision of country programmes is intended to determine and ensure the programme and sub-programmes in execution are being properly implemented to achieve their goals or development objective. Supervision is implemented by Bank Staff or consultants and involves assessing involves monitoring, evaluating, and reporting on project progress.
2.2.18 **Completion:** At the end of each sub-programme or the end of a RWSSI-Country Programme it is essential to formally bring it to closure. The final stage of a sub-programme/programme is achieved through the preparation of a Project Completion Report (PCR). The PCR assesses the long-term sustainability of the programme and whether the development objectives have been realised and outlines programme achievements in terms of physical and non-physical outputs and outcomes.

**Procurement, Disbursement and Audit**

2.2.19 The RWSSI would promote fast procurement procedures in order to speed up programme/project implementation. A number of existing Bank Group procedures that expedite procurement would be utilised within the context of RWSSI programme/projects. Procedures that include community contracting greatly empower communities in their development efforts and should be encouraged where feasible. The Bank Group rules that provide mechanisms well adapted to the decentralised implementation approaches promoted by RWSS development includes the following:

- **National Competitive Bidding** allows shorter bid period (45 days) than ICB (60 days)
- **International and National Shopping** allows small purchases without advertising and short bid period
- **Direct Purchase** allows direct negotiation between borrower and service provider for service, contract pre-agreed during appraisal;
- **Post Procurement Review** allows executing agencies to undertake procurement of packages of values less than UA 100,000 without obtaining prior “no-objection”. The Bank carries out post review to confirm compliance.

2.2.20 Whereas the mode of procurement is largely dependant on the size of the budget value of the proposed contract, most sub-projects envisaged will be generally within the accepted limits of Local Shopping, and where no competition is possible or practical, Direct Contracting will be acceptable. For bigger and more complex contracts beyond the capacity and limits of community groups, other procedures including National Competitive Bidding and International Shopping would be used. These procedures would be adapted to specific country conditions while taking into account the requirements for competition, efficiency and transparency and encourage local industries in programme countries. National procurement procedures will be reviewed and used for National Competitive Bidding.

2.2.21 Disbursement and accounting procedures shall be simplified for implementing the Initiative. Methods used by Social Investment Funds shall be innovated and streamlined within the context of country programmes. Disbursements shall be expedited through the use of Special Accounts (or Progress Based Replenishment) backed by regular audits by an independent accounting firm.

2.2.22 Periodic Management Audits (at least semi-annually) are necessary to ensure adequate control over technical, financial and management activities. It is particularly essential to be able to exercise sufficient control over the tasks and responsibilities transferred to the countries under the fast track approach. In view of the greater fiduciary responsibilities given to national and sub-sovereign entities, appropriate control mechanisms including Ex-Post Technical Verification and Ex-Post Financial Control procedures shall be used. Management audits shall be undertaken by independent qualified firms.

**Cross cutting issues**

2.2.23 The emerging methodology for environmental and social assessments for Policy, Plan and Programme level lending at the Bank is the use of Strategic Impact Assessment (SIA) which allows for the choice and maintenance of a certain level of environmental and social quality throughout the programme. This is in contrast to the traditional Environmental Impact Assessment (EIA) and Social
Impact Assessment conducted as a one time, stand alone activity within a specific project context. It is recommended to use SIA for evaluating the environmental and social consequences of RWSSI country programmes. RWSS programmes lend themselves for SIA since they have both negative and positive potential long-term consequences. The use of the SIA would be approached cautiously. The process to be followed for SIA under RWSSI is systematic and includes the following:

- Scoping (fact finding) to determine the study approach, data and information requirements for SIA;
- Evaluating options and alternatives for addressing social and environmental consequences;
- Impact assessment including direct and indirect impacts as well as cumulative impacts;
- Proposing mitigation measures for negative impacts and enhancement measures for actively promoting sustainable activities;
- Environmental management plans that include institutional strengthening to address the skills gap for effective environmental/social management;
- Evaluation to determine the validity and effectiveness of the proposals and ongoing monitoring;

2.2.24 The social impact of RWSSI activities involves the distributional impact of RWSS programmes on the well being of different stakeholder groups with particular focus on the poor and vulnerable in the communities. The RWSSI would implement projects with the right incentives to achieve full participation of men, women, minorities and the poor. With improved water and sanitation services, there is the threat to reduce consumption, especially by the poor, due to payment for improved services. The poor may resort to unsafe sources to avoid payment for water. It is important during programme design and implementation, to ensure flexible project rules and provide wider levels of service that can be accessed by the poor in order not to exclude them.

2.2.25 Environmental consequences for RWSS include the following:
- Increased use of water could pose environmental hazards when used water is not properly disposed off. Excess water could form puddles and breed mosquitoes;
- Latrines may contaminate the groundwater if groundwater sources (boreholes and hand dug wells) are not properly sited and constructed;
- Groundwater aquifers may be overexploited due to over pumping.

2.2.26 The RWSSI Country Programmes would be designed to substantially improve the environmental sanitation conditions in all communities through the improvement of water supply, storm water drainage, and public and private sanitation facilities. Community-based environmental management practices would be actively supported to improve living conditions and to protect water resources in accordance with the IWRM principles. Potential negative impacts of sub-projects will be mitigated during construction and monitored during operation in accordance with SIA proposals.

2.2.27 Gender considerations: Water supply and sanitation (WSS) projects undertaken by the Bank over the past few decades have suggested a strong positive link between a focus on gender and women's participation, on the one hand, and the degree of project success and of WSS management sustainability, on the other. It has been realised that focusing on gender leads to benefits that go beyond good WSS project performance as manifested in such aspects as better procurement, O&M, cost recovery, and hygiene awareness.

2.2.28 Benefits that accrue as a result of increased access and effective management by men and women. Particular benefits to women and children include the following:

 Economic: Women have more time for income-generating activities, the needs of family members, or their own welfare and leisure. The economy, as a whole, therefore also benefits,

 Children: Freed from sickness, the drudgery of water collection and management, children, especially girls, can go to school. Hence, the impact can be expected to be intergenerational;
Empowerment of women: Involvement in WSS projects empowers women, especially when project activities are linked to income-generating activities and productive resources such as credit.

The involvement of women would be ensured through different measures in project/programme design, construction and O&M. Some of the measures include the following:

- Representation of women in all capacity building and training sessions;
- Project rules requiring representation of women in water user groups with strong encouragement for women to play leading roles in executive positions and cost recovery;
- Focusing on the linkage between gender and poverty, by identifying, for example, households headed by females and those households’ special needs in RWSS programmes;

In order to achieve this, Gender Analysis will be an integral part of Scoping (fact finding phase) under the SIA.

2.2.29 Health and Hygiene: The RWSSI would as much as possible integrate water supply, sanitation and hygiene education in its programmes. Health and hygiene education is built on community belief and community priorities. The Initiative would seek to promote user investment in sanitation through public awareness and hygiene education and strengthen the private sector’s ability to construct facilities. The health benefits of improved water supply and sanitation services is derived mainly from safe disposal of human excreta and the adoption of sustained and effective use of water for hygienic purposes. The most important lesson learned from WSS programmes worldwide is that the facilities on their own do not result in improved health. Access to improved facilities is crucial, but it is the correct use of WSS facilities that leads to a reduction in disease. The integration of water, hygiene education and sanitation in the RWSSI is in line with IWRM principles.

2.3 OPERATIONAL PLAN

Programme Approach

2.3.1 The RWSSI would promote the programme approach to RWSS sub-sector development. This is in contrast to the project approach where single discrete projects are undertaken. The programme approach allows for long-term commitment between the Bank and the RMCs and would therefore enhance the attainment of longer-term goals as espoused in the Initiative. This approach creates sustainable development objectives since there is time to learn and correct mistakes in earlier phases of the programme so as to achieve desired impacts. At the country level the programme approach will bring consistency, country ownership and reduces duplicated efforts.

2.3.2 The RWSSI Country Programme is the totality of the national investment programme established (or yet to be established) by the country as the investment requirement to meet the 2015 RWSSI targets. The Bank Group and partners comprising the donor community and national governments would fund the RWSSI Country Programme. The various donor supported programmes and projects would constitute country sub-programmes.

2.3.3 The RWSSI Country Programme will be implemented under a phased and sustained series of sub-programmes planned to achieve the overall objectives of the Initiative. The Bank will play a lead catalytic role to mobilise the required funds from donors. The Bank will contribute through a series of loans and grants to support the achievement of Country Programme objectives.

2.3.4 Modalities for the preparation and implementation of Bank supported RWSSI-Country Programme and sub-programme include the following:

1. The RWSSI-Country Programmes would be prepared in association with the host country in conformity with Bank Group’s basic operating policies and procedures;
2. The Country Programme would be established in the PRSP and evaluated in the context of appraisal of the first RWSSI Sub-Programme;
3. The Board would approve the broad RWSSI-Country Programme with the initial Sub-Programme to be financed by the Bank Group;
4. Successive Bank financed Sub-Programmes would refer to and update as needed, the RWSSI-Country Programme as previously approved;
5. Each of the Bank financed RWSSI Sub-Programmes is supported by a separate loan or grant which is prepared and appraised separately;
This process of sub-programme identification/appraisal would continue until such time as the RWSSI Country Programme would be completed.

2.3.5 **The parameters** for defining a RWSSI-Country Programme and Sub-Programmes include the following:

1. Definition of the long-term goal(s) of the RWSSI Country Programme, in most cases this would be the attainment of AWV-FFA/MDG targets;
2. Suggested framework for implementing the country programme including the initial sub-programme and the specific objectives;
3. General description of the key activities (policy and institutional capacity building and investment) that would be pursued in the country programme and the initial sub-programme;
4. Programme performance indicators and milestones to be used in monitoring and assessing progress;
5. Detailed programme cost estimates and financing plan for the initial sub-programme,
6. Monitoring and evaluation plan for tracking progress and developing lessons to be used in preparing subsequent sub-programmes;
7. Institutional and implementation arrangements for the programme and how they would evolve with time.

2.3.6 The scope of activities involved in the RWSSI include but not limited to the following:

**Main activities**
- Country Assessments and Selection
- Building Partnerships
- Funds Mobilisation
- Implementation Support
- Policy and Capacity Development Support
- Monitoring Country Programmes

**Operational Activities**
- RWSSI Country Programme Identification, Preparation and Appraisal Missions
- RWSSI Country Programme and initial Sub-Programme Appraisal Document Preparation
- Processing and approval of RWSSI Country Programmes and initial Sub-Programme
- RWSSI Country Programme Implementation
- Donor co-ordination
- Supervision and monitoring Country Programmes and Sub-Programmes

**Implementation Arrangements for Country Programmes**

2.3.7 Implementation arrangements shall be flexible with different mechanisms, and possibly several arrangements within the same country programme. The choice of an approach to intervene in RWSS would have to be carefully evaluated during identification and appraisal. In view of the long-term country programme approach, it is essential to build in progressive arrangements towards full empowerment of communities and local government entities to undertake sub-project implementation. Sub-optimal arrangements where national, provincial and other state institutions
directly implement sub-projects would have to be tied to specific sub-programmes with triggers for evolving towards full devolution of implementation responsibility in subsequent sub-programmes.

2.3.8 **Government Structures:** Formal government structures would be used to implement RWSSI-Country programmes where appropriate institutional arrangements exist. It is desirable to utilise formal government institutions that have decentralised implementation responsibility where a national government agency channels funds to local government structures or communities for the implementation of sub-projects. This arrangement is particularly suitable for large stand-alone national RWSS programmes. The **Sector Wide Approach** (SWAP) is increasingly being used by some countries to finance sector investment programmes within the context of a medium term expenditure framework. The approach generally envisages the pooling of donor financial resources in support of the government budget, the establishment of a common programme implementation unit (PIU) and streamlined/harmonized disbursement and procurement procedures. SWAP should be supported when it is assessed to be feasible.

2.3.9 **Social Investment Funds:** These are autonomous community-driven projects with flexibility in procurement of goods, works and services. Disbursement procedures are kept simple and easy to use. Their flexibility and community driven nature makes them suitable vehicles for implementing RWSS projects, in particular, the very remote areas that only such structures would operate in. The Bank Group would utilise either its own SIF schemes or join existing SIF in association with other stakeholders.

2.3.10 **Multi-Sector Projects:** The RWSSI would take advantage of other rural development and agriculture projects and programmes to include a component of RWSS if it is feasible to do so. Projects that lend themselves for inclusion of RWSS include the following:

- Livestock and small ruminant development;
- Rural infrastructure – feeder roads, small dams, drainage, small scale irrigation, rural housing, rural market centres etc;
- Agriculture services - agro processing, cottage industries.

Multi-Sector projects have to be carefully designed to ensure that the RWSS component is not incompatible with the main components and that the WSS is not neglected. It is essential that before a RWSS project is incorporated into a Multi-Sector project, an assessment be conducted to determine if it is suitable to do so.

2.3.11 **NGO:** International and National NGOs are very good vehicles for implementing community-driven projects because of their closeness to rural livelihoods and experience in the rural setting. NGOs are very important partners in RWSS development in some countries. The feasibility to use NGOs to implement a wide range of projects and funding schemes would be given priority, in particular the informal schemes such as revolving funds, output-based projects etc. Bilateral funding may be sourced for NGO activities.

**Bank Group Actions to Support RWSSI Country Programmes**

2.3.12 The Bank Group would assist countries to develop country programmes where there are no programmes and capacity to prepare a programme is low. Resources from the Africa Water Facilities may be deployed for such support.

2.3.13 The Bank Group may intervene with RWSSI Sub-Programmes alone or in joint financing with another ESA. The nature and type of interventions would depend on the country assessment conducted and the expressed demand of the country during dialogue. The nature of intervention is one or a combination of the following areas:

- Policy reform and institutional strengthening (sector support);
- Country programme preparation; (sector support)
• Capital investment (hardware);
• Capacity Building and Training (software).

Dialogue, Consultation and Partnership

2.3.14 The Bank Group would build broad support for RWSSI by holding dialogue with government and key national institutions and organise a consultative forum on the goals and principles of the Initiative. In building broad support for the country programme, it is essential to ensure the involvement of central ministries in charge of water and environment. It is also important to ensure that ownership of the Initiative resides at the highest possible level.

2.3.15 Establish a local partnership of government, donors, NGOs and other stakeholders around RWSSI. It is necessary to ensure national leadership and ownership of the country programme. Building stable partnerships takes time and experience underscores the importance of broadening the consultative process to a wide range of people in order to develop greater awareness and understanding of the country programme in the society at large.

Donor Coordination

2.3.16 In order to sustain the country partnership, The Bank Group would encourage and participate in government-led donor coordination mechanism to review periodically the country programme. Since donors contribute to the country programme, they have a voice on how the resources are spent within the sub-sector. Joint reviews of performance with the government should be conducted (in addition to donor specific evaluations). It is necessary to work towards adopting a common programme, common procedures, and instruments for donor coordination, as this will greatly reduce transaction costs for the country. The Bank would support the RMCs in organising the coordination meetings and other fora on the country programme.

Donors Conference

2.3.17 In association with the RMC, it is necessary to organise donor’s conference to raise funds in support of RWSS investment requirements. This will be done after a detailed assessment of the financing gap required to achieve the targets have been developed. The donor’s conference would help foster partnership around the RWSSI and the country programme.
3  FINANCING THE RWSSI

3.1  RESOURCE REQUIREMENTS

3.1.1 There is a large gap between current financial flows and financial requirements to meet the goals for 2015 and 2025. Annual flows would need to be significantly increased to meet the targets. Using the most basic level of service and technology, the 2015 goals for the region could be attained at an extra annual investment cost of about US$1.2 billion. Initial indicative estimates of total cumulative investment requirements for meeting the key 2015 target are indicated in Table 3.1. A spreadsheet on resource requirements by country has been presented in Annex 2.

Table 3.1: Resource Requirements to Meet the AWV-FFA Targets to 2015

<table>
<thead>
<tr>
<th>Description</th>
<th>Resource Requirements (Million US$)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Water Supply Investments</td>
<td>10,401</td>
</tr>
<tr>
<td>Sanitation Investments</td>
<td>4,203</td>
</tr>
<tr>
<td>Sector &amp; Programme Support</td>
<td>95</td>
</tr>
<tr>
<td>Total Financial Requirements</td>
<td>14,700</td>
</tr>
<tr>
<td>Annual Requirements</td>
<td>1,224</td>
</tr>
</tbody>
</table>

3.2 SOURCES OF FUNDS

3.2.1 Securing sustainable financing for investment in RWSS infrastructure as well as for policy reforms and institutional strengthening would mostly have to come from traditional funding sources. However it is essential that funds be mobilised from non-traditional funding sources as well in view of the scale of investment financing required. The anticipated proportionate contribution of various sources of financing of RWSSI activities in depicted in Table 3.2. Possible sources of funding include but not limited to the following:

- Bilateral Donors
- Multilateral Funds
- HIPC Funds
- PRSP Funds
- Trust Funds
- The Africa Water Facility (Proposed)
- African Governments
- Communities
- NGOs

Table 3.2: Anticipated Stakeholders Contributions to RWSSI Activities (to 2015)

<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>Policy/Institutional Reform</th>
<th>Programme/Project Preparation (%)</th>
<th>Capital Investment (%)</th>
<th>O&amp;M</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>%</td>
<td>USD X 10^6</td>
<td>%</td>
<td>USD X 10^6</td>
</tr>
<tr>
<td>Multilateral</td>
<td>10</td>
<td>5.0</td>
<td>20</td>
<td>10.0</td>
</tr>
<tr>
<td>Bilateral</td>
<td>20</td>
<td>9.0</td>
<td>20</td>
<td>5.0</td>
</tr>
<tr>
<td>AWF</td>
<td>70</td>
<td>31.0</td>
<td>70</td>
<td>35.0</td>
</tr>
<tr>
<td>Government</td>
<td>0</td>
<td>0.0</td>
<td>0</td>
<td>0.0</td>
</tr>
<tr>
<td>Community</td>
<td>0</td>
<td>0.0</td>
<td>0</td>
<td>0.0</td>
</tr>
<tr>
<td>Total</td>
<td>100</td>
<td>45.0</td>
<td>100</td>
<td>50.0</td>
</tr>
</tbody>
</table>

Notes:
1. Proportionate contributions per activity range from 0 to 100%
2. Total resource requirements as estimated from country resource requirements in Annex 2
3. Communities would be fully responsible for O&M, with Gov’t subsidising major capital replacements
4. HIPC and PRSP funds shall be channelled through Multilateral or Bilateral support
5. Bank Group financing is included in Multilateral support

Sources of Funds for ADB Countries

3.2.2 The RMCs countries that are not eligible for ADF grants and loans would benefit from ADB resources, if they so desire. However, where there is the need, these countries would be supported with special soft financing to enable them meet their targets. The funding through partnership makes it possible for ADB eligible countries to be supported with concessional funds from other sources outside the Bank Group. This could be achieved by using leverage funds to underwrite the interests on loans from the ADB window or other commercial loans that are available to them. In addition most of the front-end work such as programme preparation, policy and institutional strengthening activities could be supported by grants. The source of leverage funds could come from the Africa Water Facility or some other such similar funds. The Initiative would seek to draw lessons of experience from ADB countries that are performing well for dissemination to other countries in the region. In this regard, the recent experience of Morocco in securing loans for scaling-up RWSS investments is worth studying with the view to extending the lessons to other ADB countries (and even some ADF eligible countries) that are yet to achieve their targets.

3.3 RESOURCE MOBILISATION

Mobilisation Mechanism

3.3.1 The Bank will play an advocacy role in mobilising financial resources for rural water supply and sanitation in the region. It will promote the RWSSI Country Programme approach and undertake consultations with the concerned stakeholders including the donors and civil society in order to build broad support for the Initiative. The initial consultations will culminate in a stakeholders meeting to get them to buy into the RWSSI objectives, targets and goals and subsequently a donors conference would be organised to mobilise the required investment funds. The Bank will organise annual review meetings to take stock and to update the financing requirements by taking account of progress made in the previous years and determining the remaining requirements towards meeting the targets. The review will highlight the contributions of donors, governments, NGOs and communities and other interventions in each country and identify the financing gap. Donors will be urged to increase their contributions to reduce any gaps identified. Regional Member Countries Governments will be required to increase budgetary allocations for rural water supply and sanitation development to benefit from increased donor contributions. However, the actual level of increased donor and government contributions will be agreed on a country-by-country basis, taking into account the different circumstances prevailing in the countries. Communities will be required to contribute a minimum of 5% of the country programme investment requirements.

3.3.2 Official Development Assistance (ODA): A major source of potential funds for financing the RWSS in Africa would continue to be grants from Organisation for Economic Cooperation and Development (OECD) countries. These countries pledged at the International Conference on Financing Development, Monterrey, March 2002, to increase by at least 25%, investment financing to developing countries. A key requirement for ODA financing reached at Monterey is that policy reforms and improved service delivery are at least as important in reaching the international development goals as the additional resources themselves. It is important therefore that African governments commit to undertaking the required reforms including good governance and sound public expenditure management, in order to attract these funds. The RWSSI would pursue some of the increased ODA financing for investment under the Initiative. OECD countries would be encouraged to provide funding either through the Bank Group or directly to the countries.
3.3.3 **Multilateral Financial Institutions**: Multilateral Financial Institutions (MFI) are an important source of funding for loans, grants, and guarantees. For these institutions to be more effective in financing RWSSI, there is the need to make use of new instruments including the facility to lend to sub-sovereigns (local government, NGOs) without government guarantees where it is prudent and appropriate and within their mission to do so. The MFI can increase funding for RWSS through greater use of their guarantee programmes to leverage other financing.

3.3.4 **Special Financing Initiatives**: Various initiatives and funding mechanisms are being developed for financing water resources development with a priority given to urgent water supply and sanitation needs. These include special Trust Funds and the proposed Africa Water Facility. These funds would be used for leveraging major financing for investment, by creating the enabling environment that facilitate investment, such as policy reforms, institutional strengthening and programme (and project) preparation. The rendering of investment financing more efficient and sustainable using funds from these special financing initiatives is likely to attract increased financing from the traditional sources of funds. The sheer size of investment required to meet the targets will require a substantial part of Heavily Indebted Poor Country (HIPC) funds, supplemented by Poverty Reduction Strategy (PRSP) funds.

3.4 **BANK FINANCIAL CONTRIBUTION TO RWSSI COUNTRY PROGRAMMES**

3.4.1 The RWSSI has received the backing and support of the 2003 G8 Summit in Evian, the World Panel on Financing Water Infrastructure as well as the Africa regional bodies, NEPAD and AMCOW. The Netherlands Water Partnership Funds and ADF IX resources are currently being used to kick-start the Initiative pending the mobilisation of resources from donors and other financing initiatives. It is however, essential that concerted efforts be made to secure sustainable and predictable financing for the Initiative if the momentum generated in RMC and the international community is to be maintained and the anticipated targets and impact achieved. In order to be able to influence this drive in line with its vision and strategy, and to provide the required catalytic influence in the RMCs, the Bank Group would need to support increased significant investment requirements of the country programmes.

**Bank Group Contribution to the Financial Requirements**

3.4.2 The Bank Group would support the financing of additional financial requirements of African countries within the framework of the RWSSI in conjunction with other donors, as well as governments and communities. The proportion of total financial contribution that the Bank Group should target is estimated on the basis for making the right impact in the region without causing a disproportionate strain on its resources. Three scenarios were examined as follows:

3.4.3 **Scenario 1 (High)**: The Bank Group would finance 40% Africa’s national programme financial requirements to meet FFA targets. To achieve this, the Bank Group would require annual financial flows of about US$ 480 million per year. The operational implications of this Scenario, is a substantial increase in capacity to deliver US$ 480 million level of investment per year from current sector lending levels of US$ 109 million (UA 78 million) per year. This level of investment would require major increase in human and material resources. There would be several challenges to acquire all additional resources to meet this level of investment. Mobilising finance is the greatest challenge.

3.4.4 **Scenario 3 (Medium)**: The Bank Group would finance about 30%of the total investment requirements under its RWSSI sub-programmes. Additional financial requirements to meet 30% of overall regional requirements would be about $360 million per year. This implies about 300% increase in current investment levels in the sector. The resource requirements to meet three times the current investment levels would be significant but achievable.
3.4.5 Scenario 2 (Low): The Bank Group would continue to invest in WSS at modest levels, from current levels of UA 78 million per year to about UA 100 using existing resources and ad hoc donations. This constitutes a Bank Group contribution of less than 10% of requirements for the region under the Initiative and may not make the required impact towards achieving the targets and goals. This level of investment is below the potential of the Bank Group to support Africa meet its WSS goals. The Bank Group may not be in a position to provide credible leadership under these circumstances.

Secure Financing Under ADF

3.4.6 ADF grants and soft loans offer a sustainable prospect for providing the additional financial resource requirements of the Initiative. In line with the Monterrey Consensus and as special commitment by ADF donors towards the realisation of the RWSSI development goals, the provision of this amount of funding in grants would enable the Bank Group implement the Initiative on a sustainable basis. Secure and predictable funding of this nature would facilitate programming, planning and implementation of investment requirements without the attendant risks involved by relying on ad hoc donations from individual donors. Other sources of funding that would eventually be raised from individual donors could supplement the secured ADF special RWSSI funds.

Justification for Increased ADF for the Bank Group Supported RWSSI Programmes

3.4.7 Reducing Risk: Donations from bilateral and multilateral entities are important source of funds for the Bank Group supported programmes but may not be enough to sustain the Initiative. In order for the Bank Group to take a credible leadership role in leveraging donor funds, secure and reliable sources of funds such as the ADF are needed.

3.4.8 Overarching Impact of WSS: The cascading effect of providing improved WSS on poverty reduction, health and enhancement of rural livelihoods makes WSS the logical area for increased ADF support. The economic, social and environmental impact of the provision of improved WSS services in rural areas include the following:

i. Time-savings from fetching water at distant sources that can be used more productively on other economic ventures and contributing to reduce poverty;

ii. Improved water supply and sanitation promotes good health and reduces health care costs thus making overall national savings for investment in other developmental activities;

iii. Women who are the main actors in implementing and managing improved water supply services are empowered to contribute more towards family life and other ventures;

iv. Children, in particular, girl children would be freed from the drudgery of fetching water and from sickness to be able to attend school, thus increasing school enrollment;

v. Providing grassroots management opportunities for people to both manage their water supply and protect their local environment.

3.4.9 The effect of providing safe water and hygienic sanitation services therefore helps in the attainment of all other development goals contained in the MDGs. Annex 1 contains the impact of water supply and sanitation on each of the MDGs.

Government Financing

3.4.10 Domestic resources for RWSSI need to be increased to match the increased external inflows for investment and to pay for additional recurrent budgetary requirements. African countries must use their own money to pay for a large part of their WSS facilities. It has been estimated that for the poorest countries most of the investment requirements and some recurrent funds would come from
External Support Agencies (ESA). Current contributions by national governments to RWSS projects are about 10 to 15% of investment costs. Governments in general would be encouraged to increase domestic inflows to priority areas and this should be reflected in the PRSP and other internal poverty alleviation frameworks. Firm financial commitment from Governments would be a precondition for donor support in financing investments programmes under the Initiative.

Community Financing

3.4.11 Communities would be required to contribute in cash and in kind towards capital investments of their water supply and sanitation schemes. These contributions would demonstrate commitment to sustainable operations and maintenance and reduce the level of external financing required. The level and nature of contributions would be modulated according to the situation on the ground. These community contributions should not be administered to preclude the poor and vulnerable communities and individuals. Recommended levels of community contributions is about 5 to 10% of capital investment costs. Communities would take full responsibility for O&M.

Financing from the Africa Water Facility

3.4.12 The Africa Water Facility was conceived as a means towards meeting the targets and goals for the water sector as established by the Africa Water Vision and the Millennium Development Goals. The first phase of the AWF is expected to raise about US$ 615 million. Part of this money would be earmarked for capacity building to enhance the enabling environment for accelerated investment and improved management of projects and programmes. Some funds would also be earmarked for capital investment financing in order to consolidate the reforms, capacity building and the front-end work that may have been undertaken in some countries. The RWSSI would benefit from both capacity building and investment funds. The facility would ride on the political momentum generated by African initiatives such as the New Partnership for African Development (NEPAD), the African Ministerial Council on Water (AMCOW) and the African Water Task Force (AWTF) by supporting the relevant operational activities prioritised by international regional dialogue.

Bilateral Financing

3.4.13 Bilateral financing usually refers to grant funds and assistance given directly from a donor government to a recipient country. The level of bilateral funding of RWSS programmes in Africa has been significant and it is anticipated that these funds would not only continue but increase in response to the Monterrey Consensus. The flexibility of bilateral funds makes it possible for donor governments to provide this assistance directly to sub-sovereigns such as local government or to non-governmental institutions operating in the recipient country. It is therefore possible to pass some of this assistance to NGOs to support RWSS development. Special donor institutions normally manage bilateral funds to Africa and the key RWSS bilateral donor institutions include DFID, CIDA, DANIDA, JICA, KfW/GTZ, AFD, SIDA, NORAD, and FINIDA. Some RWSS bilateral funds are managed directly by the donor country government and these include Netherlands and Spanish Governments. It is essential to engage all these institutions to form a donor partnership to implement the RWSSI either directly to RMCs or through the Bank Group supported RWSSI sub-programmes.

Lending Instruments

3.4.14 A combination of lending instruments – grants, policy-based operations and, loans – should be used in support Country Programmes. The preferred lending instrument for investments under the RWSSI would be grants whenever grant funds are available. Soft loans shall be used to supplement grants. Grant funds would, as much as possible; be used for policy and institutional strengthening, capacity building and training, studies and technical assistance.
3.4.15 Bank Group lending to ADB countries under RWSSI would be through the ADB window.
4 LAUNCHING PHASE

4.1 OVERVIEW

4.1.1 The Launching Phase of the RWSSI has started in five countries that have strong policy and institutional environments as well as ongoing national RWSS programmes. The countries are Ethiopia, Mali, Rwanda, Ghana and Uganda. Preparation and appraisal reports have been prepared for these countries and this section provides the highlights of the country reports.

4.2 ETHIOPIA

4.2.1 Ethiopia is one of the poorest countries in Africa with per capita GDP of US$ 100 and very low per capita water consumption in rural areas (about 10 l/day). The Government of Ethiopia recognises the links between inadequate access to basic services and the high levels of poverty in the country. The rural population is 54 million with only a population of 12 million (28%) having access to water supply and 4 million (8%) having access to sanitation.

Policy and Programme Development

4.2.2 A comprehensive integrated water resources management policy was approved in 1999 followed by the development of sector strategies and a comprehensive 15-year Water Sector Development Programme (WSDP) for the period 2001 to 2015. The WSDP addresses the needs of the different sub-sectors under different development programmes. A WSS Master Plan framework completed in 2003 has complemented the WSDP. The requirements for achieving the RWSS MDGs have been estimated at US$ 2,876 million (UA 2,066 million) or US$ 205 per annum for 14 years from 2002 to 2015.

Key Sector Institutions

4.2.3 The Ministry of Water Resources (MWR) is responsible for development of water sector policies, regulation, and resource mobilisation. The Regional Water Bureaus (RWB) are the water focal points at the regional level providing support to the Woreda Water Desks in the Districts. The capacity of RWB need strengthening. The Woreda Water Desks (Local Government) have responsibilities for WSS development within the Woredas.

4.2.4 The Government prepared Generic Implementation Guidelines for RWSS and identified roles for all stakeholders including MOWR, the Regional Water Bureau, the Woreda Water Desks. Capacity to implement RWSS programmes at the local government institutions is very weak.

The Bank Group Supported RWSS Programme

4.2.5 The National Water Sector Development Programme is in line with the Bank Group Vision and strategic plan 2003-2007, the MDGs and the intervention in the RWSS programme will complement the Bank’s other interventions in the WSDP. The Bank Group would support the WSDP with a first sub-programme along with other donors. Programme Implementation Units (PIUs) will be established at each of the Regional Administrations and be responsible for the day-to-day management of the Bank financed programme with field implementation by WWD. In view of limited capacity within the local government system, it is proposed to use the Ethiopia Social Rehabilitation and Development Fund (ESRDF) as an additional implementation entity, in view of its 10 years track record of sound programme implementation.
4.3 GHANA

4.3.1 The Government of Ghana has identified water supply in rural areas as priority and this is reflected in the PRSP. Ghana's rural population is about 15.46 million with about 6.22 million (41%) having access to water supply and 4.4 million (29%) having access to sanitation.

Policy and Programme Development

4.3.2 The Government of Ghana's RWSS sector reforms started in 1994 with the establishment of the demand responsive community managed strategy. Decentralisation reforms gave impetus for the adoption of a comprehensive RWSS policy promoting decentralised implementation. A Strategic Investment Plan prepared in 2000 aims to achieve 85% access for RWSS by 2015 at a total cost of UA 525 million.

Key Sector Institutions

4.3.3 The Ministry of Works and Housing is responsible for sector policy formulation and coordination of the water sector as well as resource mobilisation. The Community Water and Sanitation Agency facilitates the development of WSS services in rural areas and supports the District Assemblies in programme implementation. The District Assemblies implement WSS programmes with the communities in their jurisdiction.

The Bank Supported RWSSI Sub-Programme

4.3.4 The Bank would support Ghana's SIP with an initial sub-programme investment cost of about UA 14.4 million. The Community Water and Sanitation Agency would execute the sub-programme by channelling funds to the District Assemblies for implementation.

4.4 MALI

4.4.1 Mali has a total population of 11.8 million with 8.3 million living in the rural areas (71%). The population with access to water supply in the rural areas is about 50% and access to sanitation is about 3%.

Policy and Programme Development

4.4.2 The Government of Mali approved a demand-responsive community managed strategy for RWSS development in 2000. The Decentralisation Policy of Government has placed implementation of RWSS programmes and projects in the Communes, the lowest local government structure. With technical and financial support from the Bank Group, the Government of Mali prepared a RWSS investment plan covering the period 2003 to 2015. The overall targets are to achieve 80% access to water supply and 40% access to sanitation by 2015 at a total Programme cost of UA 377 Million.

Key Sector Institutions

4.4.3 The Ministry of Mines Energy and Water is the supervising ministry of water resources and responsible for sector policy and strategy formulation. The Ministry of Environment is responsible for hygiene education and sanitation development. The National Directorate of Water is responsible for planning, programming and development of the WSS sector at the national level with its regional decentralised offices responsible for supporting the Communes to implement WSS projects and programmes in the rural areas. The National Directorate of Sanitation and Pollution Control is responsible for all environmental sanitation planning and programming in Mali. It has decentralised regional offices.
The Bank Group Supported RWSSI Sub-Programmes

4.4.5 The total cost of the initial Bank Group Sub-programme is UA 16 million. The existing institutional arrangements comprising the Directorate of Water and the Directorate of Sanitation and Pollution Control would be implementing water supply and sanitation components respectively. The Regional Directorates of Water and Energy and the Regional Directorate of Sanitation and Pollution Control would undertake the field implementation of water supply and sanitation respectively.

4.5 RWANDA

Policy and Programme Development

4.5.1 The population of Rwanda is about 8 million with 7.2 million in the rural areas. The Government of Rwanda has recently established the demand-responsive community management strategy with the District Assembly responsible for WSS project implementation. About 2.88 million people (40%) in the rural areas have access to water supply and about 576,000 people (8%) have access to hygienic sanitation. The national programme aims at achieving 80% access to water supply and 65% access to sanitation by 2015 at a total cost of UA 662 million.

Key Sector Institutions

4.5.2 The Ministry of Land, Environment, Forests, Water and Natural Resources is responsible for the WSS sector with the Directorate of Water and Sanitation responsible for WSS planning, programming and asset management. Other national institutions intervening in the sector include i) the Ministry of Agriculture and Livestock, has responsibility for all rural engineering and managing wetland; ii) Ministry of Health, responsible for setting water and sanitation standards; iii) the Ministry of Local Government and Social Welfare, responsible for decentralisation and grass root management of rural water supply and sanitation; and iv) the Ministry of Finance and Economic Planning has responsibility for resource mobilisation and water tariff determination.

Bank Group Supported RWSSI Sub-programme

4.5.3 The Bank Group would support the national programme, which is in line with the RWSSI objectives and targets. The Initial Bank Group contribution amounting to UA 17.3 million is aimed at kick-starting the first phase of the Rwanda RWSS Country Programme. The Rwanda Country Programme will be implemented within the District Decentralised Framework. A National Agency for Rural Water Supply and Sanitation shall be created under the Initiative to co-ordinate the implementation of the Country Programme.

4.6 UGANDA

4.6.1 The water and sanitation sector (WSS) in Uganda has reformed remarkably with local government reforms moving the sector from the overall central control of the past to local government control, and from an essentially supply oriented approach to a significantly participatory and demand driven approach to sector development. The Sector-Wide Approach to sector planning (SWAP) and development was adopted in 2002.

Policy and Programme Development

4.6.2 Uganda’s Poverty Eradication Action Plan (PEAP), which is also the country’s Poverty Reduction Strategy Paper (PRSP), has prioritised the development of the water and sanitation sector. The PEAP rural water and sanitation sector (RWSS) goals are translated into a 15-year Sector Rural Water and Sanitation Strategic Investment Plan for 2000 to 2015 (SIP15). The goal of SIP15 is to provide sustainable safe water supply and sanitation facilities, based on management
responsibility and ownership by the users, within easy reach of 65% of the rural population by the year 2005 with an 80%-90% effective use and functionality of facilities. Ultimately 100% of the rural population should be served by the year 2015. The Plan has been adopted as the basic framework for developing the sector and is being implemented through the 2002 –2007 Rural Water and Sanitation Operation Plan (OP5) with all major donors in the sector participating. The overall cost for achieving the target coverage of 95-100% is estimated at USD 955.6 million or approximately USD 63 million per annum. A second lower target scenario of achieving 77% coverage has also been developed with an overall cost of USD 608.8 million or USD 40 per annum.

**Key Sector Institutions**

4.6.3 The Ministry of Water, Lands and Environment, through its technical department, the Directorate of Water Development, is the supervising authority of the water and sanitation sector and responsible for sector policy formulation, planning and coordinating and resource mobilisation in conjunction with the Ministry of Finance, Planning and Economic Development. District Councils and Local Councils, in collaboration with beneficiary communities are responsible for RWSS programme implementation.

**The Proposed Bank Group Contribution**

4.6.4 To the extent that SIP15 was developed on the basis of Uganda’s PEAP/PRSP, and is being implemented by both the Government and its major development partners, the proposed RWSSI in the country will be based entirely on this Plan and implemented in close collaboration with the other development partners. The implementation arrangements currently in place will be used to implement the Initiative, following the procedures of the Government’s Generic Implementation Guidelines for Rural Water Supply and Sanitation which has defined roles for Central Government level, the District Local Governments, Sub-county, Parish, user communities, NGOs and the private sector. The Bank Group’s initial investment is expected to be part of the current OP5.
5 ROLE AND RESPONSIBILITIES OF THE BANK

5.1 LINK WITH ON GOING ACTIVITIES

Operation programmes

5.1.1 The Bank Group’s total lending for water supply and sanitation sector for the period 1967 to 2002 amounts to about US$ 3,080 million. The trend (which represents 80% urban) and volume of investments in urban WSS is likely to continue into the future, as indications are that there would be an increased demand for investments funds for all urban services due to the anticipated population pressure expected in urban centres in Africa over the next decade. It is worth noting that the Initiative will not replace normal Bank Group lending for RWSS development. Normal ADB and ADF lending for RWSS investments will continue even though it is anticipated that increased operational activity in RWSS would be undertaken under the Initiative. The anticipated increase in investment in RWSS as a result of the Initiative would put a strain on the human and material resources of the Bank Group. In order to be in a position to adequately manage the anticipated increase in the WSS activities, it is essential to plan for increased human and material resources capacity to make the overall increased sector investments possible.

Human Resource Requirements

5.1.2 Currently there are about 30 staff (comprising water and sanitation specialists, economists and financial analysts) in the Infrastructure Departments of the Bank Group working on WSS projects. Water supply and sanitation investment trends over the past three years average US$ 109 million per year. This is more than the 35-year average of US$ 96 million per year indicating increasing rate of investment in the sector. The RWSSI would bring total sector anticipated investment rate to about US$ 450 million per year (US$ 100 million for normal sector lending and US$ 360 million under the RWSSI), more than three fold increase in investment rate. Table 4.2 and 4.3 show the rate of investment in WSS in the Bank Group. In order for the Bank Group to adequately implement the RWSSI, there is the need to increase the number of staff working on WSS projects and programmes, in particular, expertise in community WSS. The actual number of additional staff required and the skill mix need careful assessment, which should be done by taking into consideration all other water sector lending and non-lending activities.

Experience and Capacity

5.1.3 The Bank Group comes along with considerable experience in the delivery of water supply and sanitation infrastructure programmes, as well as experience and knowledge in working with communities in participatory rural development. The Bank has experience in water supply and sanitation services delivery within the context of rural integrated schemes, multi-sector programmes and stand-alone projects and has consequently developed the requisite knowledge and experience to play a lead catalytic role in implementing RWSSI.

12 Source ADB and ADF Annual Reports 2002
Table 4.2  Bank Group Water and Sanitation Investment Trends (1967-2002)

<table>
<thead>
<tr>
<th>Lending Window</th>
<th>ADB Window (Million US$)</th>
<th>ADF Window (US$ Million)</th>
<th>Total (Million US$)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Investment</td>
<td>1,820</td>
<td>1,260</td>
<td>3,080</td>
</tr>
<tr>
<td>Average Annual Investment</td>
<td>52</td>
<td>44</td>
<td>96</td>
</tr>
</tbody>
</table>

Source: ADB and ADF Annual Report, 2002

Table 4.3  Bank Group Water and Sanitation Investment Trends (2000-2002)

<table>
<thead>
<tr>
<th>Lending Window</th>
<th>ADB Window (US$ Million)</th>
<th>ADF Window (US$ Million)</th>
<th>Total (US$ Million)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Investment</td>
<td>105</td>
<td>225</td>
<td>330</td>
</tr>
<tr>
<td>Average Annual Investment</td>
<td>35</td>
<td>74</td>
<td>109</td>
</tr>
</tbody>
</table>

Source: ADB and ADF annual Report, 2002

5.2  ORGANISATIONAL AND MANAGEMENT

Operational functions and activities

5.2.1 The operational functions of the RWSSI are geared towards programming country interventions, preparing and appraising programmes and projects as well as advocacy and building partnerships to raise funds and coordinate implementation of the Initiative. The RWSSI Implementation Matrix in Annex 1 provides an overview of the logical process for achieving the overall objectives. The main operational activities include the following:

- Selecting and programming countries for intervention;
- Undertaking country dialogue
- Country Programme preparation, appraisal and approval;
- Country Programme implementation;
- Country Programme monitoring and evaluation;
- Producing operational guidelines and manuals for country operations;
- Funds mobilisation;
- Developing budgets and conducting annual reviews;
- Reporting on physical and financial progress;
- Co-ordination of the RWSSI;
- Building partnerships and networking with donors, RMCs, consultants, NGOs.

Managing the Initiative

5.2.2 The RWSSI would be an integral part of the Bank Group Country Operations and consequently, an Operational Vice Presidency would provide oversight and management responsibility. The RWSSI Task Force would continue to co-ordinate activities of the Initiative as momentum is gathered for increased activity. There is the need to increase human resources capacity to adequately implement increased operational activities as a result of the Initiative.

5.2.3 The scope of activities of the RWSSI may increase over the medium term and require the creation of a Co-ordination Unit to manage the increasing operational activities. The function of such a unit would include organisational, administrative, financial, technical operations and reporting. The functions and duties of the RWSSI Co-ordinating Unit would be the following:
• Providing leadership and direction for implementing the RWSSI;
• Programming, conduct country eligibility and prioritisation for intervention;
• Planning, co-ordinating all programme implementation activities under the Initiative;
• Preparing formats and procedures for different types of RWSS investments schemes;
• Budgeting and managing funds;
• Financial reporting to donors individually and collectively;
• Physical and financial progress reporting;
• Facilitating studies and special applied research into specific implementation problems to arrive at workable solutions for incorporation into programmes;
• Undertaking monitoring and evaluation activities on on-going programmes with the intention to draw lessons of experience for incorporation into subsequent programmes or “how not do some things”;
• Undertaking impact assessments of country programme interventions;
• Networking and strengthening partnerships with donors and key institutions in the sector;
• Tracking progress towards achieving intermediate and long-term goals.

5.2.4 A detailed study would be conducted to determine the need for such a unit by taking into consideration all other water related activities of the Bank Group. Indeed the Bank would have to review its present structure if it has to play a more strategic role in the water sector in Africa. The importance given to water require that in the near future, a more dedicated and comprehensive structure be carved out for water activities in line with the guiding principles of the Bank’s IWRM Policy.

5.3 REPORTING

Annual Implementation Progress Reports

5.3.1 Progress and achievements towards attaining the targets and goals of the Initiative would be reported creatively to provide information that would help future programmes. The reports include the following information:

• The number of people served with water supply and sanitation under the initiative over the year;
• Amount of money spent on a) investments (hardware); b) capacity building, training and policy reform support (software)
• Number and type of facilities realised (wells, boreholes, pipe systems, latrines etc)
• Efficiency of delivery (number of people served divided by grant/loan value of aid)
• Leverage effect (total amount of financing mobilised on Rural Water Supply and Sanitation assisted project/programmes)

The achievements over the reporting period are matched against planned targets. Deviations from planned achievements are explained.

5.3.2 The source of funding shall be from different donors with different rules for utilisation and reporting. It is therefore important to be able to produce an annual financial report to satisfy each donor’s requirements. It is also necessary to report globally on funds utilisation.
Country Status Report

5.3.3 Country reports would be produced annually and timed to feed into the Bank Group annual RWSSI report. The country report will match planned programme/sub-programme achievements against actual achievements.

The status report would provide information on physical, institutional and financial progress

5.4 MONITORING AND EVALUATION

Programme Supervision

5.4.1 During RWSSI Country Programme implementation, it is very essential to supervise and offer support through regular missions. Supervision and implementation support is intended to determine whether the programme and sub-programmes under execution are on course towards achieving the goals and development objective. These support missions have to be well planned with clear objectives, statement of mission objectives (SMO) with expected results and linked up with previous missions and issues. It is important to outline the problems to be addressed and set out recommended course of action. Supervision is particularly important because of the fast track procedures and the greater fiduciary responsibility passed on to countries.

Monitoring and Evaluation

5.4.2 Monitoring shall be an ongoing process and at the programme level takes place either formally or informally with every field visit or mission. Monitoring information would be gathered during supervision and implementation support missions. These missions would be conducted by the country task managers or consultants recruited to do so. At the country level monitoring information would be constantly gathered by programme implementers as they conduct supervisory visits to sub-programme sites. Additional information is gathered through progress reporting at all levels of implementation.

5.4.3 Evaluation shall be periodic in its timing and analyses programme processes, systems and outputs as well as the relationship these have with each other. For the RWSSI, the periodic evaluations would be participatory and would be conducted by a team comprising Bank Group, donors and country stakeholders in line with the partnership and donor co-ordination mechanisms. The evaluation process is meant to help the RWSSI programmes to redirect and strengthen certain procedures and policies for more effective and efficient implementation.

Information Requirements

5.4.4 Monitoring and evaluation systems use various formats and indicators for providing information. Indicators measure the performance of programmes and projects using both quantitative and qualitative information. There is great merit in the use of outcomes and impact instead of inputs and outputs as indicators for measuring and assessing progress and achievements. The use of outcomes and impact for measuring progress provides greater accountability to donors, governments and communities for the use of their joint resources in financing the investment programmes.

Measuring Task and Process

5.4.5 Process is concerned with how people and groups work together and maintain relationships. Experience shows that people often neglect process issues, often in order to concentrate on their task. However both task and process will suffer if they are split from each other. Because task and process are linked in this way, it is also important to measure progress of both. Since the RWSSI will
be implementing new approaches and instituting new systems the M&E will be designed to bring out the effectiveness of these new approaches through measuring task and process.

Analyses of Information

5.4.6 Data is analysed to determine time trends, changes in behaviour, strengthening of sector institutions etc. Determination of needs for changes to policy, and procedures are made in the light of the conclusions drawn. These may include changes in strategy for implementation as well as programme performance criteria. Changes may pertain to institutional capacity building, managerial support and staff performance incentives.

5.4.7 The principal source of tracking and verifying progress towards regional targets in RWSS would be the WHO-UNICEF Joint Monitoring Report on WSS. This report has been designated by the UN under the Millennium Declaration, as the source of monitoring progress in WSS globally. The information contained in this report shall be complemented by other reports including the World Bank’s World Development Report and the UNDP’s Human Development Report.

5.5 IMPACT ASSESSMENT

5.5.1 The purpose of impact assessments under the RWSSI is to achieve the following:

- Improve the quality of the programmes;
- Prepare advocacy and fund raising documents (as results from impact assessment is testimony of the use to which resources have been put);
- To demonstrate effectiveness of programmes.

Impact Assessment Themes

5.5.2 Impact assessment aims to ascertain the more long term and widespread consequences of the intervention. An impact assessment tries to measure the current situation and compares it with the situation before. This presupposes that there is information on the situation before the programme. The consequences of the RWSSI intervention can be categorised into the following themes:

Social
- Distance and time to fetch water (eg time taken for return trip to water point (including waiting time, distance to dry season water point);
- Reduction in incidence of water and sanitation–related diseases;
- Increased health and hygiene awareness;
- Household and personal cleanliness;
- Proportion of women beneficiaries;
- Active participation of women in programme decision–making and management;
- Increased access of the poor to improved water and sanitation facilities.

Technical
- Increase in quantity, accessibility, reliability and quality of water

Economic
- Cost savings;
- Increase in economic opportunities (new or strengthened economic activities).

Environmental
- Improved management of human waste;
- Enhanced awareness of hygiene and health;
- Pollution of groundwater;
- Waste water disposal;

**Health and Hygiene**
- Incidence of water related diseases such as bilharzias, diarrhoea etc;
- Household and personal cleanliness;
- Increased health and hygiene awareness.

**Education**
- Possible increased enrolment into primary schools and vocational training institutions.

5.5.3 The principal source of verification of progress towards the achievement of the global targets would be the WHO-UNICEF Joint Monitoring Report on WSS published annually. The WHO Communicable Disease Surveillance Annual Reports would be used to track trends in water related diseases.

**Timing of Impact Assessments**

5.5.4 The RWSSI would conduct impact assessments of country programmes after every medium term (4 to 5 years) to redirect processes and policies under the Initiative. Assessments would also be conducted at the end of every sub-programme under all country programmes in order to improve the design of the next sub-programme. The results would also be used to demonstrate to donors the use to which their funds have been put and make a case for additional funds. The ability of any country to attract greater financial support for investment depends to a greater extent on the results of the impact studies of its programmes. The conduct of impact assessments would be led by an independent entity but involve the stakeholders.
6 SUSTAINABILITY AND RISKS

6.1 SUSTAINABILITY

The sustainability of the RWSSI depends on factors at the level of the Bank Group and at the country programme level.

**Sustainability Factors at the Level of the Bank Group**

6.1.1 **Availability of Funds**: The success of the RWSSI hinges on the ability of the Bank Group to secure sufficient funds from donors and the RMCs to implement and manage country programmes. Funding for investments as well as for O&M is the most critical determinant of the sustainability of the Initiative in the long-term.

6.1.2 **Adequate Management of the RWSSI**: Good and proper management of the Initiative at the Bank Group is a factor that could inspire confidence from donors, RMCs and partners to give or withdraw support. The management of funds must be transparent and utilisation must be efficient and provide the optimum impact. Donors need to be provided with concrete evidence of the outcome of their financial support.

6.1.3 **Adequate Supervision, Monitoring and Evaluation**: An effective implementation support by the Bank Group to the country programmes backed by a sound monitoring and evaluation system would ensure that country programmes are well implemented and go to sustain the benefits of the Initiative in the long-term.

**Sustainability Factors at the Country Programme Level**

6.1.4 **Sound Programme Design**: The sustainability of the Initiative at the country programme level depend very much on how well the programme has been designed to ensure that it is technically, institutionally, financially and environmentally sound and that it can be implemented and the facilities operated. Good programme design must incorporate the following key principles to ensure sustainability:

- The DRA approach favouring community choice of investment decisions and management of O&M. The participation of women and men in complementary roles is key to sustainability of water supply and sanitation services;
- Availability of water resources and a wide range of technology options to facilitate community choice to ensure they get the level of service and technology that they can afford to operate and maintain;
- Good financial policy requiring community contribution to capital cost and full cost recovery for O&M would ensure long-term sustainability of water supply and sanitation systems.

6.1.5 **Policy and Institutional Arrangements**: Favourable policy environment and sound institutional arrangements favouring decentralised responsibility for implementation with government facilitating the process is key to sustaining the implementation and subsequent management of water and sanitation investments. Continuous monitoring, technical support and backstopping by the responsible local government authorities is necessary to ensure that community managed systems are sustained.

6.1.6 **Capacity Building**: Capacity building is crucial for the success of the Initiative. Strengthening institutional and sector professional capacity is required so that stakeholders in user communities, private sector and government can contribute their part to planning, designing, constructing, managing and maintaining facilities. This is particularly important to be able to accelerate service delivery at scale. Local government and SME development are most important in
order to ensure that local entrepreneurial skills are adequately developed to support implementation, operations, maintenance and spare parts supply services.

6.1.7 **Supply Chains:** The sustainability of operations and maintenance of community managed water supply systems depend on the availability of spare parts at affordable prices and within reasonable distance from communities. Also the availability of repair services is essential to keeping the systems operational.

6.2 **RISKS AND MITIGATION MEASURES**

Major risks associated with the implementation of the RWSSI are financial, political and institutional.

**Financing Risk**

6.2.1 The inability of the Bank Group to mobilise sufficient financing for the Initiative is a major risk. Obtaining dedicated ADF grant and loan funds specifically to finance the RWSSI on a sustainable basis could mitigate the risk. In addition, strenuous efforts should be made through canvassing and advocacy to potential donors for support. The support of NEPAD and AMCOW in this regard would be helpful. Governments will have to substantially increase investment in RWSS development. This can be encouraged through various incentives such as the use of HIPIC and PRSP funds.

6.2.2 Inadequate financial management practices in the utilisation of RWSSI funds are a risk. The risk may be exacerbated due to the fast track measures being adopted for implementation. This risk can be mitigated through regular audits and close supervision. A strong presence in the country to provide continuous supervision may help mitigate this risk.

**Inadequate Response from RMCs**

6.2.3 Inadequate response from RMC with sufficient programmes and sub-programme pipelines to achieve the targets is a risk. Every opportunity should be seized to obtain political will and support of African governments for implementing the Initiative. AMCOW could assist to disseminate information on the Initiative as well as co-ordinate with other development efforts. Also donor partners currently developing plans to achieve MDG targets could assist in this regard. Bank Group staff should assist to disseminate the Initiative.

**Unfavourable Policy Environment**

6.2.4 Inadequate policy environment and institutional arrangements is a risk. It is prudent to commence with countries with favourable policy and institutional environments, while supporting the less favourable countries to develop sound policies and sustainable institutional structures before embarking on large-scale investment.

**Capacity**

6.2.5 Institutional and human resource capacity for moving to scale is a risk towards achieving the goals and targets of the RWSSI. It is essential to strengthen the capacity of sector institutions, private sector, local government and communities to adequately play their roles and responsibilities in planning, designing, installing and operating water supply and sanitation systems.
7 CONCLUSION AND RECOMMENDATIONS

7.1 ADOPTING THE FRAMEWORK FOR IMPLEMENTATION

7.1.1 Africa faces immense challenges in providing drinking water and hygienic sanitation services to its rural population. Access to improved water supply and sanitation is a necessary pre-requisite towards eradicating rural poverty and spurring economic and social development in the continent. Meeting the international development goals for WSS calls for extraordinary measures to overcome the challenges. The RWSSI is the African Development Bank's response towards addressing the challenges in meeting the Africa Water Vision target of 80% access to water supply and sanitation by 2015.

7.1.2 The Framework for Implementation has outlined the strategic measures and actions necessary for engaging the Regional Member Countries and development partners towards achieving the goals of the RWSSI and the Africa Water Vision. The opportunities for successful implementation of the Initiative using the road map outlined in the FFI are great and should be adopted for resource mobilisation and for implementing Bank supported RWSSI Country Programmes under the Initiative.

7.2 RECOMMENDATIONS

Bank Group Board Approval

7.2.1 In view of the scale of investments and volume of work anticipated in implementing the Initiative, there is the need for strong internal Bank Group commitment and will power to succeed. This will require innovation, imagination and concerted action in administrative and financial procedures to acquire and utilise the human, financial and material resources effectively and efficiently.

7.2.2 The RWSSI Concept was presented to the Board in April 2003. The Bank Group Board is called upon to consider and formally approve the Rural Water Supply and Sanitation Initiative Concept and the Framework for Implementation outlined in this document. Specifically, it is recommended that the Board approve the following:

i. The RWSSI concept for accelerated investments in RWSS to attain 66% access in 2010 and 80% access in 2015;

ii. The general principles and operational guidelines, including the country programme approach and mechanisms for accelerated RWSS investment as outlined in the FFI;

iii. The Bank Group would seek significant dedicated additional ADF contributions towards financing RWSSI Country Programmes;

iv. Budgetary resources allocation for the year 2004 to the increased operations under the RWSSI. This concerns costs for missions and consultants services for the next group of countries slated for intervention as well as oversight coordination, advocacy and resource mobilisation activities;

v. A review of the Bank structure and human resource requirements with the view to achieving greater efficiency in water sector lending and non-lending activities, and in particular to implement the RWSSI.
Immediate Follow-up Actions

7.2.3 **Launch RWSSI:** Formally launch RWSSI in Tunis and use the occasion to engage the partners to start the process of build broad support for the Initiative.

7.2.4 **Mobilise Funds:** It is essential to embark on a resource mobilisation drive to secure the necessary financing for the RWSSI Country Programmes. This will be done through creating a partnership of donors in the RMCs and organising donor conferences to raise funds for the Initiative.

7.2.5 **Build partnership with stakeholders:** Obtain broad support on the principles and practices enshrined in the FFI document by engaging the donor community to help galvanise financial support to implement RWSSI investment programmes. The building of partnerships will be done internationally and at the country level. At the national level, the partnership will be led by national governments with the Bank facilitating the process. The partnership would include bilateral and multilateral donors, RMC governments and international and national NGOs. AMCOW would provide the political leadership for the RWSSI partnerships.

7.2.6 **Dialogue with RMC:** At the RMC level, the Bank Group should continue engaging in dialogue aimed at sustainable and accelerated RWSS interventions. This would be achieved through rapid country assessment of the policy, institutional and financing environment. An agreed country plan would then be devised to continue sector reform dialogue as required and to define specific intervention actions that would need to be taken, with targets for achieving agreed goals of the RWSSI.
## ANNEX 1

### RWSSI IMPLEMENTATION MATRIX

<table>
<thead>
<tr>
<th>Narrative Summary (NS)</th>
<th>Measurable Indicators (OVI)</th>
<th>Means of Verification (MOV)</th>
<th>Important Assumptions</th>
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<td><strong>1. Sector Goal</strong></td>
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| Contribute to poverty reduction through access to water supply and sanitation | Increased access to water supply and sanitation services from the current access 47% water and 44% sanitation to 80% access for WSS by the year 2015 and 100% access for WSS by 2025. | • WHO-UNICEF Joint Monitoring Programme Reports.  
• UNDP Human Development Report |                      |
| **2. Objective**       |                             |                            |                      |
| 2.1 Access to improved and sustained rural water supply and sanitation services accelerated to achieve the MDGs and AWV targets | 2.1 Increased access from current access rate for rural water supply from 4.8 million to 20 million persons/year and for sanitation from current 1.4 million to 15 million persons per year up to 2015  
2.1b World Development Report (World Bank)  
2.2 WHO Communicable Disease Surveillance Annual Reports | 2.1 Adequate funding is available  
2.2 Regional and country partnerships operational |
| 2.2 Improve health and quality of life of the rural people | 2.3 Reduction in diarrhoeal and other water related diseases by over 50% leading to reduction of health care costs | 2.3 RWSSI Impact study reports |                      |
| 2.3 Time and effort spent in fetching water supply reduced | 2.4 Reduce by half current time lost in fetching water from 400 million hours to 200 million hours by 2015  
2.5 Increased school attendance rate by girls by 2015 |                            |                      |
### Program Outputs

3.1 Availability of investment funds increased

- Increased investment rate by US$ 1.2 billion per year from now to 2015 for RWSS development
- No. of countries with strengthened policy and institutional reforms increased from current 19 to 53 by 2015
- No. of water supply systems operating at any one time increased from current 70% to 95% by 2015
- Increased institutional and community capacity for water service delivery, equipment and spare parts availability

3.2 National, District and community institutions strengthened to enable efficient programme management, implementation and sustained operations and maintenance of WSS facilities

- No. of countries with strengthened policy and institutional reforms increased from current 19 to 53 by 2015
- No. of water supply systems operating at any one time increased from current 70% to 95% by 2015
- Increased institutional and community capacity for water service delivery, equipment and spare parts availability

3.3 Country M&E Report

3.4 Increased investment rate by US$ 1.2 billion per year from now to 2015 for RWSS development

### Inputs/Activities

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<th>Budget/Resources</th>
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<th>Contribution by Source (USD Million)</th>
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<td>Total</td>
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<td>Government 2,190</td>
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- RWSSI Annual Reports
- Donor Annual Review Reports
- RMCs buy into RWSSI programmes
- Funding requirements for country programmes have been raised in time

### Inputs/Activities

4.1 Mobilise resources from official international funding sources, special funding schemes, NGOs, Governments

4.2 Planning and programming monitoring country interventions

4.3 Prepare and implement country programmes and...
4.4 Develop national implementation manuals/guidelines

4.5 Build capacity at national, regional (provincial) and district and community level for different aspects of water service delivery

4.6 Develop effective and sustainable supply chains for spare parts and repair services

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<th>Country programmes and projects</th>
<th>Community Total</th>
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<th>Loan/Grant agreements, appraisal reports</th>
<th>Bank has the human and material resource capacity to mobilise and implement</th>
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Annex 2

**Impact of Water Supply and Sanitation in Attaining MDG**

**Goal 1 Eradicate extreme poverty and hunger**
Water is indispensable for survival and improving the quality of life – for health (drinking, eating and bathing) and for economic development (agro processing and business). Increases productive activities though reduced sick days and time saved in fetching water.

**Goal 2 Achieve universal primary education**
Access to good water saves time and keeps children healthy so that they can attend school regularly. Good environmental sanitation and water facilities foster a healthy school environment.

**Goal 3 Promote gender equality and empower women**
Time saved from going long distances or queuing to fetch water allows women to undertake other productive activities such as family life and economic ventures. Community water supply provides an excellent opportunity for women to break into management.

**Goal 4 Reduce child mortality**
Safe drinking water and personal/household hygiene and excreta disposal reduces infant/child morbidity and mortality, improves their nutritional status and their ability to perform better in school. The marginal price of improved hygiene and sanitation promotion makes them cost effective health interventions.

**Goal 5 Improve maternal health**
Reduces physical stress and improves health status of pregnant women, reducing miscarriages, maternal deaths, and adverse impacts on foetuses and newborns.

**Goal 6 Combat HIV/AIDS, malaria, and other diseases**
Prevent vector borne disease related to water sources (guinea worm, onchocerciasis, and schistosomiasis) and diseases related to excreta contaminated water and poor hygiene (cholera, typhoid, and diarrhoeal diseases).

**Goal 7 Ensure environmental sustainability**
The skill for managing water supply and sanitation build social capital which can be extended to better manage their local environment and water resources. RWSS intervention include environmental awareness which can be deployed to manage the environment better.

**Goal 8 Develop a global partnership for development**
Provides opportunities for governments, donors, private NGO/businesses to work together to achieve the MDG.
## ANNEX 3

### SPREADSHEET OF DEMOGRAPHICS AND FINANCIAL REQUIREMENTS OF RWSSI BY COUNTRY (US$ 1000)

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**Notes:**
- Mapped with the data from the source: [1]
- The table provides a comprehensive view of the country-wise population details, including the year-wise percentage of water access, rural population access, and other socio-economic indicators.
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Notes:

1. Water Supply Unit Cost = USD 35 per capita
2. Sanitation Unit Cost = USD 15 per capita
3. Sector Support = USD 2 million per country receiving this support
4. Programme preparation facility = USD 500 -1.5 million per country depending on population
5. Financial Requirements for Ethiopia, Ghana, Rwanda and Mali have been updated with actual costs from country assessment