

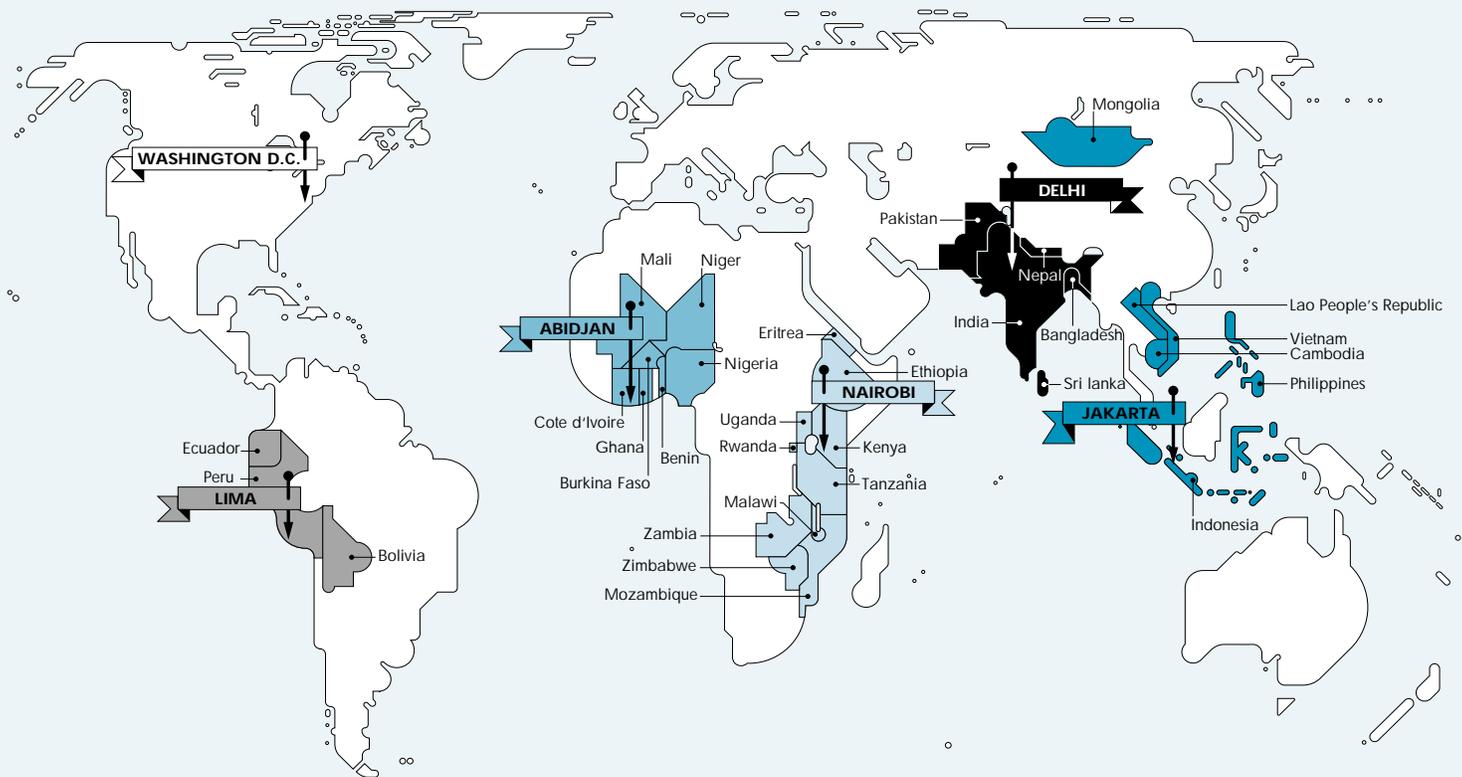


## Water and Sanitation Program

### 99-00 Report

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 Regional Office

## Foreword

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Water is life. Nowhere is this clearer than in developing countries, where an estimated 10,000 people die every day from diseases related to water and sanitation diseases. Lack of access to water and sanitation means poor health, malnutrition for children, and reduced life expectancy. It means that fewer children attend school, less time for income-generating activities, and increased drudgery for millions of women who spend their day collecting water from long distances. Because access to clean water is so vital to survival for the poor, many national governments are making water and sanitation development a vital component of their strategies for reducing poverty.

The Water and Sanitation Program has provided advice on investments and policies to its partners and clients in developing countries for more than 21 years. Much of its early work, such as that on low-cost technologies, demand-responsiveness, strategic sanitation planning, and participatory hygiene have now become standard approaches in the sector. Drawing from its field network in over 30 countries, the Program is continuing to explore new frontiers of knowledge. For example, it is identifying and testing private sector partnerships that provide services to the poor and helping its partners gain access to current sector practices.

The Program has been a forerunner of a growing list of partnership programs managed by the World Bank. Its well-established global network, strong tradition of client responsiveness, and continuous open dialogue with World Bank clients in developing countries provide a model for development practice.

The World Bank is proud to continue hosting the Water and Sanitation Program. The Program is anchored in the Infrastructure Department, permitting a mutually beneficial engagement with the Water and Sanitation Division and Bank-wide thematic groups. The planned evolution of the Program's governance in the coming months will increase opportunities for key Program partners to guide its strategic direction. I look forward to my personal engagement with this process as we jointly face the critical challenge of water and sanitation provision for the poor in the new millennium.



Nemat T. Shafik  
Vice President, Private Sector  
Development and Infrastructure  
The World Bank



## Chapter 1

# Meeting the Challenge of the New Millennium

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When the international community launched the International Drinking Water Supply and Sanitation Decade over 20 years ago, it sought to address the gulf between the served and unserved in the developing world. At the turn of the millennium, over one billion people still lack access to safe drinking water and two to three billion lack access to safe sanitation. What has been achieved and where are we headed?

While overall improvement in coverage remains far short of national and global hopes, the sector has made significant progress in some important areas over the past two decades. Recent coverage indicators point to distinct improvements in some Asian and Latin American countries in particular. More than 2.4 billion people worldwide have also received better water services and 600 million improved sanitation. Communities have a greater choice in service levels, made possible by the array of technical options now available. There is a new recognition of the power of the market to serve the poor.

Increased attention to the world's water and sanitation crisis also created a community of sector specialists. These specialists have learned a great deal about what works and what strategies can put into practice many of the

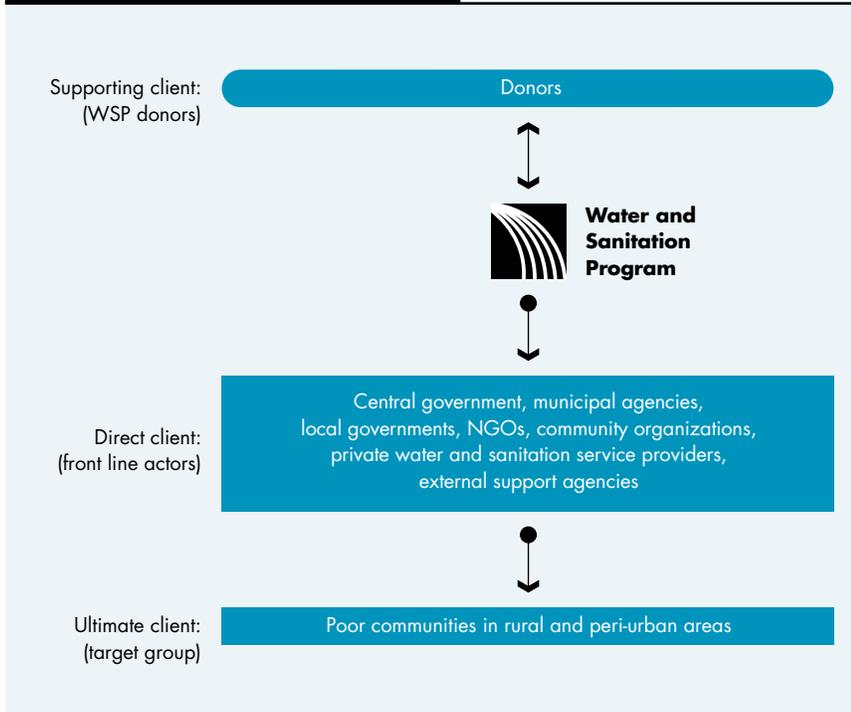
endorsed approaches. Many of the ideas that the Water and Sanitation Program (WSP) has been privileged to work on for more than two decades are now common practice. Recent meetings of the international community, such as the World Water Forum in The Hague in March 2000, have demonstrated a great unity of vision on the path forward.

### The Present Challenge

But as we embark on a new millennium, there remains much to be done. Despite decades of international effort and at a time of unprecedented wealth for many countries, an estimated 10,000 people in developing countries die every day from water and excreta-related diseases. Thousands more suffer debilitating illnesses. The tragedy is that these deaths and illnesses are entirely preventable through sustained access to safe water and sanitation. The sanitary revolution that transformed lives and life expectancy in Europe in the 17th and 18th centuries proved that tremendous gains are possible.

The water and sanitation sector in developing countries remains characteristically dysfunctional. Water may be the "commodity of the 21st century," but it is not one whose supply in the developing world is immediately attracting investors. Fiscal policies in developing countries are unattractive, the political climate is volatile and uncertain, lack of tenure limits investment

## Helping our clients to help their clients



## Funding partners

Australian Agency for International Development (AusAID)  
 Belgium Agency for Development Cooperation  
 Canadian International Development Agency (CIDA)  
 Danish Agency for International Development (Danida)  
 Department for International Development (DFID), United Kingdom  
 German Agency for Technical Cooperation (GTZ)  
 Directorate General for International Cooperation, The Netherlands  
 Ministry of Foreign Affairs, Italy  
 Ministry of Finance, Japan  
 Ministry of Foreign Affairs, Luxembourg  
 Ministry of Foreign Affairs, Norway  
 Swedish International Development Cooperation (Sida)  
 Swiss Agency for Development and Cooperation (SDC)  
 United Nations Development Programme (UNDP)  
 World Bank

for residents, and inflexible government service standards reduce affordable choices and create barriers to entry for other service providers.

A great deal of the \$30 billion of water investment in developing countries each year is used ineffectively. In most urban systems, unaccounted-for-water can be as much as 50 percent. From Cape Town to Cairo, broken piped schemes—not maintained or unaffordable for users—litter the countryside. The human cost of inadequate sanitation is even higher than for water, as feces are the origin of so many infectious diseases. Ineffective disposal of human waste imposes a huge toll on society through pollution of public areas, rivers, and land.

### WSP Overview

The WSP is an international partnership of the world's leading development agencies concerned with water and sanitation services for the poor. Its mission is to alleviate poverty by helping the poor gain sustained access to improved water and sanitation services. It is managed through a head office in Washington, D.C., and five

regional offices in South Asia, East Asia and the Pacific, West and Central Africa, East and Southern Africa, and the Andean Region.

Over the past two decades, the WSP has demonstrated success in helping its clients to improve access to water and sanitation services for millions of poor people in rural and urban communities (see box). It has led or supported many of the advances made in the sector in recent years, and actively contributed to the growing understanding of how to translate the guiding principles agreed on at major international conferences in Dublin and Rio de Janeiro into improved policies and programs. The challenge now is how to scale up successful approaches, continue targeted learning efforts, and support reforms that will ensure the adoption and replication of sustainable investments. This report covers the Program's achievements from July 1, 1999, to June 30, 2000 (FY00).

### WSP's Comparative Advantage

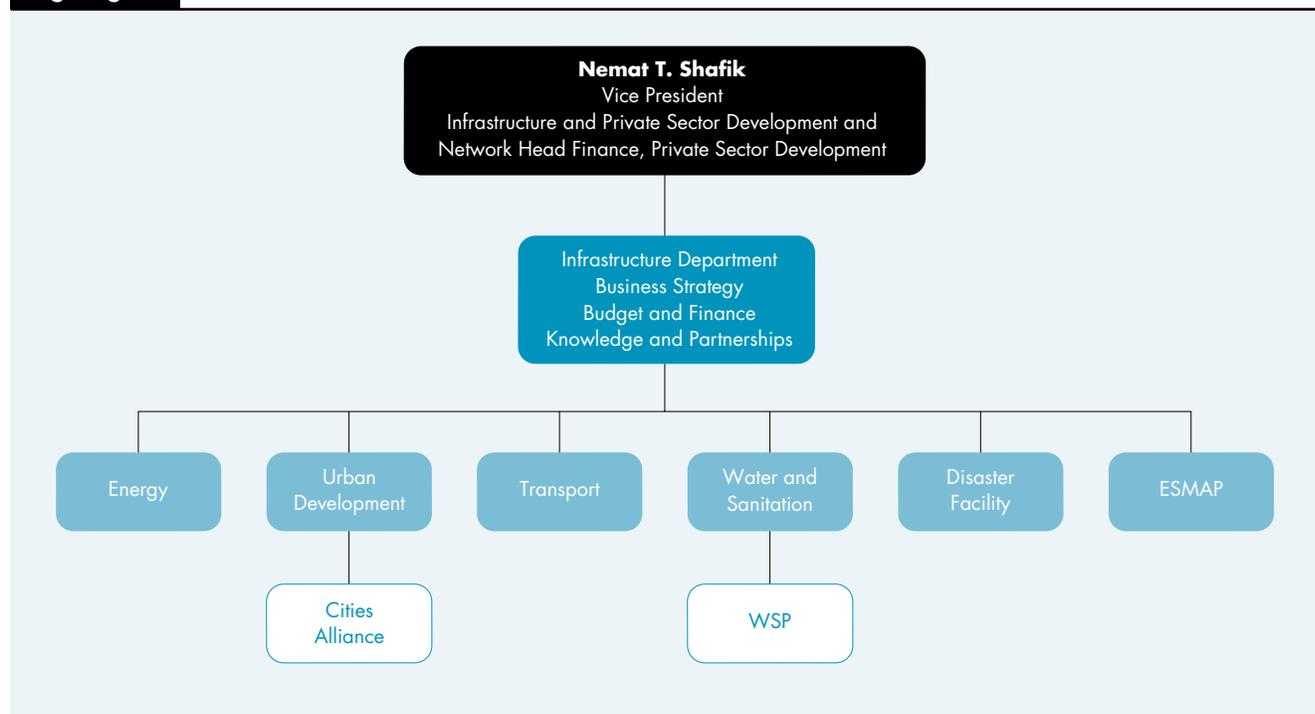
The Program's comparative advantage derives from its strong field presence, well-established network of sector

specialists, track record of quality staffing, and ability to respond to the changing demands of its clients. It operates in more than 30 countries, assisting local partners to overcome obstacles and to identify innovative solutions to problems of service provision in poor communities. The Program's partnership approach encourages lessons to be shared across agency, country, and regional boundaries and creates a momentum for global learning on critical themes.

The Program works as a respected, independent source of knowledge, advice, and support, playing the role of an "honest broker" and supporting policy makers and national and regional coordinating efforts. Its position within the World Bank—one of the largest investors in water and sanitation in developing countries—increases access to national policy makers and creates important opportunities for learning.

### Extending Partnerships

Formerly known as the UNDP–World Bank Water and Sanitation Program from its origins as parallel free-standing UNDP projects executed by the World

**Organogram**

Bank, the WSP has evolved into a mature, broad-based partnership. On one hand, it has retained the consistent financial support of a dozen of the world's foremost international development agencies (see box) and on the other, it collaborates in the field with many of the most productive or influential public, private, and non-governmental agencies in the sector.

The WSP is an associate program of the Global Water Partnership (GWP), endorsed by the GWP's Technical Advisory Committee. Within the GWP, the Program plays a leadership role in water and sanitation within a framework of integrated water resource management. The WSP remains a longstanding strategic partner of the Water Supply and Sanitation Collaborative Council and contributed to the development of the World Water Council's Vision 21 presented in The Hague in March 2000.

As governments decentralize, the importance of working with local partners outside the government continues to grow. The Program has responded to this trend by strengthening its partnerships in the field with non-governmental organizations (NGOs) and the private

sector. It now collaborates with more than 120 NGOs and recently developed a joint research initiative with several private water companies on poverty alleviation and strategies for private sector participation.

### **Strengthening WSP Governance and Management**

The WSP is administered by the World Bank and reports to the Water and Sanitation Division within the Finance, Private Sector, and Infrastructure Vice Presidency (see figure). The WSP is among the World Bank's longest standing external partnerships. Its governance structure involves global, regional, and country-level advisory committees. At a meeting in April 2000, changes were proposed to strengthen the World Bank's support for the WSP and to bring its governance into line with other Bank-managed external partnership programs. A WSP charter is envisaged to create a WSP Council that will oversee Program activities and guide strategic decisions.

In early 1999 the Program set out to revitalize its management team. A program manager was appointed

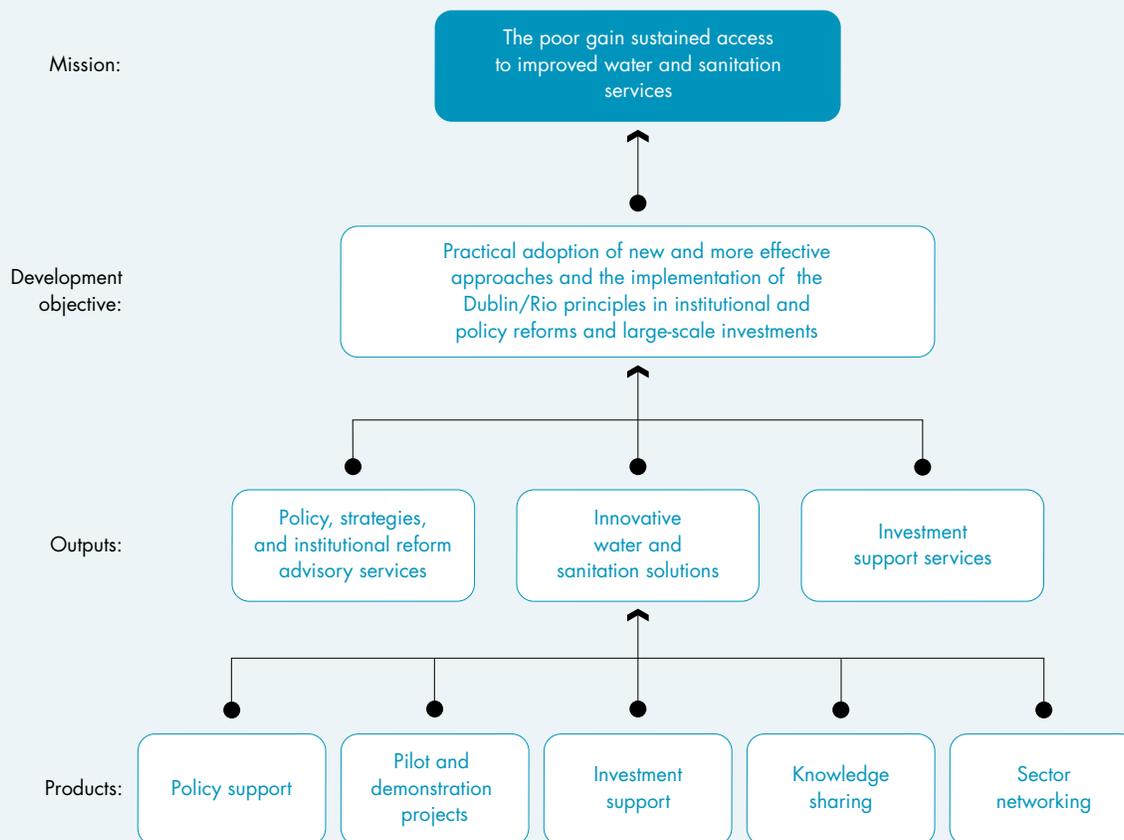
through the end of the year to lead the Program during this transition. In January 2000 a new program manager assumed responsibility and now heads an invigorated management team composed of regional team leaders, global thematic leaders, and a chief financial officer. The young, energetic team exhibits a broad range of skills. Half of the management team are women.

### **Responding to External Reviews**

In September 1999 the WSP presented to its financial partners an action plan outlining its response to external regional reviews carried out in 1998-99. Progress to date on the action plan has included:

- **Strengthening the strategic and thematic focus.** The Program has incorporated a Logical Framework Analysis into its planning processes, annual work plans, and three-year business plans. These changes will help the Program concentrate on areas in which it has a comparative advantage. They have already resulted in greater transparency, better quality control,

## Strategic results framework and thematic focus



### Strategic Results Framework

The WSP mission is to alleviate poverty by helping the poor gain sustained access to improved water and sanitation services. All activities are measured against this overarching goal, and poverty alleviation is one of the key criteria in project selection.

The Program operates according to a strategic results framework (see figure) based on the following logic. The Program assists its direct clients—central governments, municipal agencies, local authorities, NGOs, community organizations, private service providers, and external support agencies—in helping the poor gain sustained access to improved water and sanitation services. The poor are the Program’s ultimate clients and also the beneficiaries of its work.

The Program’s development objective is to impact its direct clients through the adoption of new and

more effective approaches and the practical implementation of the Dublin/Rio principles in institutional reforms, policy reforms, and large-scale investments. It achieves this goal by focusing on three mutually supportive outputs:

- Policy, strategy, and institutional reform advisory services
- Innovative solutions to water supply and sanitation problems
- Strategically selected investment support services.

All these outputs are derived from five types of WSP products: policy support, support to investment projects, pilot and demonstration projects, sector networking, and knowledge sharing (learning events, case studies, and field notes).

### Thematic Focus

In order to sharpen its focus, the Program has organized its activities into two broad thematic areas. The first focuses on issues relating to **rural and small towns**, and the second on issues relating to **urban areas**. The Program’s work on cross-cutting issues such as gender, hygiene, and integrated water resource management is also organized into these themes.

A global thematic leader coordinates the activities for both thematic areas. The thematic leaders are part of the Program management team and are supported by a network of WSP staff and other professionals. The thematic leaders take responsibility not only for country activities, but also for selected global learning products. While the Program’s global learning covers a range of issues, each country program focuses on a much narrower set of issues aligned with the critical sector challenges of that country.

and more strategic selection of countries and activities. The inclusion of thematic leaders in the management team has considerably sharpened the Program's focus.

- **Redesigning planning, tracking, and reporting systems and improving financial management.**

The Program has made strides in redesigning its system of financial tracking and reporting. It has adopted a new project-based tracking system that will provide the basis for improved task management and stronger analytic accounting and reporting.

- **Renewing vision and organizational structure.** The Program is focusing its attention and resources on the most critical countries and regions of its operation. It is building partnerships with a broader range of stakeholders and developing alliances with the leading international agencies and sources of knowledge in the sector. Limiting further overall growth, the Program's management is seeking to reduce fixed costs and increase flexibility to enable the WSP to reduce risk and better respond to opportunities and new client demands.

- **Strengthening program governance and rationalizing relations with World Bank operations.** The Program has begun to alter its governance structure to provide the basis for a clearer and more consistent relationship with all its financial partners. Memoranda of understanding with selected World Bank regional operations departments have built confidence in WSP–World Bank relationships. Non-strategic World Bank management tasks have been reduced. The Program has also expanded its support for a larger number of partners and investors in the sector.

- **Improving dissemination of learning and marketing.** The Program completed a communications audit as a basis for improving its dissemination and marketing strategies.

A new communications plan is being implemented to build the Program's global communications capacity, increase management's focus on communications, and promote good practices in knowledge production and dissemination. The plan also includes a wider variety of media and increases impact on both internal and external target audiences.

### **Enhancing Impact**

The Program's influence on the lending operations of the World Bank and other partners has been extensive, as the ideas it has developed have become mainstream in many investment projects. This is most evident in the rural water supply and sanitation (RWSS) sector, where the Program has had a direct or indirect influence on almost all the current freestanding projects financed by the World Bank. Independent evaluations have estimated the scale of this influence in billions of dollars and tens of millions of beneficiaries. As the WSP expands its involvement in urban slums and small towns, its capacity to influence policies and investment decisions in these areas is also expected to grow.

The WSP's new emphasis on knowledge generation has resulted in the production of over 100 country-specific studies, case studies and field notes during the past year (see publications list). During the same period, the WSP website—which offers a wide range of resources, tools, and information on the Program's latest activities—saw monthly increases in use. The website now records over 150,000 visits and downloads per month. ACCESS, the Program's electronic newsletter published to inform partners and clients of progress, has 2,600 regular subscribers.



## Chapter 2

# Global Learning Agenda

“The WSP is the original model on which we are building the Associate Programmes of the Global Water Partnership. In the “Water for People” subsector, the WSP provides consistently high-quality strategic assistance, offers a range of services—including policy dialogue, synthesized specialist information, investment support, and capacity building—and has global reach.”

*Torkil Jonch-Clausen,  
Global Water Partnership  
Technical Advisory Committee chair*

Over the years, the WSP has generated, validated, and disseminated solutions to water and sanitation problems for the poor. At times its work has been groundbreaking and has influenced the next generation of water and sanitation investments. The Program continues to pursue new knowledge as its field staff document and disseminate lessons from experience in slums and villages in different regional settings.

The Program’s global agenda is divided into two thematic groups: rural and small towns, and urban. In FY00 the Program completed several global studies that had been commissioned in previous years and set forth an ambitious new learning agenda. Two-thirds of WSP products in FY00 were knowledge-generating activities, including learning events, case studies, field notes, and pilot projects (see figure).

### Rural and Small Towns Water and Sanitation

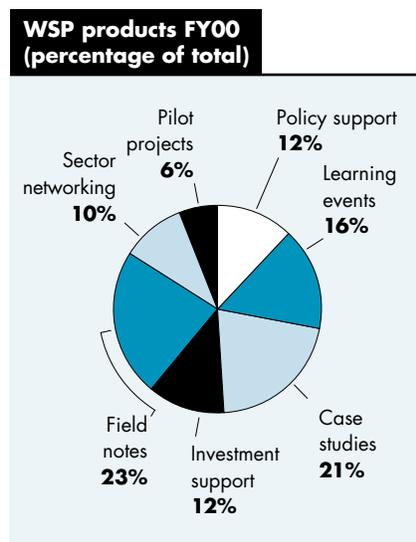
The Program’s learning in rural and small towns focuses on identifying strategies for scaling up services in rural areas and implementing demand-responsive approaches. Regional and country initiatives dominated the learning agenda this past year. For example, the Program has helped the Government of India implement a massive nationwide pilot project, taking

to scale approaches previously proven only in project settings. In Bangladesh it hosted a regional meeting to explore methods and opportunities for rural benchmarking of water supply programs. In Africa the Program analyzed experiences with alternative financing approaches in rural water supply service delivery.

### Small Towns Management Models

The small towns theme has been a recent addition to the Program’s thematic focus. It developed because of the growing numbers of small towns with inadequate water supply services. Systems in medium-size towns are generally in poor working condition, and managing them is often complex because they are typically too large for community management approaches and too small to be of interest to utilities.

The objective of the Program’s work on small towns is to identify and analyze successful management models. It is conducting an analysis of good practices and service delivery arrangements in Colombia, Mauritania, the Philippines, and Vietnam and is producing tools to help project planners design policies for small town services. These tools will be tailored to different management models, such as contracting of private operators by autonomous water and sanitation boards and management by semi-autonomous municipal utilities.



### Community Contracting

An ongoing global study of community contracting analyzes cases in which responsibility for procurement has devolved from the government to the community level. The study draws from experiences in Peru, Bangladesh, Pakistan, India, and Kenya and is developing a set of guidelines to help determine the contexts in which procurement by communities is feasible and desirable. It will also provide specific tools to put the approach into practice, including examples of contracting modalities and instruments.

### Supply Chains

Supply chains relate to all of the activities associated with the flow of goods and services from their source to the end-users—in other words, from manufacturers to importers, service providers, distributors, and customers. In the rural water supply and sanitation sector, schemes often fail because of a lack of spare parts and inadequate operation, management, and maintenance capabilities. The Program has advanced a global study that explores cases of effective supply chains. The first phase of the study

aims to identify factors that contribute to successful private sector supply chains—and as a result enhance sustainability.

### Participatory Learning and Action (PLA)

In 1997 the Program launched the Participatory Learning and Action (PLA) initiative in partnership with the International Water and Sanitation Centre (IRC). The PLA initiative seeks answers to a series of questions related to gender, poverty, and sustainability. What makes water and sanitation services sustainable? Do gender and poverty issues have links with demand and sustainability? How can learning about these issues best be utilized to benefit the poor? The PLA initiative has produced empirical evidence showing that more demand-responsive, gender-sensitive, and poverty-sensitive approaches increase service sustainability. It has also produced a field-tested instrument for institutional and policy reform. The results are based on participatory assessments carried out in 15 countries in 1998–99 (see box). The Methodology for Participatory Assessments (MPA) that

was developed to conduct the global assessments has emerged as a major and valuable product. The MPA is proving to be an instrument for project managers and user communities themselves to both monitor the sustainability and effective use of services and jointly decide actions to enhance the sustainability and equity of project interventions.

### Multi-village Systems

Increased groundwater scarcity and the aggregation of people in rural areas has forced many communities to consider water systems that serve several villages. Institutional arrangements for these multi-village systems are more complex than for single-village ones. The Program has initiated a series of case studies to investigate key elements and good practices for multi-village systems around the world. Two types of management models have been identified: water user associations such as those in Colombia and Peru and water utilities such as those in Côte d'Ivoire. The next phase of this initiative is to develop further the management models and best practice tools.

## Global Synthesis of the Participatory Learning and Action Initiative

**Under the PLA initiative participatory assessments were conducted in 15 countries and 88 communities that had managed their water systems for three or more years. The major finding was that demand-responsive and gender- and poverty-sensitive approaches are associated significantly with services that are better sustained and more effectively used. Other findings are outlined below:**

- **The more demand-responsive the project, the better the services are sustained. Projects functioned better over time when they initially offered more choices in technology, service level, and management and financing systems to women as well as men, and to the poor as well as the non-poor.**
- **Services were better sustained when communities participated in establishing them—not just by contributing, but also by exercising real influence and control over project implementation. Projects that conferred such control on users during implementation led to sustainability, provided control was transferred not only to the village chief but also to both men and women from all major potential user groups.**
- **Services were better sustained when they were operated and managed with the women and poorer households having a say in management decisions, and when maintenance responsibilities were equitably shared between men and women, and the poor and non-poor in the community.**
- **Agency policies, objectives, planning and monitoring systems, management, staff composition, skill sets, and teamwork all affected project outcomes. The more these were explicitly responsive to and supportive of user demands, gender, and poverty concerns, the better the results on the ground.**

### Rope Pump Technology Transfer

Based on a centuries-old design and refined during the 1980s and 1990s, the Nicaraguan rope pump has stimulated widespread interest throughout Central America for its low cost, efficiency, durability, and low maintenance needs. Used at either community or family level, the pump competes handsomely with the more expensive Afridev and India Mark II pumps at groundwater depths of up to 50 meters. The Program has been working with the Swiss Agency for Development Cooperation, which first spotted the potential for this “South-South” technology transfer, as well as Nicaraguan manufacturers and consumers in Ghana to encourage the transfer of this technology.

### The Urban Agenda

In the last two years, the WSP has significantly increased the intensity and scope of its urban work. In doing so it is responding to demands from its clients and partners, who are grappling with how to meet the rapidly growing needs of the urban poor and how to provide accessible and affordable water and sanitation

services. To solve this growing crisis in cities and towns around the world, innovation and learning are urgently needed at four levels:

- At the **household and community level**, there is a need to understand processes of decision making, the potential of different approaches to decentralize management of services, and the effectiveness of different types of intermediary services in driving reform and securing sustained services.
- At the **utility and local government level**, there is a need to find ways to stimulate and interact with community-level initiatives and the informal sector.
- At the **state or national government level**, there is a need to seek ways to create incentives to make serving the poor not only a priority but also achievable, supported by adequate financial and human resources.
- At the **international level**, there is a need to put water and especially sanitation services for the poor at the top of what is already a very full developmental and political agenda.

### Partnership Arrangements

During the year many regions focused on ways to scale up community-level initiatives into citywide programs. In the Philippines a community initiative to deliver effective, locally appropriate sanitation services to informal communities in Malang was translated into a large-scale program. In Nairobi the Program is contributing lessons from its work in Kibera to the debate over how the Nairobi City Council should serve all its customers. In India learning from Ahmedabad has been transferred to a wider debate about urban reform in Hyderabad, and could potentially lead to a radical restructuring of urban service delivery in the city.

In FY00 the Program also completed fieldwork that explored the potential for strategic sanitation planning in India and parts of Africa. A joint research program with DFID resulted in a new manual for improved municipal planning. Practical tools for capacity building now under development could support wider city restructuring efforts. The research program also initiated a study of governance in public water agencies in South Asia.

### Study of Independent Providers in African Cities

**In many African cities a large segment of the population does not have access to drinking water or proper sanitation services. Families living on the outskirts of the cities are most dramatically affected. They are served not by the city water agency or utility, but by small operators who perform the most basic public services: delivering water and removing sanitation wastes. Mostly unregulated and untaxed, these operators belong to the non-formal sector of the economy. In contrast to many public or multinational companies, these entrepreneurs must win their customers' loyalty and be ready to innovate to stay in business in a competitive market.**

**In 1998 the Program launched a three-year program to collect information about the role of independent providers in water and sanitation service delivery in order to understand who they are, what range of services they offer, and what key elements make their operations successful.**

**The goal is to increase the involvement of independent providers as partners with formal utilities, in order to improve the supply of water and sanitation services to low-income and informal settlements.**

**As part of this program, the WSP joined with the research department of Hydroconseil and the IRC to carry out studies in 10 large African cities. The countries covered in the study were Benin, Burkina Faso, Côte d'Ivoire, Guinea, Kenya, Mali, Mauritania, Senegal, Tanzania, and Uganda.**

**The study has yielded a wealth of new information on independent providers and their critical role in delivering services to the urban poor. It calls for recognition and regularization of the roles and activities of independent providers and better coordination with citywide operators to meet the demands of the urban poor.**

### **Private Sector Participation**

The Program has launched a major research effort that explores arrangements that involve the private sector to improve service delivery for the poor. In South Asia this initiative focuses on utility reform as well as the wider national reform agenda. The Program is also increasingly involved in operational work on private sector participation in Bolivia, Nepal, and South Africa, as well as in other African and East Asian countries. The Program is drawing heavily on its experience in El Alto, Bolivia, where it partners with a private concessionaire to deliver improved services to the poor.

### **Hygiene Education and Microfinance**

This year the Program continued to promote the delivery of hygiene education and microfinance services in urban areas. These ancillary services have proved vital to the success of water and sanitation investments in cities and towns. In particular, the Program has piloted the Participatory Hygiene and Sanitation Transformation (PHAST) methodology in urban areas of East Africa, and actively participated in the national policy debate on scaling up microfinance programs for infrastructure in India. Both these initiatives will be translated into global learning programs in the coming year.

### **Small-Scale Independent Providers**

The Program has long recognized the important role of the private sector in reaching otherwise unserved poor consumers. In Latin America recent learning efforts have focused on policy interventions to improve the effectiveness of the private sector. In Africa the Program has worked in partnership with the Water Utilities Partnership (WUP) to learn more about how small-scale operators function in a number of African cities and how utilities can respond to their potential. The Program published a 10-country study on the topic (see box) and sponsored an international workshop in June 2000

in Nairobi. The WUP endorsed the Program's research findings and agreed to promote new approaches among utilities.

### **Urban Environmental Sanitation Network**

The Program has completed a resource guide and a study on gaps in knowledge about urban environmental sanitation, and designed an information-sharing network called UESNet. To widen the network's outreach, the Program has extended it to include partnerships with the GWP, the World Health Organization (WHO), the United Nations Environment Programme (UNEP), and the Water Supply and Sanitation Collaborative Council (WSSCC). Now known as the Sanitation Connection, this initiative will be launched at the Fifth WSSCC Forum in November 2000, and will provide access to a wide range of information on all aspects of sanitation. The Program will also run an information help desk linked to the Sanitation Connection to ensure that the service remains responsive to clients' needs.

## Chapter 3

# Regional Highlights

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**REGIONAL OFFICE:**

DELHI, INDIA

**FOCUS COUNTRIES:**

BANGLADESH

INDIA

NEPAL

PAKISTAN

SRI LANKA

## South Asia

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“ Mahila Housing SEWA Trust’s partnership with the Water and Sanitation Program has been very valuable. Through MHT poor women members of SEWA express their difficulties related to housing and infrastructure, while WSP has provided the forum to take these issues to the national and international level. This has resulted in real policy changes that have directly improved the lives of these women.”

*Renana Jhabvala, Executive Trustee  
Mahila Housing SEWA Trust*

“ The Government of India has embarked on an ambitious program to pilot reforms in the rural water supply and sanitation sector in 58 districts across the country. The Water and Sanitation Program–South Asia has been our partner in the implementation of the sector reform agenda. We look forward to their continued support.”

*Mr. S. K. Tripathi  
Secretary, Department of Drinking Water Supply,  
Government of India*

### Thematic Highlights

#### Rural Water and Sanitation

More than two-thirds of South Asia’s 1.3 billion people live in rural areas and small towns. Despite significant investment in these areas during recent decades, millions of poor people still do not have access to sustainable water and sanitation services. The Program strategy in the region is based on the view that major reform in the sector requires leadership of national and local governments and the support of other key stakeholders. The Program works closely with a wide range of partners to achieve this goal.

In Pakistan the Program led the policy debate in the sector through the Social Action Program Project. The project acts as an umbrella for all donor investments in the sector. The Program also provided investment support to the World Bank-funded RWSS project in Pakistan and the Sindh Pilot Project. In India the Program sponsored the Cochin Workshop (see box), which helped lead to political endorsement for the government’s ambitious reform program. The Government of India has now allocated US\$315 million for 58 district pilot projects to be implemented throughout the country. In Bangladesh the Program focused on arsenic mitigation and developed new approaches to community contracting and service delivery. In Pakistan it developed and refined a “process monitoring” tool for organizational

learning. The tool is being used in the Community Infrastructure Project to generate knowledge about effective principles for community-based service delivery through a public sector institution.

Other highlights of the region include a monitoring and benchmarking workshop in Bangkok and a series of publications entitled Small Private Initiatives. In India a unique women’s meeting known as a mela brought together more than 50 women masons and handpump mechanics from across the country. It provided female entrepreneurs with an opportunity to share experiences and identify factors that have led to the success or failure of RWSS programs.

#### Small Towns Water and Sanitation

In Pakistan the Program drew attention to the growing importance of small towns. Initial discussions with provincial governments have resulted in an agreement to identify priority issues for small towns. This work will lay the foundation for strategic planning in the future. In Andhra Pradesh, India, the Program contributed to a pilot project that sets up an efficient solid waste management system in partnership with an NGO.

#### Urban Water and Sanitation

The Program’s urban portfolio gained attention in FY00. At the municipal level, practical experience and research on medium-sized towns in

Pakistan and India has resulted in new tools and guidelines to assist officials in financing and urban environmental sanitation. In response to demand from municipal partners, the Program is developing tools and training modules on a variety of topics, including microfinance, participatory approaches, solid waste management, and service delivery mechanisms for the poor.

At the policy level the Program has begun to focus on the issue of private sector participation and the poor and is directly supporting cities that are pursuing reform in this area. For example, in Kathmandu, Nepal, the Program has assisted the government in devising private sector partnership strategies that serve the poor. Similarly, in Pakistan the Program has begun an analysis of financial and service delivery issues in medium-size municipalities.

Across the region the Program has taken the lead in synthesizing lessons and disseminating them to its partners, civil society networks, and government organizations. This activity has included roundtables with the government and external support agencies in Pakistan and the Urban Think Tank in India. In Bangladesh the Program provides technical assistance to a local NGO implementing a solid waste management project in partnership with the Khulna City Corporation.

### **Sector Reform**

The Program's sector reform activities cut across all thematic areas—rural, small town, and urban. Highlights of the year included a workshop in Cochin, India, that helped generate political will for the reform process. In Pakistan the Program has also been actively involved in the debate over decentralization. In Bangladesh it has assisted the government in implementing the newly approved National Drinking Water Policy. As the chair of the sector and donor coordination groups, the Program is in a unique position to exchange ideas with and influence the activities of many important stakeholders.

### **Partnerships, Staffing, and Management**

In South Asia the Program works through partnerships with a wide range of agencies. It is spearheading a research initiative on private sector participation and the poor in the urban water sector. The first partnership agreement of the initiative has been signed between Suez Lyonnaise des Eaux and the Program in the context of an applied research program with several private water companies. In Pakistan the Program has established a partnership with a development consulting firm for an urban research program. It has also worked with the World Bank to organize workshops to help shape

government strategy for service delivery to the poor. Throughout the year the Program maintained important partnerships with funding agencies—including DFID, SDC, UNICEF, Danida and UNDP—and forged a new partnership with AusAID. Although FY00 was a year of management transition for South Asia, the Program strengthened its capacity by adding new urban, rural, and institutional specialists to its staff. The leadership of the Program's Global Urban Thematic Group is also based in South Asia.

#### **The Cochin Declaration: Politicians for Reform in India**

**In December 1999 the first State Water Ministers' Workshop on rural water supply policy in India was held in Cochin, India. The workshop was jointly organized by the WSP and the Government of Kerala, with support from the World Bank Institute (WBI) and the Government of India. It resulted in two remarkable achievements. First, it built consensus at an unprecedented political level on ways to accelerate reform in India. Second, it culminated in the endorsement of the Cochin Declaration, which sets out key reform principles and strategic actions to implement them.**

**The objectives of the workshop were to:**

- **Foster a dialogue on policy reforms in the RWSS sector.**
- **Understand political perspectives and build consensus on the main issues in the sector.**
- **Raise the profile of the sector among national and state government officials.**
- **Alert participants to the reasons for policy reform and the consequences of not performing.**

**The workshop included discussions of global best practices and ways to replicate successful approaches throughout the country. Participants proposed ways to involve communities and women in decisionmaking and project implementation. The workshop also promoted cost sharing and decentralization of decisions to village water committees and local *Panchayati Raj* institutions.**

#### **Building Consensus**

**The workshop in Cochin built consensus among different stakeholder groups by identifying the differences between perceptions and realities in the sector. Beginning with coverage levels, the workshop made significant progress by building a better understanding of the state of the rural water sector in India and helping participants learn from the most innovative ideas. Building such consensus was considered the first step in the reform process and a prerequisite to developing an action plan.**



**REGIONAL OFFICE:**

JAKARTA, INDONESIA

**FOCUS COUNTRIES:**

CAMBODIA

INDONESIA

LAO PEOPLE'S DEMOCRATIC REPUBLIC

MONGOLIA

THE PHILIPPINES

VIETNAM

## East Asia and the Pacific

“ We look to the Water and Sanitation Program–East Asia and the Pacific to enrich our debates with analysis and lessons from global experience. The WSP can be drawn upon as a clearing house for best practices in the water and sanitation sector.”

*Ir. Sujana Royat*

*Director, Bureau for Human Settlements and Urban Development, Government of Indonesia*

### Thematic Highlights

#### Rural Water and Sanitation

Despite the rapid urbanization of recent decades, the vast majority of people in the developing countries of East Asia still live in rural areas. During FY00 the Program's regional team played a key role in policy reform in its partner countries and helped put demand-responsive approaches into practice in Cambodia, Indonesia, the Lao PDR, Mongolia, the Philippines, and Vietnam. In each of these countries the Program has taken a flexible, long-term approach to ensure that national stakeholders gain ownership and implement the policies promoted. For example, the Sida-supported Policy and Capacity-Building Project in Cambodia sponsored a series of stakeholder consultations and workshops to elucidate and crystallize national and local views on key water and sanitation policy issues as a basis for reform. This process, launched in 1999, will extend over two and a half years.

The regional team in East Asia has also led the Program's global work on gender and equity through the Participatory Learning and Action Initiative (PLA). In 1999 participatory assessments were completed in 18 projects in 15 countries to investigate links between demand, gender, poverty, and sustainability. The global synthesis of the findings provide empirical evidence that gender- and poverty-sensitive and demand-responsive approaches are

significantly associated with services that are more sustainable and more effectively used. The Methodology for Participatory Assessments (MPA) has emerged as a comprehensive management tool for monitoring project sustainability and mainstreaming gender and poverty issues.

Staff from the East Asia regional office also took lead roles in the Program's hygiene and sanitation initiatives this year (see box). They prepared a number of case studies from Indonesia and the Lao PDR and actively participated in the World Bank Water and Sanitation Forum held in Washington, D.C., in April 2000.

#### Urban Water and Sanitation

Although the region's urban population is still relatively small, it is growing at a rapid pace. East Asia lags behind other regions in the collection, treatment, and disposal of wastewater. For example, in the Philippines only 3 percent of the total investment in the sector over the past 30 years went to sanitation, compared with 97 percent to water supply. Other countries show the same level of performance—for example, Indonesia has rudimentary sewerage systems in only seven cities.

The Program has laid the groundwork for more research in this area with the following initiatives:

- In Indonesia the AusAID-funded Sanitation by Communities Project (SANIMAS) will demonstrate the

application of community-managed systems in the broader context of urban environmental sanitation planning.

- In the Philippines the Water and Sanitation Performance Enhancement Project (WPEP) will explore issues resulting from the lack of interest in sanitation.
- In Vietnam the Program has been executing a project on capacity-building for the water and sanitation sector, financed by the SDC, that provides training for managers and operators of water supply and sanitation utilities. The Program has also supported the design and supervision of World Bank-financed sanitation projects in Ho Chi Minh City and three other urban centers.

### **Small Towns Water and Sanitation**

Water and sanitation in small towns has become an increasingly important issue for policy makers in the region. During FY00 the Program began a set of case studies that will be completed over the next year. In Indonesia, the Philippines, and Vietnam, these case studies will identify successful management models for the provision of water and sanitation services in small towns. In the Philippines a preliminary study found no less than nine different management models operating in the

water and sanitation sector. The Program has also assisted in the design of a World Bank-financed project in the Philippines that aims to provide sustainable services in small towns.

### **Sector Reform**

The Program's portfolio in the region is geared toward sector reform. The Program is engaged in policy reform activities in Cambodia, Indonesia, the Lao PDR and Mongolia. In addition, it recently started an applied research program in the Philippines to help refine policies to improve the performance of the water supply and sanitation sector.

All of these activities seek to maintain national leadership throughout the reform process. Such a process may be more time consuming than a consultant-led or schedule-driven approach, but leads to substantial benefits in terms of national stakeholder ownership and policy effectiveness. In Indonesia the Water and Sanitation Policy Formulation and Action Planning Project (WASPOLA) funded by AusAID has supported a series of internal workshops led by a core working group and involving a range of stakeholders. These workshops led to a draft rural policy framework, with which policy makers and implementers strongly identify.

### **Partnerships, Staffing, and Management**

Strong partnerships help the Program leverage the impact of its activities. The Program has forged linkages not only with national and local governments, but also with donors, NGOs, and to a lesser extent, the private sector. It collaborates with AusAID, convening annual meetings to exchange learning as well as review progress on its projects. In early 2000 Program staff visited Canberra, Australia, to demonstrate the methodology for participatory assessment that is central to much of their work funded by AusAID. In Jakarta the Program has established new linkages with a major water concessionaire, PT Thames Pam Jaya, to explore modalities for providing safe water to the poor through privatized services.

The Program has fostered a regional dialogue on key issues in the sector. For example, in October 1999 the Sida-financed Greater Mekong Regional Program co-sponsored a regional workshop in the Lao PDR for sector planners from Cambodia, China, Indonesia, the Lao PDR, Mongolia, and Vietnam. The Program also co-hosted an inter-regional workshop in December 1999 in Bangkok, where representatives from international organizations discussed best practices in the sector.

### **Sanitation Initiatives in East Asia**

**Sanitation is the least understood segment of the water and sanitation sector globally. Sanitation problems are particularly acute in East Asia, where they are fueled by rapid urbanization and burgeoning megacities. Effective strategies to address sanitation issues are not well known and do not command adequate attention. To address this growing crisis, the Program has launched a series of learning and pilot initiatives, focusing on factors that have led to good hygiene and sanitation practices.**

**These studies have generated a series of important lessons, including the following:**

- **Sanitation projects need longer time frames and different planning and implementation procedures than those appropriate for water projects.**
- **Although sanitation interventions often attempt**

**to change hygiene behavior, performance indicators are typically defined in terms of the number of constructed facilities, assuming that a facility will always be used effectively. Experience has shown, however, that it is necessary to target underlying sanitation and hygiene behavior and facility use as well.**

**The next phase of the initiative will be to apply lessons to new projects. Initially sanitation innovations will be applied in self-selected poor urban neighborhoods in Indonesia through the SANIMAS Project. Later they will be applied on a larger scale in Indonesia under the Second WSSLIC Project, and in the Lao PDR under the Provincial Infrastructure Project. The WSP's work has resulted so far in four field notes (see publications list in annex).**

**REGIONAL OFFICE:**  
ABIDJAN, CÔTE D'IVOIRE  
**FOCUS COUNTRIES:**  
BENIN  
BURKINA FASO  
CÔTE D'IVOIRE  
GHANA  
MALI  
NIGER  
NIGERIA

## West and Central Africa

### Thematic Highlights

#### Rural Water and Sanitation

In West and Central Africa the Program continues to play a major role in policy support and reform of the rural water and sanitation sector. During the past year it focused on strategy formulation, decentralization, demand-responsive approaches, cost recovery, and technology transfers. In Mali and Ghana, the WSP was primarily involved in project preparation, and in Benin, in implementation support.

Governments in the region are slowly incorporating these core elements into their investment programs. Notable examples include preparation of the water and sanitation strategy in Mali. The Program has also promoted the transfer of rope pump technology from Nicaragua to Ghana. The technology is particularly suitable for low-income communities because the rope pump is easy to maintain and affordable and can be manufactured locally. Current plans in the region also include documentation of experiences with private supply chains in Ghana.

#### Small Towns Water and Sanitation

The Program drew attention to the growing issue of small towns water and sanitation in the region through international study tours to Ghana and Mauritania. The Program prepared the methodology for the study tours and reviewed approaches and management

models for maintenance, financing, and institutional development. In addition, the Program completed a study in Benin and Ghana on management of water supply systems. The work helped launch a dialogue with stakeholders at the regional level and develop a concise road map for service improvements in small towns. Work will continue on operations, maintenance, and monitoring.

#### Urban Water and Sanitation

Rapid urbanization makes urban water and sanitation a growing problem in the region. Although in the past the Program's work in this area focused on policy reform, it has started to include support to pilots and major investment programs. In Niger and Senegal the Program worked in urban environmental water and sanitation. In Côte d'Ivoire it conducted a study on water and sanitation provision for the urban poor, assessing the impact of social conditions in service delivery. The Program continues to use its strategic presence to document interesting lessons and best practices that could be used not only regionally but also globally.

During the year the Program held the first Regional African Conference on small-scale independent providers (SSIPs) of water and sanitation in Bamako, Mali (see box). In partnership with the Water Utilities Partnership, the Program developed methodologies for a series of five case studies in the region to shed light on the role and importance of independent providers in towns and cities.



## Partnerships, Staffing, and Management

The Program prides itself on fostering partnerships that leverage skills, knowledge, and resources. It maintains partnerships with government and private and community-based organizations to jointly disseminate reports and conduct workshops and seminars. Partnerships have grown over the years with the International Training Networks, including TREND in Ghana and CREPA in Burkina Faso.

Partnerships with other regional programs and technical institutions, such as Programme Solidarité Eau (PS-Eau), Municipal Development Program (PDM), and Ecole Inter Etats d'Ingénieurs de l'Équipement Rural (EIER), have also become better established.

After a review of the Program by Danida, the regional group developed a restructuring plan for its administrative and professional staff. A key element of the plan is to place staff at the country level to improve coordination with partner organizations. This plan is now being executed.

Increasing population growth and new investments in the sector have created a new set of challenges in the region. Although the problems themselves are not new, amid scarce resources and weak governance they often reappear in different contexts, forcing institutions to find new ways to tackle them. There are increasing demands for support from the WSP in coordination, information dissemination, technology transfers,

capacity building, and monitoring and evaluation of investment projects. Mainstreaming gender issues, hygiene promotion, and social marketing is a constant challenge in the immediate future and long term.



## Regional African Conference on Small-Scale Independent Providers

In September 1999 the WSP and the World Bank Institute (WBI) organized the first Regional Africa Conference of small-scale independent providers (SSIPs) in water and sanitation in Bamako, Mali. The conference was the second of its kind sponsored by the Program; the first, focusing on Latin America, was held in February 1999 in Colombia.

SSIPs operate and provide services to large numbers of people in many cities, towns, and rural areas. They provide 60 to 80 percent of the population with water services and 90 percent with sanitation services. Case studies in seven West African countries document these experiences and define strategies to strengthen the role of the local private sector.

The conference was attended by 86 participants, including private operators and representatives of public and private utilities, local and national governments, bilateral and multilateral donors, and other support organizations. Country delegations came from Benin, Burkina Faso, Côte d'Ivoire, Guinea, Mali, Mauritania, and Senegal. The conference highlighted the following findings:

- The omnipresence of the SSIPs in many cities, their high degree of dynamism, and their ability to offer a wide range of service levels to consumers
- The absence of legal recognition and appropriate regulation to allow SSIPs to function efficiently
- The need for increased collaboration between the formal and informal sectors
- The need for better guidelines and regulations on water quality, waste disposal, and protection of sanitation workers.

Next steps include dissemination of lessons and increased collaboration with existing networks. At the regional level the Program will organize country meetings and provide support to SSIPs in setting up regional networks. The work is financially supported by GTZ.

**REGIONAL OFFICE:**

NAIROBI, KENYA

**FOCUS COUNTRIES:**

ERITREA

ETHIOPIA

KENYA

MALAWI

MOZAMBIQUE

RWANDA

TANZANIA

UGANDA

ZAMBIA

ZIMBABWE

## East and Southern Africa

“ Drawing on global best practices, the WSP has provided invaluable support to the reform process in Tanzania through provision of advisory services and technical support to develop a new rural water policy and innovative approaches in the sector.”

*Gabriel Lwakabare, Project Coordinator, RWSSP, Ministry of Water, Tanzania.*

“ WSP is currently providing crucial assistance in preparing a national water supply and sanitation investment strategy and implementing demonstration projects that can be replicated in other districts.”

*Yohannes Gebremedhin, Head of Water Supply and Sewerage Department, Ministry of Water Resources, Ethiopia*

### Thematic Highlights

#### Rural and Small Towns Water and Sanitation

Community-based water and sanitation can provide a valuable entry point for improving the living conditions of the poor. In East and Southern Africa the Program helps its country clients develop coherent strategies, institutional reforms, and programs that respond to community demands and build private sector capacity. In Ethiopia, for example, the Program directed its policy support toward operation and maintenance strategies for decentralized services. Specific products included situation analyses, regional workshops, and policy statements in two regions. In Uganda the Program helped develop the sectoral response to the country's far-reaching decentralization program. In Kenya studies on financing and private sector participation provide the basis for sector reform. The Program is working closely with Sida, UNICEF, and WHO and supporting the sanitation task force. In Zambia the Program supported preparation of strategies for water and sanitation services in peri-urban settlements and rural communities.

The WSP supports investments in the sector through work on both project preparation and implementation. Specifically, in Tanzania, Rwanda, and Malawi it has supported project preparation through district assessments, logical framework analyses, and

workshops. In Eritrea, Ethiopia, Mozambique, Malawi, and Zimbabwe, it has supported implementation by assisting project management teams and making technical contributions to project supervision. In Uganda the Program directs support toward management and oversight arrangements in the post-investment phase of the small town water and sanitation project.

#### Urban Water and Sanitation

Urban water and sanitation is a growing concern in East and Southern Africa. Urbanization is taking place through the rapid expansion of informal and peri-urban settlements that in large cities like Nairobi already shelter more than half the population. Despite this trend, central governments, municipal agencies, and private utilities have failed to provide adequate water and sanitation services to the urban poor.

During the past year the Program developed replicable models to extend water and environmental sanitation services to informal settlements. Under the framework of the Water Utility Partnership, the Program led activities and cases studies on this issue in Dar Es Salaam, Tanzania; Lusaka, Zambia; Addis Ababa, Ethiopia; and Blantyre, Malawi. Country-level workshops also highlighted the central role of utilities and the need for partnerships with small-scale independent providers and community-based organizations. In Zambia these

efforts were catalytic in mobilizing communities and setting the stage for policy reform in peri-urban areas.

Support to pilot and demonstration projects is the mainstay of the Program's urban environmental sanitation work. The Program has moved from preparation to implementation in many projects, such as the European Union-funded pilot project in Addis Ababa and the secondary towns project in Tigray in Ethiopia. The Program also helped prepare the community component of the Dar Es Salaam water supply project in Tanzania and the Kibera project in Nairobi, Kenya. In Rwanda it has focused on cost recovery, solid waste management in Kigali, and the interface between community initiatives and formal privately operated removal and dumping.

### **Sector Reform**

The Program works closely with key stakeholders in partner countries to achieve sector reform. There is now broad agreement on the guiding principles to meet Africa's water and sanitation challenge and the importance of sound policies and institutional frameworks. These principles were stated in the Africa Statement and Plan of Action developed in Abidjan, Côte d'Ivoire, in November 1998 and by the GWP's Southern Africa Technical Advisory Committee in December 1999.

### **Regional and Country Learning**

Working groups and sector forums have been the main vehicles for strengthening in-country knowledge. The high point of regional activities was the December 1999 Mpumalanga workshop in South Africa on financing of community water and sanitation (see box). Sector practitioners, SSIPs, and informal sector advocates also met in Nairobi in June 2000 to review the regional synthesis of surveys on the role of SSIPs in urban markets.

Another highlight of the year included the gender assessments carried out in Kenya, Malawi, Zambia, and South Africa. These assessments

linked gender to project effectiveness and sustainability. Their results are being used to mainstream gender issues at the country level in sector strategies, implementation manuals, and monitoring and evaluation systems. In the small towns sector, a study tour to Ghana organized by the Program's regional team set the stage for further work in Ethiopia, Malawi, Tanzania, and Uganda.

Regional work on sanitation and hygiene focused primarily on promoting the PHAST methodology through support to country-level teams in Ethiopia, Kenya, and Tanzania. The proposal for a regional support network was endorsed by the GWP's Southern Africa Technical Advisory Committee and will be broadened to include social marketing.

In line with the March 1999 recommendation of the Regional Advisory Committee, the Program paid particular attention to the linkages between global/regional initiatives and country programs. For example, a case study in Tanzania on supply chains was adapted to feed into the preparation of a World Bank-funded RWSS project.

### **Partnerships, Staffing, and Management**

Through a proposed support network for hygiene and sanitation, the Program has begun collaborating with the GWP. It has also continued to strengthen its partnership with the International Training Network centers, including NETWAS in Nairobi, Kenya, and IWSD in Harare, Zimbabwe. Both of these institutions have been deeply involved in regional activities related to gender and hygiene in particular. The Program has also established important links with regional professional associations, such as the Union of African Water Suppliers and the International Water Association.

The Program's regional office maintains close partnerships with the operational units of the Africa Region of the World Bank as well as with bilateral donors through joint involvement in country-level activities. In particular, it works closely with CIDA

in Mozambique and Malawi, the European Union in Ethiopia, Sida in Kenya, the SDC in Mozambique, and Danida in Uganda. Since June 1999 the WSP has hosted the interim secretariat of the Africa Water Resource Management Forum, which intensifies the exchange of knowledge among water sector professionals throughout the continent.

The Program has strengthened its planning and management systems and now uses a logical framework approach to improve monitoring of product delivery and dissemination. These changes are in line with the recommendations of the Sida-led multidonor joint evaluation of March 1999.



### Financing Community Water Supply and Sanitation Services in Africa

Heavy dependence on public funding and unclear financing policies characterize sector investments in East and Southern Africa. To address this issue, the Program organized a Regional Workshop on Financing Community Water Supply and Sanitation in Mpumalanga, South Africa, in December 1999. The workshop brought together more than 130 practitioners from 17 countries and was carried out in partnership with the Mvula Trust, DFID, UNICEF and the Department of Water Affairs and Forestry (DWAF). It represented the fifth in a series of regional workshops on RWSS organized by the Program since 1994.

The workshop showcased best practices in setting up and managing financial mechanisms and mobilizing resources from the private sector,

NGOs, and communities. Participants made recommendations on:

- Factors that influence the design of effective financial mechanisms
- Management of funds for community water supply and sanitation
- Conditions to attract private sector finance, especially microfinance
- Partnership arrangements with clearly defined roles for all actors
- Key messages necessary to achieve reform.

The workshop culminated in the Mpumalanga Statement, which provides an assessment of critical issues for implementing demand-responsive approaches and a guide for the regional learning and policy agenda.

**REGIONAL OFFICE:**

LIMA, PERU

**FOCUS COUNTRIES:**

BOLIVIA

ECUADOR

PERU

## Andean Region

“ CARE Peru considers the WSP to be one of its most important partners in the development and execution of initiatives in the sector, initiatives that will improve the quality of life for millions of poor Peruvians. ”

*Luis Tam, Health Sector Manager  
CARE Peru*

### Thematic Highlights

#### Rural Water and Sanitation

The Program's Andean office is active in the three poorest countries of South America: Bolivia, Ecuador, and Peru. Only a quarter of the rural population in Bolivia and Peru and less than half in Ecuador have access to safe water. Less than 35 percent have access to sanitation in all of the three countries. During the past year the WSP has provided assistance to governments in formulating and implementing policies and strategies. It has disseminated lessons from community-based projects and supported pilot projects with demand-responsive models for rural areas.

In Peru the Program is assisting in the preparation of the national rural water and sanitation project (PRONASAR) and promoting demand-responsiveness, decentralization, health, and hygiene in order to improve project sustainability. It has also been a major facilitator of the RWSS sector coordination group, which brings together key actors from the private and public sectors. The group is important in promoting concerted action and knowledge exchange within the sector. Finally, the Program has assisted the Government of Peru with the preparation of the National Strategy for Rural Water Supply and Sanitation.

In Bolivia the Program is providing support to the national rural water and sanitation project, (PROSABAR),

and evaluating the performance of the government institutions that are participating in project implementation. The evaluation will be used in the preparation of a new country project (PROAGUAS), which involves a municipal consortium and creative financing and management mechanisms to reach the most dispersed rural communities.

#### Peri-Urban Water and Sanitation

In Bolivia the Program has developed a highly successful pilot project in the peri-urban area of El Alto (see box). The project is internationally recognized for its innovative public-private partnership model, its use of condominium technology, and its high degree of community participation. The new partnership model of shared management between the Program and the private concessionaire, Aguas del Illimani, has been recognized by all important stakeholders.

The Program is working to disseminate the condominium technology and methodology of the project. In June 2000, the regional office held an International Condominial Workshop for more than 80 participants from over 20 countries. The outcome of the workshop has been very successful, with many participants now incorporating the condominium technology into other projects around the world. The Program has also developed an interactive website with

the aim of supporting further work on the topic.

In Peru the WSP is increasing its participation in peri-urban areas. It is establishing sectoral networks in order to exchange knowledge and replicate models that have been successful in other countries.

### **Small Towns Water and Sanitation**

In Colombia the Program has contributed to global learning on small towns by documenting successful management models. In Peru a first study has been carried out in Sicuani, a town of 31,000 inhabitants, to identify some of the problems that affect service sustainability. The Program also collaborates with the Spanish NGO, Centro de Estudios y Solidaridad con América Latina (CESAL) on the design of a pilot project that will validate a new service management model in the small town of Talavera. A study is also underway to provide Peruvian authorities with detailed information about water and sanitation services in small towns throughout the country.

### **Sector Reform**

In all three focus countries, the Andean regional office contributes to policy design and legal reform in the sector. During the past two years, the achievements have been particularly remarkable in Peru, where the Program worked in close collaboration with national authorities and sector actors to lead the preparation of a national strategy for RWSS. It has also contributed to the recently issued water and sanitation law, which is a major step forward in developing and modernizing the sector. The law addresses such key issues as private sector participation, service sustainability, and the role of local governments in the provision of services.

In Bolivia the Program is supporting the government in reviewing a 10-year strategy for the sector as a whole. In connection with the El Alto Pilot Project, the Program has proposed a new set of technical standards that will be adopted by the Bolivian government for the use of condominial water supply and sanitation systems nationwide.

### **Partnerships, Staffing and Management**

Partnerships are essential to the Program's work in the Andean Region and its ability to maximize impact on the sector. A formal sector coordination group launched by the Program in 1998 meets regularly in Peru. The network operates in partnership with public and private actors and has important influence on the development of national sector policies.

Throughout the region the Program is widening its partnerships with national and international NGOs such as CARE, and with projects launched by other bilateral donors such as GTZ. The Program also maintains close ties with Sida and the SDC and collaborates with the Netherlands to increase its impact in the region.

## **Aguas del Illimani in El Alto: A Private Concessionaire Serves the Poor**

**A major hurdle for providing water and sanitation services in peri-urban areas is the high cost of conventional water and sewer networks. Utilities may be unable or unwilling to extend a network if they do not expect to recover the investment costs. Finding new ways to reduce the cost of access to improved water and sanitation services is therefore critical.**

In Bolivia, when the private water and sanitation utility *Aguas del Illimani* was awarded a 30-year contract to sell water and sanitation services and to extend the infrastructure in La Paz and El Alto, the Program approached it with a proposal for a pilot project. The pilot has helped prove the benefits of an alternative low-cost sewerage technology—known as *condominial technology*—as well as develop new institutional relationships between the private concessionaire and its customers in poor peri-urban areas.

Condominial technology emerged in the 1980s in Brazil as a result of the unplanned efforts of a group of neighbors to collect

wastewater. Since then the technology has been used in many cities throughout Brazil and has become an important component of the large-scale investment project (PROSANEAR). The water utility of the capital, Brasilia, started to build condominial sewerage systems in the early 1990s and now serves more than 50 percent of the city's population with this technology.

### **Condominial Systems Reduce Costs**

Condominial technology provides a wastewater collecting network at a cost of approximately 50 percent less than conventional sewerage connections. Condominial systems reduce the cost of in-house connections by using narrower and fewer pipes and by burying the pipes in shallower trenches.

This technology has made it possible for *Aguas del Illimani* to meet the coverage goals and cost margins set in the concession agreement for low-income peri-urban areas—and to keep within its own economically adequate margins.

## Chapter 4

# Program Financing

**“The Program’s comparative strength ... includes its sector focus, its global network, its regional and country presence, its professional credibility in the sector, and its ability to be responsive to its collaborating partners.”**

*Danida Review of Support to the Water and Sanitation Program—South Asia, July 1999*

**“DFID India particularly values the relationships developed by WSP with influential actors in the sector. These relationships contribute to the effective and timely dissemination of relevant information, lessons, and best practice.”**

*DFID India*

In FY00 the WSP had a diversified base of financial support appropriate to its decentralized structure and the wide range of its national, regional, and global activities (see figure on donor contributions). The UNDP and the World Bank, the Program’s two founding partners, continue to support the Program. However, over the years the financial support of bilateral donors has steadily increased in importance, reaching nearly 80 percent of total funding in the past two years (see table on disbursements). During 1998–2000, five major donors—Denmark, the Netherlands, Norway, Sweden, and Switzerland—supported the global aspects of the Program across various regions and activities, while the contributions of Australia, Belgium, Britain, Canada, and Luxembourg had a primarily regional focus.

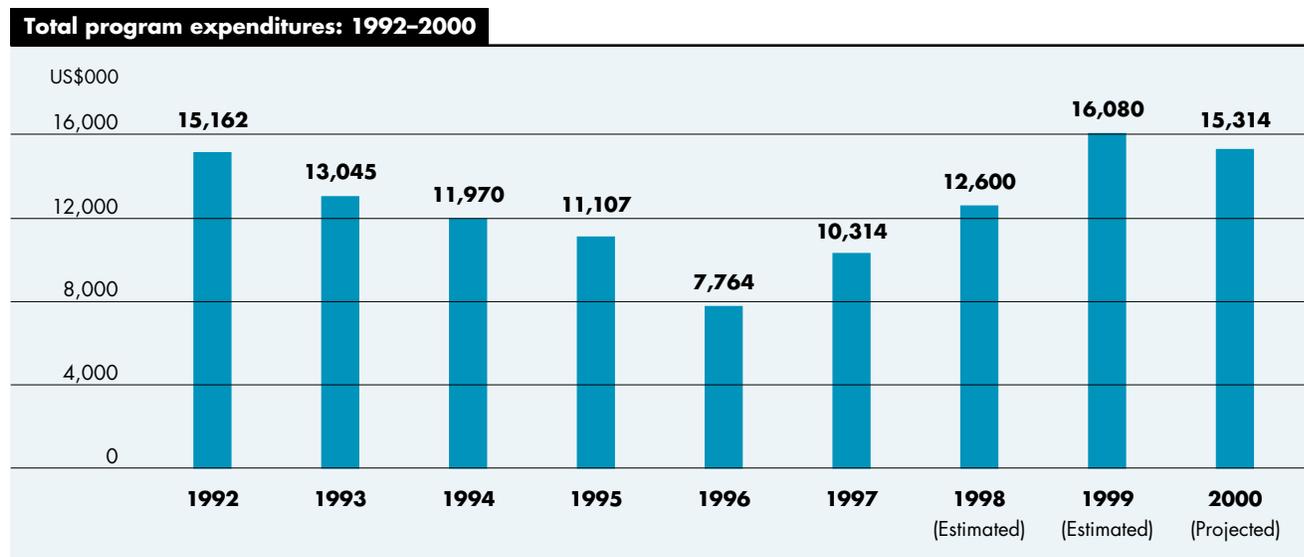
The Program continued to grow throughout 1999, reaching an estimated US\$16 million in disbursements (see figure on program expenditures). In FY00 disbursements are expected to be slightly lower, and to reach approximately US\$15.5 million. In FY00 three regions were responsible for the largest shares of expenditures: Africa (30 percent), South Asia (22 percent), and East Asia and the Pacific (17 percent). The shares of the Andean Region (10 percent) and Global Projects (13 percent) were more modest (see figure on expenditures by region). Global program management and administration accounted for 8 percent

of total Program expenditures. Nearly 75 percent of overall Program expenditures are on staff, consultants, and travel; this amount is characteristic of an initiative providing advisory services rather than of a project implementation agency.

The remaining funding gaps for the current financing cycle 2000–02 are being filled. Although these gaps are expected to be fully covered, the delays inherent in the funding process are straining the Program’s limited reserves. An urgent objective of the Program’s financial strategy is to smooth out the financing flow by staggering major donor contributions over the next three years.

A focus on financial planning and management in combination with the increased capacity of the systems environment at the World Bank have resulted in greater financial discipline and more in-depth reporting. The annual budgets were continuously tracked during FY00 and adjusted at midterm. The Program adopted a new overhead policy, which fosters greater transparency and accountability. Based on financial data obtained in FY00, a detailed financial strategy was developed for the Program as a whole and for each region separately. The strategy includes cost and overhead reduction targets, which will be implemented over the next two years.

In FY00 the Program introduced a project-based financial planning, tracking, and reporting system. In the



**Donor's share of disbursements** US\$000

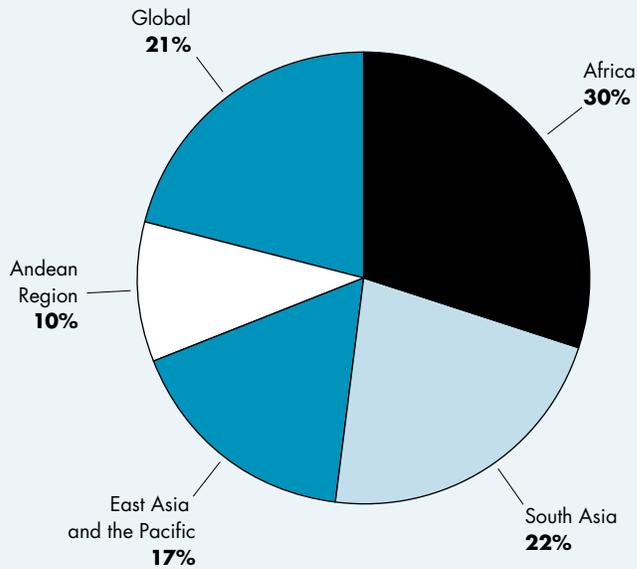
Bilateral Agencies	1992	1993	1994	1995	1996	1997	6 year total%	January 1, 1998 to June 30, 1998	July 1, 1998 to June 30, 1999	July 1, 1999 to June 30, 2000	2.5 year total%
Australia	11	2	30	11	-	-	0	52	988	714	5
Belgium	-	-	-	-	-	312	0	299	206	587	3
Canada	92	931	29	-	-	95	2	133	748	1,068	6
Denmark	326	686	393	399	373	1,397	5	764	1,925	830	10
Finland	-	111	134	-	-	-	0	-	-	-	0
France	-	-	35	80	-	-	0	-	-	-	0
Germany	66	-	-	44	-	-	0	-	-	-	0
Ireland	-	-	87	26	-	-	0	-	-	-	0
Italy	-	-	42	231	89	-	1	-	4	294	1
Japan	-	343	1,111	1,402	132	-	4	36	104	3	0
Luxembourg	-	122	267	235	168	88	1	266	436	331	3
The Netherlands	2,062	1,519	653	302	500	1,271	9	248	1,593	977	8
Norway	1,348	1,474	972	1,554	1,441	1,228	12	629	1,404	1,618	10
Sweden	-	202	329	880	1,196	1,041	5	492	2,041	1,661	12
Switzerland	953	904	1,175	1,107	1,054	2,143	11	860	1,384	2,215	13
United Kingdom	193	180	-	151	60	-	1	-	79	1,178	4
<b>Subtotal, Bilateral</b>	<b>5,051</b>	<b>6,474</b>	<b>5,257</b>	<b>6,422</b>	<b>5,013</b>	<b>7,575</b>	<b>52</b>	<b>3,779</b>	<b>10,912</b>	<b>11,477</b>	<b>75</b>
<b>UNDP</b>	<b>9,050</b>	<b>5,146</b>	<b>5,357</b>	<b>3,738</b>	<b>1,903</b>	<b>2,096</b>	<b>39</b>	<b>1,548</b>	<b>1,000</b>	<b>1,045</b>	<b>10</b>
<b>World Bank</b>	<b>1,061</b>	<b>1,425</b>	<b>1,356</b>	<b>947</b>	<b>848</b>	<b>642</b>	<b>9</b>	<b>999</b>	<b>1,167</b>	<b>1,194</b>	<b>10</b>
<b>Programme Management Fees (*)</b>								<b>377</b>	<b>869</b>	<b>662</b>	<b>5</b>
<b>Grand Total</b>	<b>15,162</b>	<b>13,045</b>	<b>11,970</b>	<b>11,107</b>	<b>7,764</b>	<b>10,313</b>	<b>100</b>	<b>6,703</b>	<b>13,948</b>	<b>14,379</b>	<b>100</b>

\* Program management fees are financed by all program donors. That data series is not available prior to January 1998.

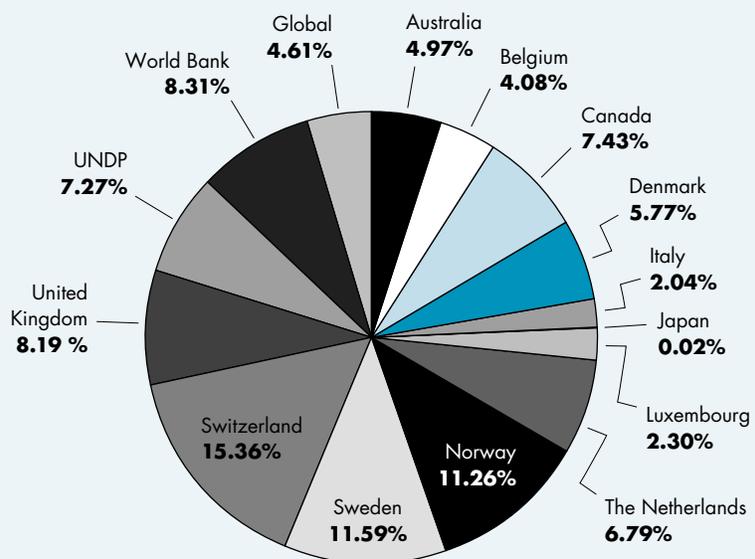
first year of implementation, the new system tracked over 80 percent of total expenditures against 66 projects. The project-driven financial reporting system is being further improved for FY01. The expenditures are now tracked against 87 projects and in three thematic areas: urban, small towns, and rural. The new data stream will become available starting with FY01.

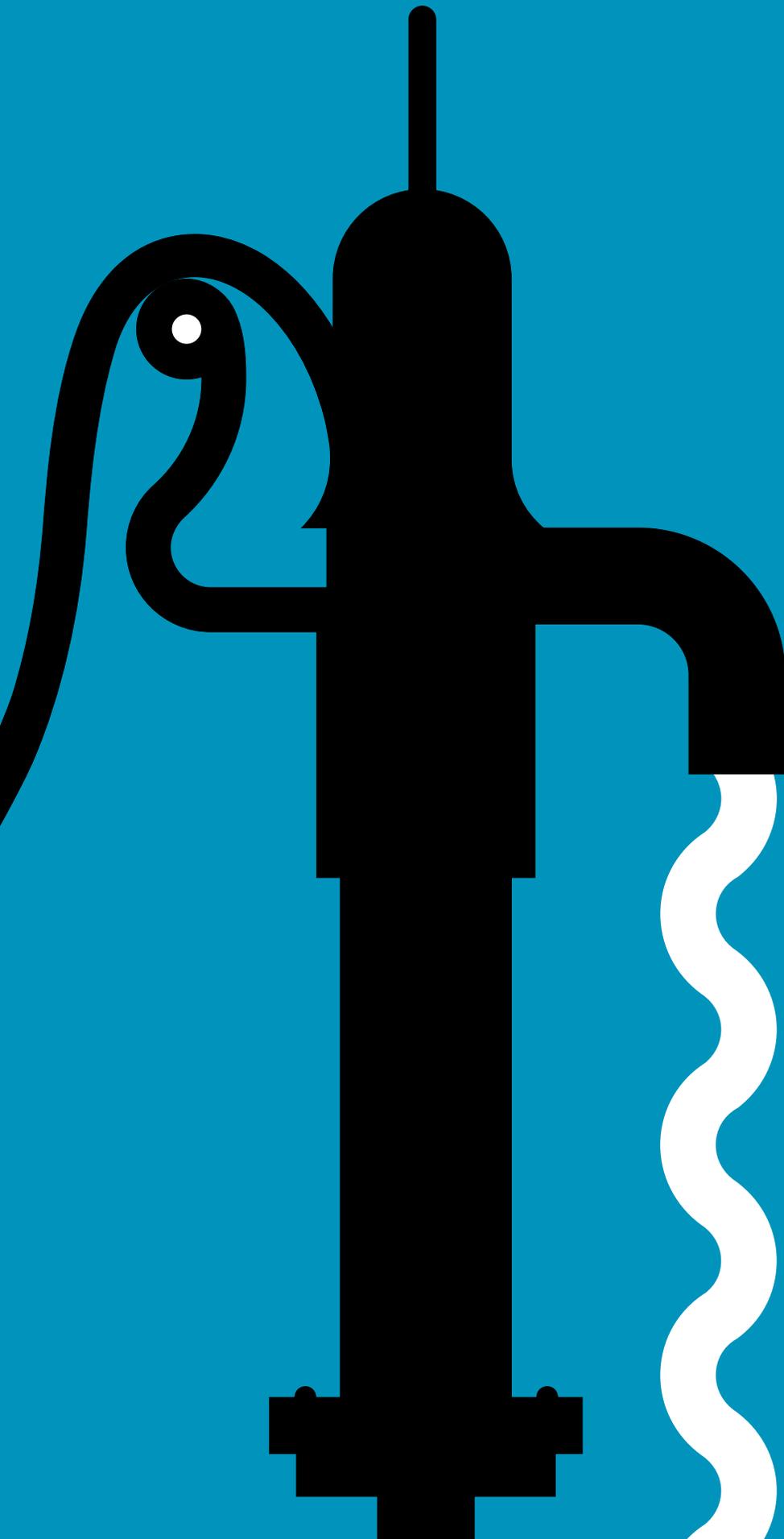
All Program donors can now expect to receive, in addition to the Program-wide overview contained in the annual report, a detailed report at the end of the fiscal year on all their trust funds. Trust fund completion reports will continue to be provided after the closing of each trust fund.

**Expenditures by region**



**Donor contributions**





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## Publications/Publications/ Publicaciones\*

### Global

98–99 Report

*Methodology for Participatory Assessments,*

Rekha Dayal, Christine van Wijk, and

Nilanjana Mukherjee.

*Supply Chains: A Global Initiative.*

### Andean Region

*El Agua en la Cultura Andina.*

*Boletín Agua Nos. 2–5,* Comité Sectorial de Agua y Saneamiento.

*Compendio de Tecnologías Apropriadas,* Centro Panamericano de Ingeniería Sanitaria y Ciencias del Ambiente (CEPIS), Organización Mundial de la Salud/Organización Panamericana (OMS/OPS) de la Salud y Programa de Agua y Saneamiento–Región Andina.

*Descentralización, Gobierno Local y Saneamiento Básico Rural: Estudio de Caso en Ecuador.*

*Diagnóstico Rápido y Participativo de los Servicios de Agua y Saneamiento Rurales,* Alain Mathys y Shirley Claire.

*Estudio Costos en Proyectos Rurales que Proveen Agua en la Región Andina.*

*Experiencias con Algunos Modelos de Gestión Municipal, Proyectos de Agua y Saneamiento Rural,* Superintendencia Nacional de Servicios de Saneamiento (SUNASS), Programa de Agua y Saneamiento–Región Andina, Lima, Perú.

*Guía de Tecnologías Apropriadas,* Centro Panamericano de Ingeniería Sanitaria y Ciencias del Ambiente (CEPIS), Organización Mundial de la Salud/Organización Panamericana (OMS/OPS) de la Salud y Programa de Agua y Saneamiento–Región Andina.

*Improving Periurban Water and Sanitation Services: Early Lessons from the El Alto Pilot Project,* Alain Mathys and Kristin Komives.

*Juntas Administradoras de Servicios de Saneamiento, Directiva sobre Organización y Funcionamiento.*

*Lecciones Aprendidas,* Programa de Agua y Saneamiento–Región Andina, Ministerio de Salud Pública del Ecuador, Ministerio de Desarrollo Urbano y Vivienda.

*Lecciones Aprendidas,* Proyectos de Agua y Saneamiento Rural.

*Modelos de Implementación, Proyectos de Agua y Saneamiento Rural,* Natalie Vesco y Oscar Castillo.

*Propuesta de Normas de Diseño para Infraestructura de Servicios de Agua y Saneamiento en el Area Rural,* Lima, Programa de Agua y Saneamiento–Región Andina, y Ministerio de la Presidencia, Perú.

*Seminario-Taller: Mejoramiento de la Sostenibilidad en los Proyectos de Agua y Saneamiento en el Area Rural.*

*Los Servicios de Agua y Saneamiento en la Selva: El Caso de ITDG en San Martín.*

*Taller Condominial Santa Cruz de la Sierra,* International Finance Corporation, Superintendencia de Saneamiento Básico de Bolivia y Programa de Agua y Saneamiento–Región Andina.

*Tecnologías Apropriadas: Diseño y Construcción de Tanques de Ferrocemento.*

*La Iniciativa Periurbana de Agua y Saneamiento: Focus y Equipo del Proyecto Piloto El Alto (video).*

### East and Southern Africa

*Amhara Operations and Maintenance Study and Workshop*

*Des Communautés Saines (video).*

*Community Water and Sanitation Project (COMWASH) Identification Workshop.*

*l'Eau Potable en Milieu Rural au Rwanda: Revue de la Capacité des Régies Associatives.*

*Financing Community Water Supply and Sanitation.*

*Healthy Communities (Portuguese version), Independent Water and Sanitation Providers in African Cities: Full Report of a Ten-Country Study,* Bernard Collignon and Marc Vezina.

*Kibera Technical Option for Sanitation.*

*Kigali Sanitation Planning Workshop, Vol. I.*

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*Responsiveness, Community Participation, Gender, and Poverty Sensitivity.*

*MIS for Community-Based Environmental Sanitation in Addis Ababa.*

*M&E Capacity Building Workshop, including manual.*

*Small-Scale Independent Providers Water and Sanitation to the Urban Poor: A Case of Dar es Salaam.*

*Small-Scale Independent Providers of Water and Sanitation to the Urban Poor: A Case of Kampala.*

*Small-Scale Independent Providers of Water and Sanitation to the Urban Poor: A Case of Mombasa.*

*Small-Scale Independent Providers of Water and Sanitation to the Urban Poor: A Case of Nairobi.*

*Sustainability: Productive Use of Water, Kabuku Water Project (video). Water and Sanitation Services to the Urban Poor: Small Service Providers Make a Big Difference.*

## **West and Central Africa**

*L'Experience PADEAR au Bénin des Latrines Familiales Non-subventionnées: Le Marketing Social et la Promotion de Petit Secteur Privé.*

*The Experience of Non-subsidized Household Latrines through Social Marketing and the Promotion of the Small-Scale Private Sector: The Case of the PADEAR Program in Benin.*

*Gestión Comunitaria de Mini-Redes de Abastecimiento de Agua Potable.*

*Posibilidades y Límites de los Proveedores Privados de Agua: los Operadores Independientes en el África Francófona, Bernard Collignon.*

## **East Asia and the Pacific**

*Environmental Sanitation (VES) Program in Indonesia.*

*Evaluation of the Community-Managed Activities Component of the AusAID-Supported NTB ESWS Project.*

*Glossary of Water Supply and Sanitation Technical Terms (English-Lao), National Water Supply and Environmental Health Programme and Water and Sanitation Program-East Asia and the Pacific.*

*Good for Business: Women Are Better Customers of Urban Water Supply Services.*

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*Manual on the 12-Step Approach in Participatory Planning and Implementation. Part A: Participatory Planning Steps.*

*Myth vs. Reality, Sean Foley, Anton Soedjarwo, and Richard Pollard.*

*Of the People, by the People, for the People: Community-Based Sewer Systems in Malang, Indonesia Study of*

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*User's Manual on Informed Choice for Rural Water Supply, National Water Supply and Environmental Health Programme (Naam Sa'at), Water and Sanitation Program-East Asia and the Pacific, and UNICEF, Lao, PDR.*

## **South Asia**

*Ahmedabad Parivartan.*

*Community Initiatives in Operation and Maintenance of Urban Services Community Partnership in Operation and Maintenance: Public Sector Water Corporation Leases Out O&M to Users, Meerut, India.*

*Credit Connections: Meeting the Infrastructure Needs of the Informal Sector through Microfinance in Urban India.*

*Empowerment through Entrepreneurship in Water and Sanitation: Women's Mela at Chitrakoot, India.*

*First Annual Retreat of the India Country Team, Cochin, July 26-27, 1999.*

*Flow and Utilization of Urban Poverty Funds, Nagari, The Urban Think Tank 10, February 25, 2000, Hyderabad.*

*Decentralized RWSS Management: Gram Panchayats vs Village Water and Sanitation Committees. Jal Manthan: Rural Think Tank 2, July 28, 1999.*

*Jalvaani: Vol. II No. 3, July-Sept. 1999.*

*Jalvaani: Vol. II No. 4, Oct.-Dec. 1999.*

*Jalvaani: Vol. III No. 1, Jan.-March 2000.*

*Jalvaani: Vol. III No. 2, April-June 2000.*

*Marasta: A Process Monitoring Newslink. Marketing Sanitation in Rural India.*

*Municipal Management and Finance in Southern Punjab: Vol. 1: A comparative Study of Four Municipalities/ Vol. 2: City Reports of Four Municipalities.*

*Municipal Management Series: Case study of four medium sized cities in southern Punjab, Shehr Ki Duniya.*

*Municipal Management Series: Issue 1: Octroi in Four Municipal Councils of Southern Punjab, Shehr Ki Duniya.*

*Municipal Management Series: Issue 2: Costing Basic Services for the Urban Poor, Shehr Ki Duniya.*

*New Approaches to Promoting Sanitation in Rural Bangladesh.*

*Pipe, Pole and Politician: Positive Politics in Azad Jammu and Kashmir Water Study.*

*Politicians for Reform: Proceedings of the State Water Ministers Workshop on Rural Water Supply Policy Reforms in India.*

*Private Sector Participation in Provision of Water and Sanitation Services to the Urban Poor. Nagari, The Urban Think Tank 9, October 29-30, 1999, Chennai.*

*Process Monitoring for Improving Sustainability: A Manual for Project Managers and Staff.*

*Small Private Initiatives (SPI) in the Water and Sanitation Sector (India) 1: Privatizing the Operation and Maintenance of Urban Water Supply, Ajmer, India.*

*Small Private Initiatives (SPI) in the Water and Sanitation Sector (India) 2: Sustainable Community Management of a Multi-village Water Supply Scheme in Kolhapur, India.*

*Small Private Initiatives (SPI) in the Water and Sanitation Sector (India) 3: Profits from Waste: An NGO-led Initiative for Solid Waste Management in Lucknow. India.*

*Small Private Initiatives (SPI) in the Water and Sanitation Sector (India) 4: Villagers Treat Water As An Economic Good, Olavanna, India.*

*The Challenge of Gangtok. Nagari, The Urban Think Tank 11, June 17-18, 2000, Gangtok.*

*Water for India's Poor: Who Pays the Price for Broken Promises?*

\*Publications may be requested free of charge through our website ([www.wsp.org](http://www.wsp.org)) or by sending an email to [info@wsp.org](mailto:info@wsp.org).

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