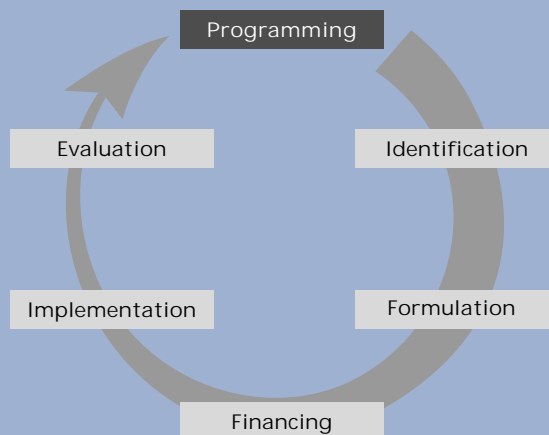


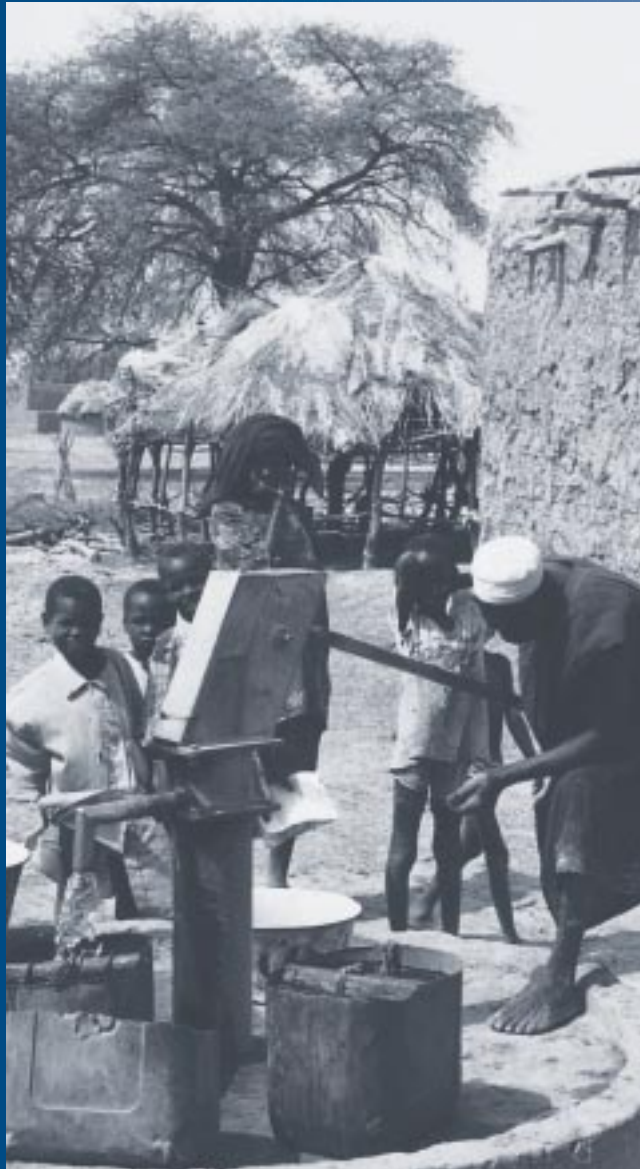
# Programming

*The establishment of general guidelines and principles for EC co-operation with partner countries*

## Chapter 6



The purpose of the programming stage is to assess whether, and what form, development co-operation should be considered. Programming analyses current needs and policies in a country or region, and identifies opportunities for EC support. As water is fundamental to social and economic development, this chapter sets out to decide on priority Focus Areas for support in order to achieve an integrated approach to water resources management.



# Programming

The programming phase provides an opportunity to review all national, regional and local factors relating to water, and the policy and operational context for water-related development co-operation.

During this phase, priorities will be identified for potential water-related activities within the wider context of national development objectives, indicating which Focus Area(s) are most in need of support.

At the programming phase, a truly integrated approach which balances needs and possibilities within an overall water resources management framework is practicable and easy to apply. However, an integrated approach requires a wide range of information collection and analysis. A standard format for a country study is given in Part III, Chapter 15, which can be used together with the checklists given below.

The essential questions for the programming phase are:

- Is EC development co-operation needed for water resources?
- In which Focus Area(s) and by what kinds of support would development co-operation be most beneficial?

Checklists have been developed to correspond to the following four steps in the programming process:

**Step 1:** Assessing the need for water resources support;

**Step 2:** Determining the capacity of recipients to take on and manage programmes;

**Step 3:** Identifying complementary activities in other sectors and by other donors and assessing the compatibility of any proposed programme;

**Step 4:** Identifying the priority focus areas for support.

## Checklist for Step 1: Assessing needs

*All support should be demand-driven, fully endorsed by the partner country, and developed in consultation with the target groups.*

- What is the priority given to water resources in national development policy, including issues in which water resources are critical such as survival, health, natural resources conservation or food production, even if they are not specifically stated?
- Is there adequate political support to make policy implementation feasible?
- Is there adequate conformity between Government policy at national level, and the local-level problems and needs being tackled by local and community-based organisations?
- What type of requests in the past has the partner government made to donors for support in issues related to water resources or where water may play a significant role?
- Are there indications that water issues are of concern to the people (through NGOs, media reports, pressure groups etc.) and how is the government responding to the people's concern?
- Are associated issues, such as land use, pollution, etc., prominent, and is the government committed to resolving constraints between water and other associated issues, such as energy, navigation and tourism?

*Some countries may be fully aware of water resources issues and make appropriate plans whilst others are unaware or take a short-term view.*

- Is the country, or some regions, now facing water scarcity or stress or likely to do so in the near future?
- Does it appear that the country needs support in order to manage its water resources adequately?
- If no water policy exists, or is inadequate, should help be provided to prepare one?
- Do current government policies demonstrate an awareness of water resources issues and the possibility of conflicts between users?
- To what extent are people's wants and needs known and understood and is improved water resources management critical to the social well-being of the entire country or of specific regions within it?
- Does the government recognise the need for an integrated/over-arching water resources policy that ensures that water resource needs of different sectors are addressed?
- Is present legislation adequate to manage water resources effectively and, if not, can EC provide co-operation to rectify this?

*In formulating any programme or action plan for water resources, care is needed to avoid contradictions between water-related sectoral policies such as those for agriculture, energy and transport, and environmental policies.*

- What is the current level of commitment, both in policy and practice, to maintaining biodiversity and protecting the aquatic ecology?
- Is the government already committed to water resources development and management and does it appreciate the importance of an integrated approach?
- To what extent are the non-consumptive aspects of water resources, such as in-stream use, hydropower, flood control, recreation, and navigation taken into account in water policies or proposed development plans?
- Have proposed project plans or programmes been developed in consultation with the various sectoral and sub-sectoral agencies?

*Policies established by government should be developed in consultation with the various stakeholders to ensure that conflicting interests are reconciled as far as possible and that the policy is acceptable to them.*

- Are there indications that the government policy and actions on water benefit the poor and disadvantaged rural or urban populations and that they are included in the development process?
- To what extent is there conflict between users (both consumptive and non-consumptive) and between use and conservation? Is attention/awareness paid to this?
- Are transboundary issues significant to water resources management and is the government party to treaties or agreements with neighbouring countries?
- Are there conflicts over water between neighbouring administrative regions of the same country?

Based on the above assessment of needs, decide whether:

1. There is a need for support to water resources in the country or region, *or*
2. Water resources do not appear to be a critical issue, or the country is confident that it can adequately manage water resources without EC development co-operation, *or*
3. There is inadequate information available to make a decision; in this case consider whether policy support and water resource assessment and planning should be given a high priority in the country or regional programme.

## Checklist for Step 2: Capacity to take on and manage programmes

*A water resources programme can only be effectively implemented if there is adequate capacity within government and partner organisations to handle the institutional, technical and financial demands contained within it.*

- What is the past record with EC and other donor supported programmes in water resources? Do evaluations of recent programmes/projects offer useful indications?
- Are customary rights, transboundary disputes or other legal issues a constraint to effective support to water-related activities?
- Is the institutional structure adequate for effective management and do the key organisations have clear, legally defined mandates?
- How many key agencies are there at the higher tiers of authority and are they capable of managing water resources in a holistic and co-ordinated way?
- Is institutional reform needed, and if so, is the government aware and supportive of reform?
- What is the present condition of the water resources infrastructure, and if it is in poor condition, why has this occurred?

*There are a number of mechanisms for the provision of EC support. It is important to identify the most suitable mechanism during the programming phase and to ensure adequate local funding is available.*

- How are different types of water-related activities presently financed, and to what extent is cost recovery considered?
- Is the country able and willing to support local recurrent costs and make adequate budgetary allocations for proposed water resources activities?
- Does the country have the capacity to handle large conventional infrastructure projects or would smaller-scale intervention be more appropriate?
- Which mix of EC funding mechanisms is most appropriate for interventions in water resources?
- Is the type of intervention proposed within the administrative, financial, and managerial capacity of the country?

*Development co-operation can, in certain circumstances, be provided to agents other than central government under Decentralised Co-operation (see Part III EC Resources) and other budget lines for NGO support and micro-projects.*

- Is the central government receptive to and supportive of direct donor partnership with non-governmental organisations?
- Do NGOs exist which are representative of civil society's interests and needs concerning water and can they reliably manage EC support?
- Do the identified organisations carry popular confidence and support, as well as respect from government?
- Does the government support the principle of devolving power, notably responsibility for operation and maintenance of service installations, to the lowest appropriate administrative level?

*Many local organisations lack capacity, which has led in the past to successful participation but poor implementation, monitoring, and follow-up.*

- Do the partner organisations have the technical and managerial capacity to manage projects and, if this is weak, is there adequate assistance locally to support them?
- What is the professional competence of the potential partner organisations involved in water resources, including local associations and NGOs, and do they understand EC requirements?
- Are all parties aware that project support through NGOs may require more operational flexibility and careful monitoring and management by the EC?

Based on the above assessment of capacity decide whether:

1. Policies and capacity are adequate for significant EC support to water resources development and management, *or*
2. Policies and capacity are adequate in general but there are specific weaknesses that would have to be addressed as part of any programme, *or*
3. Capacity is weak and support should be initially focused on dialogue with the country to determine ways to reform policies and strengthen capacity.

*Also decide whether:*

4. Indications are that direct support to NGOs (extra-governmental support) would be appropriate and bring additional benefits if used in conjunction with other types of support, *or*
5. Government capacity is weak but opportunities exist for extra-governmental support, *or*
6. Local conditions and government priorities do not favour extra-governmental support.

### Checklist for Step 3: Compatibility and complementarity

*Water resources development and management must be assessed with regard to compatibility with the overall development plans of the country.*

- Do national development plans include measures to ensure the sustainable use of water resources?
- Are environmental aspects (including in-stream use) of water treated seriously and addressed in policies related to other sectoral activity?
- Is water a key element of many economic activities and becoming a constraining resource?
- What options are available for meeting current and future water needs, and have alternatives to supply augmentation been considered?
- Are complementary measures needed in other sectors to achieve a more integrated approach to water resources management?
- Are the policies in other sectors compatible with sustainable water resources development and management, as set out in the Guiding Principles?

*The EC must ensure that any programme does not conflict with other donor activity and vice versa.*

- What support are other donors providing in water resources or water-related activities and is water considered a high priority or taken for granted – is there coherence/co-ordination on water resources issues?
- What other assistance is presently being provided by EC in water resources development, and does it provide guidance on future programmes?
- Does support by the EC or other donors in other sectors complement or conflict with possible interventions for water resources?

Based on the above assessment of compatibility decide whether:

1. Activities in other sectors or by other donors can be effectively complemented by EC support to water resources; *or*
2. There is some overlap or other incompatibility with activities in other sectors or being undertaken by other donors; this should be resolved prior to EC support to water resources; *or*
3. Activities already underway in other sectors or by other donors suggest that EC support to water resources may be inadvisable under current circumstances.

## Checklist for Step 4: Identifying priority Focus Areas

*It is important to identify which Focus Area(s) is/are most in need of external support. This priority setting has to fit within an overall programme based on responses to the earlier key issues.*

- Is there a particular area of water use or management critical to social and economic well-being?
- What is the place of the different Focus Areas within existing national and regional plans and international co-operation?
- Do policy conflicts make holistic planning difficult or reduce the possibility of support to any of the Focus Areas?
- Does the government specify and apply priorities between domestic, agricultural, and industrial water use?
- Do existing laws relate to water, and if so, do they provide a basis for actions in improving water resource utilisation and management?

*An adequate knowledge base is crucial to reasoned planning and decision making on water resources development and management.*

- Is technical information readily available on the quality and quantity of water sources, including surface water, soil moisture, and aquifers? If not, will lack of information constrain effective planning?
- Are predictions of future supply and demand being made on the basis of realistic assumptions, and do they take into account non-consumptive uses of water?
- Are the numbers of people in rural and urban areas without clean water or sanitation known, and is there adequate information on water- and waste disposal-related health issues?
- Is information available on the agricultural use of water and those served?
- What is the potential for increasing food productivity through irrigation, land drainage or flood control?
- Is the strategic role of 'virtual water' (see *Part III*) understood and taken into account in assessing the need for irrigated agricultural production?

## Possible Responses to Assessment of Steps 1 to 4

Each partner country is unique and their categorisation should not be too prescriptive. However, as a guide, the responses to steps 1 to 4 can help to identify the priorities for EC support, which should be discussed with the country. The following sets out a general basis for selecting different programme responses based on the impression gained from the issues raised in steps 1 to 4. Three categories can be determined:

### Category A:

A recipient country or region in this category is likely to have weak institutions, with minimal evidence of good governance in general; specifically, it will be either unaware of, or have limited commitment to, sustainable management of water resources. The country probably has little capacity to manage large programmes even though the need is evidently great. In such cases, EC Development Co-operation should focus on:

- projects or programmes which help the government to improve policy, and legislation, strategy formulation, and assistance to identify priority programmes;
- the provision of basic services, capacity building, and improvement and re-organisation of institutions. However, considerable care will be needed in preparing projects and require the judicious use of technical assistance. It is likely that such countries will be most in need of EC support and a decision to refuse investment in water-related interventions should only be taken if no suitable partners for development can be identified.

Support for infrastructure will need to be designed to help the poorest in such a way that minimum external assistance is needed once work is completed. In this context community ownership may be critical and key partners need to be identified to help reduce the risk of unsustainable services. Indigenous local technology or the careful selection of appropriate modern technology will be needed.

The role of NGOs or community-based organisations and innovative funding instruments such as decentralised co-operation may have an important role. Support should be given to awareness-raising and knowledge generation, such as hydrological assessments, that will be useful for later, more extensive interventions and permit better planning and management of water resources.

Focus Area 1 (WRAP) will be important but appropriate support within Focus Area 2 (BWSS) and Focus Area 4 (AWUM) should also be considered.

**Category B:**

In this category there is likely to be clear evidence of a commitment to good governance in general and an awareness of, and desire for, equitable and sustainable water resources development and management (including perhaps some policy strategies in preparation). This should include an acceptance of the importance of stakeholder involvement and evidence of programmes to improve human resources capacity that should make EC interventions fundable. EC support can be more extensive than for category A as the risk of a poor response to EC Development Co-operation is much reduced. Support may still be required for:

- improving policy, strategy, legal and regulatory frameworks to improve water resources management and build on any existing work;
- assistance to increase the participation of stakeholders and, in particular, facilitating the increased involvement of the private sector;
- encouraging capacity building and institutional improvements at all levels;
- giving increased importance to cost recovery via service charges – with progressive steps towards equitable tariffs – to allow reductions in state subsidies;
- support for knowledge generation – strengthening data and information systems.

All focus areas should be considered for support as long as suitable partners can be identified that will take ownership of the projects or programmes.

**Category C:**

In category C the country is likely to be politically stable with clear evidence of progress towards instituting a systematic approach to water resources development and management, including legal and regulatory frameworks, capacity building and private sector development. In such countries there is likely to be an awareness of, and commitment to, the modern concepts of water resources management. EC Development Co-operation could provide support for:

- devolution of responsibility to lower administrative tiers or to the private sector, including capacity building for local government, the private sector, and community organisations in water resources development and management;

- assumption by central government of a planning, legal, regulatory, and facilitating role including re-allocation of water resources between sectors; and the establishment of a framework for increased public-private partnerships;
- measures to introduce pollution control, wastewater treatment and re-use, and charges to industry for pollution of water courses or aquifers;
- the adoption of demand management measures to ensure reliable supplies, including rehabilitation of existing structures or other measures which minimise the need for new infrastructure;
- the improvement of integrated management through increasing knowledge about cross-sectoral linkages leading to a multisectoral approach to water resources development and management, including positive participation in managing transboundary waters;
- the provision of more sophisticated knowledge and data generation and computerised management information systems.

All Focus Areas should be considered for support.