

# AFRICAN DEVELOPMENT BANK GROUP



## INDEPENDENT DEVELOPMENT EVALUATION

### EVALUATION OF THE AFRICAN DEVELOPMENT BANK'S ASSISTANCE TO THE WATER SECTOR

*From Infrastructure to Services Delivery and Behavioral Change*

#### APPROACH PAPER

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## Acknowledgments

Task Manager	<b>Joseph MOUANDA</b> , Principal Evaluation Officer
Other contribution provided by	<b>Jacqueline NYAGAHIMA</b> , Communication and Knowledge Specialist <b>Mabarakissa DIOMANDE</b> , Evaluation Officer <b>Michel Aka TANO</b> , Junior Consultant – Economist Statistician <b>Ayari HENDA</b> , Archivist/Documentalist
Division Manager	<b>Rafika AMIRA</b>
Evaluator-General	<b>Rakesh NANGIA</b>

## Abbreviations and Acronyms

AfDB	African Development Bank Group
AMCOW	African Minister's Council on Water
AWM	Agricultural Water Management
AWF	African Water Facility
AWV	Africa Water Vision
IWRM	Integrated Water Resources Management
MDGs	Millennium Development Goals
MDWPP	Multi-Donor Water Partnership Programme
NEPAD	New Partnership for Africa's Development
OWAS	AfDB's Water and Sanitation Department
RMCs	Regional Member Countries
RWSSI	Rural Water Supply and Sanitation Initiative
SDGs	Sustainable Development Goals
UA	Unit of Account
USD	United States Dollar
WASH	Water Sanitation and Hygiene Promotion
WHO	World Health Organization
WSS	Water Supply and Sanitation

## I. CONTEXT

### 1.1 Background

The African Development Bank Group approach to water has been shaped in recent years by an evolving international, and increasingly African, consensus that recognizes the importance of water for the achievement of wider development objectives, particularly the MDGs and actual SDGs. Poor access to water, for households and industry, is a major constraint to economic growth and poverty reduction and to development in Africa more generally. The main guiding instruments for the Bank's water activities are *The Africa Water Vision 2025* and political commitments made over the years by the African Minister's Council on Water (AMCOW). The Africa Water Vision 2025, launched at the Second World Water Forum in The Hague in 2000, foresees an Africa where the use and management of water resources are equitable and sustainable and contribute to poverty alleviation, socio-economic development, regional cooperation, and the environment. Yet access to water and basic sanitation services has stagnated or worsened in some places.

The goal of the Africa Water Vision<sup>1</sup> (AWV) is "equitable and sustainable use and management of water resources for poverty alleviation, socio-economic development, regional cooperation and the environment" which clearly places water at the centre of wider development objectives in Africa. To ensure leadership and sufficient political support for the AWV, the Africa Union set up AMCOW in 2002 and made it responsible for the implementation of AWV's objectives. AMCOW established the *African Water Facility* (2004) hosted and managed by the African Development Bank. The Bank's activities in the water sector are therefore linked directly to high-level political structures that support the development of water in Africa.

**Water for Health.** Providing safe drinking water and improved sanitation is one of the major challenges facing African countries. National, regional, continental, and international policy documents, strategy papers, declarations, and conventions clearly lay out the issues and make this a priority. For the African Development Bank Group as many development partners, clean water and improved sanitation are a priority.

In terms of the world's water situation, there is good news: things are getting better. *WHO/UNICEF JMP 2015 Update Report* (WHO/UNICEF, 2015) indicates that, over the past two decades there has been considerable progress. Access to safe drinking water has increased by 15 percentage points from 76 percent in 1990 to 91 percent in 2015 with about 2.6 billion people having gained access to an improved drinking water source. The MDG target of 88 per cent by 2015 was surpassed in 2010, and in 2015, around 6.6 billion people, or 91 per cent of the global population, used an improved drinking water source and enjoyed the convenience and associated health benefits of piped supply on their premises, versus 82 per cent in 2000. Moreover, MDG assessment and progress towards the Sustainable Development Goal (SDG) indicated also that, as for sanitation, about 2.1 billion people have gained access to an improved sanitation facility from 1990 to 2015. During this MDG period, the share of the world population using improved sanitation facilities has increased from 54 per cent to 68 per cent globally. The global MDG target of 77 per cent has therefore been missed by nine percentage points representing almost 700 million people. In 2015, 2.4 billion people (representing 32 per cent of the global population) still use unimproved sanitation facilities with inequalities in access to improved sanitation between rural and urban areas. Globally, it is

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<sup>1</sup> Adopted at the second World Water Forum in The Hague in 2000.

estimated that 82 per cent of the urban population now uses improved sanitation facilities, compared with 51 per cent of the rural population.

However, despite significant progress, much still remains to be done. It is estimated that 663 million people worldwide still use unimproved drinking water sources, including unprotected wells and springs and surface water. The majority of them now live in two developing regions (Sub-Saharan Africa and Southern Asian). In fact, nearly half of people using unimproved drinking water sources live in sub-Saharan Africa, while one fifth live in Southern Asia. The vast majority of those who do not have access to improved drinking water sources live in rural areas. They represent about 79 per cent of the people using unimproved water sources and 93 per cent of people using surface water. In addition, while the use of improved sanitation has also increased in Sub-Saharan-Africa, progress delays considerably. Access to improved sanitation water has increased by 12 percentage points from 38 percent in 1990 to 50 percent. In 2015, about 695 million people do not use an improved sanitation facility. It's however important to note that open defecation in Sub-Saharan-African decreased from 36 per cent to 23 per cent in the same period. Moreover, sanitation coverage in rural areas still lags behind urban areas.

**Water for Food.** Agricultural water or “water for food” is concerned with making water available and accessible for agricultural purposes. The measures taken in this respect involve variable combinations of irrigation, drainage and flood control, water conservation and storage, on-farm water management, and institutional support to improve sustainability, user operation and management. Collectively, these interventions are called Agricultural Water Management (AfDB/OPEV, 2011).

As noted in the draft AfDB Group Water Policy, Agriculture is the largest water consumer in Africa, with an annual usage of about 86 percent of the total water withdrawal according to the Food and Agriculture Organization of the United Nations<sup>2</sup>, hence the strategic agricultural use and management of water<sup>3</sup> is key to both water and food security, particularly in pursuance of SDG Goal 2, which seeks to end hunger, achieve food security and improved nutrition and promote sustainable agriculture and Goal 11, which is to make cities inclusive, safe, resilient and sustainable.<sup>4</sup> Current trends towards agricultural modernization and intensification are expected to have significant impacts on the volume of ground and surface water utilisation. Attaining water security will therefore be a necessary condition for food security and sustainable agricultural growth”.

**Water Challenges.** The situation of “water for health” and “water for food” is getting harder making the step forward challenging. The difficulties are related to: water situation, water crisis, climate change issues, and economic fallout (ECG, 2011). For instance, both the 2015 and 2016 World Economic Forum's Global Risk Reports have indeed identified water shortage and overuse as the biggest societal and economic risk for the next ten years highlighting the need for greater and concerted effort (AfDB/OWAS, 2016, p.1).

Water scarcity, which can broadly be understood as the lack of access to adequate quantities of water for human and environmental uses, is increasingly being recognized in many countries as a serious and growing concern. A recent report, “High and Dry: Climate Change, Water, and the

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<sup>2</sup> [http://www.fao.org/nr/water/aquastat/countries\\_regions/profile\\_segments/africa-WU\\_eng.stm](http://www.fao.org/nr/water/aquastat/countries_regions/profile_segments/africa-WU_eng.stm)

<sup>3</sup> Agricultural uses of water included in the aspects of irrigation, drainage, diversions, water storage, ground water recharge and surface water management, salinity control and land reclamation, water logging, watershed management, flood control, climate change mitigation, drought resilience, water harvesting and conservation.

<sup>4</sup> <http://www.un.org/sustainabledevelopment/cities/>

Economy" (World Bank, 2016), finds that unless action is taken soon, water will become scarce in regions where it is currently abundant - such as Central Africa - and scarcity will greatly worsen in regions where water is already in short supply - such as the Middle East and the Sahel in Africa. In the same way, a 2012 report on water scarcity (Chris White, 2012) indicated the projected level of water scarcity and stress in some African countries<sup>5</sup>. It concludes that countries like Morocco, Tunisia, Algeria, Libya, Egypt, Ethiopia, Kenya, Somalia, Rwanda, Burundi, Malawi and South Africa will experience water scarcity in 2025. Moreover, the combined effects of growing populations, rising incomes, and expanding cities will see demand for water rising exponentially, while supply becomes more erratic and uncertain.

In addition, United Nations report highlighted for instance the fact that "Holistic management of the water cycle means taking into account the level of "water stress", calculated as the ratio of total fresh water withdrawn by all major sectors to the total renewable fresh water resources in a particular country or region. Currently, water stress affects more than 2 billion people around the world, a figure that is projected to rise. Already, water stress affects countries on every continent and hinders the sustainability of natural resources, as well as economic and social development. In 2011, 41 countries experienced water stress, an increase from 36 countries in 1998. Of those, 10 countries, on the Arabian Peninsula, in Central Asia and in Northern Africa, withdrew more than 100 per cent of their renewable fresh water resources. (United Nations, 2016)

Therefore, the African Development Bank's long-term strategy, "At the Center of Africa's Transformation", which sees Africa as the next global emerging market point to the fact that water security is a core driver of Africa's transformation. With only 5 per cent of Africa's unevenly distributed water resources developed, massive investments in integrated water development and management are critical for sustainable water, food and energy security, and for green and inclusive growth.

Climate change will affect supply of, and demand for water infrastructure services. Water is predicted to be the main channel through which the impacts of climate change will be felt by people, ecosystems and economies (ODI, 2014). Climate change is having a multitude of immediate and long-term impacts on water resources in African countries. These include flooding, drought, sea-level rise in estuaries, drying up of rivers, poor water quality in surface and groundwater systems, precipitation and water vapor pattern distortions, and snow and land ice mal-distribution (Kevin Chika Urama, et al., 2010). Impacts are already felt in African Countries around all regions (e.g. Nigeria, Cameroon, Kenya, Swaziland and Egypt) coupled with selected trans-boundary water resources (Lake Chad and Lak Victoria). Table 1 summarized the water services vulnerability to climate change.

Finally, as more people move to African cities, they are demanding better services, including clean water and basic sanitation services. Moreover, many of the people migrating to urban environments are concentrated in low-income informal settlements (commonly referred to as 'slums'), either within the central city or in peri-urban districts at the city's ever-growing periphery. These demands are putting pressure on local and regional water supplies. Finally, inadequate water and sanitation supplies leave communities vulnerable to a broad range of risks and significantly affect the economic progress in most African countries.

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<sup>5</sup> It illustrated the amount of renewable freshwater that is available for each person each year using the 'Falkenmark indicator' or 'water stress index'. If the amount of renewable water in a country is below 1,700 m<sup>3</sup> per person per year, that country is said to be experiencing water stress; below 1,000 m<sup>3</sup> it is said to be experiencing water scarcity; and below 500 m<sup>3</sup>, absolute water scarcity

Table 1: Summary of water services vulnerability to climate change			
Type of water services	Changes in Climate	Possible impact	Example resilience-building measures
Municipal and industrial water supply	Changes in precipitation patterns and quantities	Reduction in water availability, quality and security	Implement water use efficiency measures
Wastewater and urban storm water	More frequent heavy rainfall	Overload capacity of sewer systems and water and wastewater treatment plants	Increase capacity of drainage channels
	Periods of lower rainfall	Resulting lower flows lead to higher pollutant concentrations	Implement pollution warning system
Irrigation	Higher temperatures and levels of evapotranspiration	Greater demand for irrigation	Expand use of drip irrigation systems
	Increased variability in rainfall leading to reduced water availability	Increased pressure on existing sources of water for irrigation e.g. rivers and aquifers	Improve water efficiency

Source : World Bank, 2016, « Emerging Trends in Mainstreaming Climate Resilience in Large Scale, Multi-sector Infrastructure PPPs » - PPIAF January 2016

## 1.2 AfDB Policy Framework in the WSS and AWM

The African Development Bank involvement in Water Supply and Sanitation (WSS) and Agricultural Water Management (AWM) are based on some major corporate and sectoral policies and strategy documents summarized below:

**The African Development Bank Group's Ten Year Strategy (TYS 2013-2022)** highlights the critical role the water sector plays in Africa's transformation and states prominently that "Africa must develop and manage its vast natural resources sustainably, with water central to agriculture, energy, health, industry and mining". The strategy emphasizes that "massive investments in integrated water development and management are central to sustainable water, food and energy security for green and inclusive growth" (AfDB, 2012). Accordingly, the Bank's Water and Sanitation Department (OWAS) has defined three strategic pillars, aligned with the Bank's vision for the next decade: developing sustainable infrastructure and services for water security; promoting sector governance and knowledge management and; enhancing water sector collaboration and co-ordination to achieve integrated water resources management. These focus areas apply to both the urban and rural water (AfDB/OWAS, 2014a).

**The 2010 Bank's Policy for Integrated Water Resources Management (IWRM).** This policy called for a new approach to water resources development and management based on recognizing its competing needs and understanding its connections with socioeconomic development, water security, energy, food production, public health, the environment, and other public policy objectives. (See Annex 3 for some more information on the evolution of water and corporate policies and strategies at the Bank since 2000.)

**The New AfDB's Water Policy.** The over-arching objective of the new policy is to enhance Africa's water security and transform its water assets so as to foster sustainable, green and inclusive socio-economic growth and development. More specifically, the Bank aims (i) to promote the attainment of a minimum platform of water security at both national and regional level within the Continent with special focus given to areas of fragility; and (ii) to assist the countries and sub-regional groupings in harnessing and sustaining the productive potential of their water resources in support of their national and regional development agendas. To this end, the Bank will play a leading and premier partner role in actively promoting the development of Africa's water sector through sound and sustainable financial assistance and advisory services (AfDB, 2016a).



In line with the SDGs Agenda, the new policy moved to a concept of Water Security<sup>6</sup>. Therefore, improving water resources management and development and hence increasing water security in Regional Member Countries (RMCs) will therefore lie at the heart of this new water policy, which is aimed at superseding the previous one solely premised on the concept of IWRM. Much more holistic, the concept of water security has economic, social, and environmental dimensions, which embodies the IWRM principles and Nexus Approach.

**The 2000 Agriculture and Rural Development Bank Group Policy.** The specific objectives of this policy are to: (1) identify major constraints that limit economic growth in the agricultural sector and the rural economy and focus attention on specific areas where the Bank can develop comparative advantage for future leadership; (2) provide, based upon analysis of past experiences, a strategy by which the Bank's agricultural lending program can systematically address the major constraints; (3) provide a strategic framework for deepening and enriching the Bank's dialogue with member states, regional organizations, and other donors on agricultural rural development policy issues and country development programming; and (4) contribute to an improved operational framework to support more effective investments for agricultural and rural development (AfDB, 2000b).

**The Agricultural Sector Strategy (AgSS) 2010-2014.** This Strategy has been developed in parallel with the agriculture and rural development policy presented above. The strategy aimed at contributing to greater agricultural productivity, food security, and poverty reduction. The Bank's interventions under the AgSS focused on two pillars: (1) agricultural infrastructure; and (2) natural resource management. Areas of intervention included water-control management, construction and rehabilitation of rural roads, markets and storage infrastructure, agro-processing, and reduction of post-harvest losses. In both of these two pillars, AWM occupied a prominent position. For instance, agricultural infrastructure interventions will, among other things, focus on agriculture water storage and management to overcome the low, unreliable rainfall during the cropping season, and in situ rainwater management, water harvesting or run-off harvesting, and water management for crop growth in wetlands (AfDB, 2010).

**Strategy for agricultural transformation in Africa, 2016-2025.** This strategy represents the African Development Bank Group's contribution to the overall Agricultural Transformation Agenda, a pan-continental and multi-actor strategy to transform agriculture in Africa. It provides greater clarity on key intervention areas for the Bank and its partners to move forward implementing of the Agricultural Transformation Agenda. It also identifies seven enablers of transformation including: (1) Increased realized productivity; (2) Realize the value of increased production; (3) Increased investment in hard and soft infrastructures; (4) Expanded agricultural finance; (5) Improved agribusiness environment; (6) Increased inclusivity, sustainability and nutrition and (7) Partnership for agriculture transformation in Africa. Within this framework agricultural water management plays a key role in the transformation process (AfDB, 2016b).

Finally, the fifth High 5 is to "**Improve the quality of life for Africans**". Within this priority, the Bank aims at accelerating investments in urban infrastructure, public health and nutrition, water and sanitation, education, vocational training and skills development.

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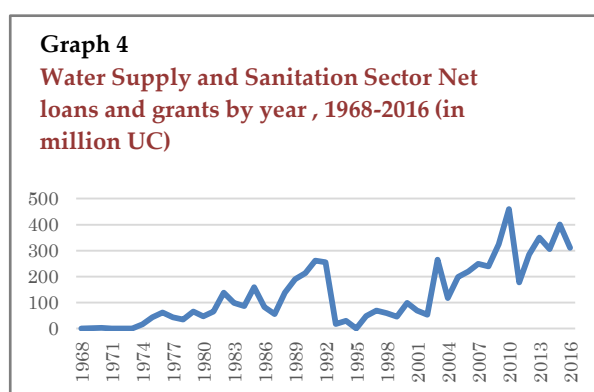
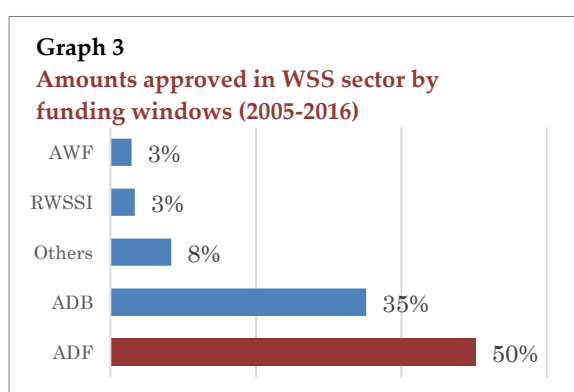
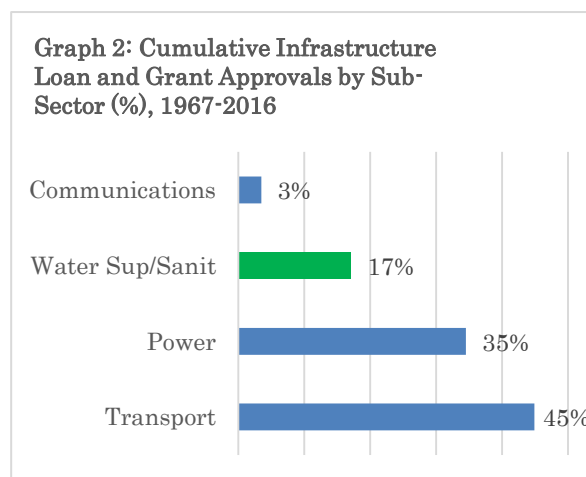
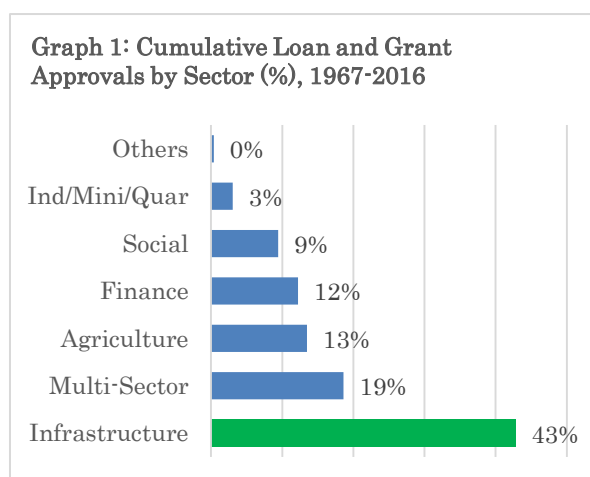
<sup>6</sup> Water security is the capacity of a population to safeguard sustainable access to adequate quantities of acceptable quality water for sustaining livelihoods, human well-being, and socio-economic development, for ensuring protection against water-borne pollution and water-related disasters, and for preserving ecosystems in a climate of peace and political stability. (UN-Water 2013)

### 1.3 AfDB Interventions WSS and AWM

#### a) Engagement in Water Supply and Sanitation

Since 1968, AfDB has approved 607 loans and grants in the Water Supply and Sanitation (WSS) sector, which represents approximately UA 6.5 billion (USD 8.93 billion<sup>7</sup>) or 7 percent of all loans and grants approvals in all Bank's sectors of intervention during the period 1967-2016<sup>8</sup>. In 49 years of commitment in the Water Supply and Sanitation sector, most of the AfDB-funded WSS operations (50 percent of amount approved) has been financed during a period of 12 years from 2005 to 2016.

More specifically, between 2005 and 2016, the Bank invested a total of UA 3.5 billion in water supply and sanitation services delivery covering 274 operations of which 124 are completed. Of the total approvals for this period, around 61 percent funded investments in urban areas, improving the lives of the urban poor, serving industries and businesses and enhancing resilience to climate change risks. The other 39% provided water supply and sanitation services to communities in rural areas (AfDB/OWAS, 2016).



In terms of financing window<sup>9</sup>, the African Development Fund (ADF) funded 50 percent of the water supply and sanitation operations (approvals) over the period 2005-2016 while the African Development Bank window funded 35 percent of these approvals. The rural water supply and

<sup>7</sup> UA-USD conversion rate as at 25/11/16

<sup>8</sup> SAP, October, 28<sup>th</sup>, 2016

<sup>9</sup> The African Development Bank window here does not include MIC fund and Special Relied Fund as the African Development Fund window does not include the Fragile States Facility. These excluded funds are included in the group "Others".

sanitation initiative, started in 2003, has funded 3 percent of Bank's approvals in water supply and sanitation sector over the evaluation period (2005-2016). By December 31, 2014, the Initiative had mobilized a total of over 5.68 billion euros from the AfDB, other donors, African governments, beneficiary communities and the RWSSI Trust Fund. The initiative had, by then, yet provided water supply and sanitation access to over 97 million and 70 million people respectively (AfDB/OWAS, 2016).

The three regions of Africa that have benefited the most from water supply and sanitation operations are Eastern, Western, and Northern regions with respectively 29 percent, 22 percent and 22 percent of the Bank's water approvals portfolio for the period 2005-2016. Southern and Central regions are lagging behind with each 12 percent while multi Regions operations only represent 3 percent of this approvals portfolio.

Six Countries concentrate almost 50% of the Bank's approvals in the water supply and sanitation sector in Africa. These countries are: Morocco (UA 901 Million); Nigeria (UA 836 Million), Tanzania (UA 414 Million), Democratic republic of Congo (UA 401 Million), Kenya (UA 309 Million); and Ethiopia (UA 291 Million). The five countries receiving the lowest amounts in water supply and sanitation projects did not receive together (total approvals for the five countries) more than UA 20 million, the approvals adding up to UA 15.94 Million, which represents less than the average total approval for each of the six countries receiving the highest loans and grants to support their WSS sector.

#### **a) Engagement in Agricultural Water Management**

The African Development Bank has been one of the leading sources of assistance for agricultural water management (AWM) in Africa. Over the years, the Bank has invested relatively heavily in irrigation and drainage projects in support of African agriculture. The AfDB financed its first agriculture project operation in 1968 in Tunisia. Since then, it has approved 1410 loans and grants in the Agriculture sector, which represents approximately a total approval of UA 11.9 billion (USD 16.35 billion) or 13 percent of all loans and grants approvals in the various Bank's sectors of intervention during the period 1968-2016<sup>10</sup>.

Between 2005 and 2016, the Bank approved 340 operations (loans and grants) in the agriculture sector amounting around UA 3.6 billion of loans and grant approvals. About 34 percent of these operations were implemented in Western Africa region and 19 percent in Northern Africa. The rest of the regions each received between 10 and 14 percent of the total portfolio of operations. Expressed as a percentage of approvals (amounts) western Africa is still positioning as the leading region in terms of loans and grants received to fund agriculture loans and grants. This focus on western Africa, with 35 percent of all Bank's approvals in Agriculture sector for the evaluation period, is not surprising considering the potential of the region – much of it being underutilized with only 28 percent of arable lands planted in 2005 (AfDB, 2004a). About 20 percent of AfDB-funded agriculture operations were emergency interventions. However, these emergency interventions represents a negligible percent (only 1 percent) of the total approvals in this agriculture sector portfolio.

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<sup>10</sup> SAP, October, 28<sup>th</sup>, 2016

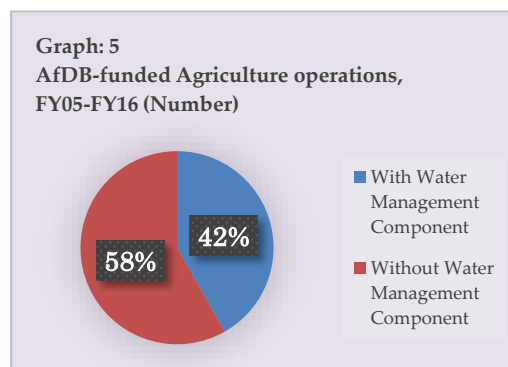
**Table 2 : Repartition of AfDB's agriculture projects by nature, 2005-2016**

<i>Project nature</i>	<i># of operations</i>	<i>% of # operations</i>	<i>Amount Approved (UA Million)</i>	<i>% of Approvals</i>
<b>Hard</b>	<b>202</b>	<b>59%</b>	<b>3158</b>	<b>88%</b>
Soft	69	20%	398	11%
Emergency	69	20%	52	1%
<b>TOTAL</b>	<b>340</b>	<b>100%</b>	<b>3609</b>	<b>100%</b>

Source: AfDB (SAP), 28th of October 2016

As for the studies, including project preparation studies, reforms and other soft interventions, they also represent about 20 percent of the total number of operations and 11 percent of the total approved amount. The type of intervention that dominates the portfolio both in terms of number of operations and in amount approved consist of investments in agriculture sector hard infrastructures and other hard loans and grants. They represents 202 operations out of 340 operations approved in agriculture sector between 2005-2016; this also represents 59 percent of the total number of loans and grants in the portfolio, and 88 percent of the total amount approved in this agriculture sector investment portfolio.

One of the main areas of intervention of the Bank to address water management issues in Africa concerns irrigation and drainage. Of the 340 operations in the Bank's agriculture portfolio for the period 2005-2016, 29 were irrigation and drainage loans and grants implemented in 15 countries. One half of the loans & grants funded by the Bank in this subsector were in Southern Africa, 48 percent in terms of number of projects and 51 percent in terms of amount approved. Both Southern and Northern Africa received more than 86 percent of the loans & grants in terms of number of loans and grants.



Apart from irrigation and drainage agricultural systems, many other agriculture operations incorporate water management components (e.g. rain-fed agricultural systems). Out of the total 340 Bank's agriculture operations, 144 (42 percent) had water management components, mainly boreholes drilling, construction of water control schemes, watershed management, irrigation and drainage. The details on the composition of the portfolio of agriculture loans and grants with water management components are below.

This 144 AWM operations database, the one from which loans and grants to be evaluated will be selected, are mainly composed of hard infrastructure operations (85 percent) followed by studies and other soft interventions (14 percent). In terms of approvals, these "hard infrastructure" projects represent 59 percent of the Bank's total investment in agriculture sector from 2005 to 2014. The fact that the share of loans and grants with water management components, in total agriculture portfolio for 2005-2016, is higher in amount approved (61 percent) than in number (42 percent) suggests that this configuration of operations has been more budget consuming than the configuration of loans and grants without water management components. The portfolio of agriculture loans and grants with water management components is also dominated by loans and grants in Western Africa both in number (50 out of 144 operations) and in amount (UA 772 Million out of UA 2213 Million).

The number of completed AWM loans and grants, out of the portfolio of 144 agricultural water management operations is 46 operations (32 percent of the portfolio in terms of number of projects). These completed agricultural water management loans and grants are composed of 13 loans and grants funded in western Africa; 11 in eastern Africa; 7 in Northern Africa; 9 in Southern Africa; 5 in central Africa; ; and one multinational project.

Of these completed AWM loans and grants, 63 percent were funded by the African Development Fund window<sup>11</sup>. This is due to the nature of the countries needing these kind of interventions - as they are low income countries still struggling to reach total food security. Even considering both ongoing and completed loans and grants, the share of ADF window's funding is still high as it is about 62 percent of the total amount approved.

**Bank's Analytical Work and Knowledge Products:** The Bank has delivered a number of analytical and advisory products over the decade considered and covered various areas such as water sector governance; hygiene and sanitation education; supply chains for operation & maintenance; monitoring and evaluation; and capacity development, among others. (See preliminarily list in annex 1).

#### 1.4 Water Sector Partnership Programs

The African Development Bank Group (AfDB) currently hosts a number of complementary initiatives which together enhance the effectiveness of the Bank's work and provides vital resources for scaling up and for promoting innovation and supporting knowledge management activities (See Box 1).

##### Box 1: The Bank's Four Special Water Sector Initiatives

- **The African Water Facility (AWF)** is an initiative of the African Ministers' Council on Water (AMCOW) that is administered by AfDB. It was established in 2004 as a Special Water Fund to help African countries achieve the objectives of the Africa Water Vision 2025 and the Millennium Development Goals (MDG). The AWF provides facilitation support to African countries for the creation of an enabling environment, and small scale investments piloting alternative approaches and technologies. It offers grants from Euro 50,000 to Euro 5 million to support projects that are aligned with its mission and strategy through a wide range of institutions and organizations operating in Africa. Its three strategic priority activities are (1) preparing investment projects to mobilize investment funds for projects supported by AWF; (2) enhancing water governance to create an environment conducive for effective and sustainable investments; (3) promoting water knowledge for the preparation of viable projects and for better-informed governance, leading to effective and sustainable investments. The AWF is funded by Algeria, Australia, Austria, the Bill and Melinda Gates Foundation, Burkina Faso, Canada, Denmark, the European Commission, France, Norway, Senegal, Spain, Sweden, the United Kingdom, and the African Development Bank
- **The Rural Water Supply and Sanitation Initiative (RWSSI)** was conceived by the Bank in 2002 and adopted by RMCs and donors in 2005 as the framework for increased financing for water supply and sanitation (WSS) in rural areas in Africa, towards universal access. In addition to funds from its mainstream instruments, the Bank also hosts the multi-donor RWSSI Trust Fund (RWSSI-TF) that provides supplementary and flexible grant resources used to catalyze the enabling environment and sustainability requirements for rural water supply and sanitation development and to leverage more resources for fragile, post- conflict and off-track states. Donors of the RWSSI Trust Fund are Burkina Faso, Canada, Denmark, France, Italy, the Netherlands and Switzerland. To date, the amount of resources mobilized into the RWSSITF is Euro 178,676,231. Of this amount, Euro 161,743,128 is committed, leaving a balance in the Fund available for commitment of Euro 16,933,103.
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<sup>11</sup> In the quantitative analyses of this document, the African Development Bank window does not include the Fragile States Facility. Here specifically, the FSF window did not fund any of the completed operations

### Box 1: The Bank's Four Special Water Sector Initiatives

- **The Multi-Donor Water Partnership Programme (MDWPP).** In existence since 2002, the MDWPP aims to promote effective water management policies and practices at regional and country levels, and to operationalize the Bank's Integrated Water Resources Management (IWRM) Policy in the RMCs. The Programme catalysed the establishment of key initiatives such as the AWF and RWSSI that have resulted in strengthening AfDB and RMC capacities for IWRM. The MDWPP also enabled the Bank to play a key role in promoting dialogue with regional actors on critical water sector issues. Donors to the Fund are the Netherlands, Canada and Denmark.
- **The NEPAD Water and Sanitation Program.** NEPAD's goals are threefold: to promote accelerated growth and sustainable development, to eradicate widespread and severe poverty, and to halt the marginalization of Africa in the globalization process. These goals translate into six concrete sectoral priorities: first, bridge the Infrastructure Gap (this priority is tackled along four different angles - bridging the Digital Divide, Energy, Transport, Water and Sanitation). Second, build human resources (this priority regroups four missions - reduce poverty, bridge the education gap, reverse the Brain Drain and improve health). Third, develop a strong and sustainable agriculture. Fourth, ensure the safeguard and defense of the environment. Fifth, spread and favor culture across the continent. Sixth, finally, develop science and technology.

The AfDB Water Sector Activities and Initiatives for 2015 indicated that since 2015 the Bank, through Water and Sanitation Department (OWAS)<sup>12</sup>, is also working on new initiatives related to Knowledge Management and Strategic Partnerships. These new initiatives include:

- *The Investment Guarantee Fund for the Water Sector* for which OWAS started assessing the feasibility and potential modalities for establishment at the request of the African Union (AU), and with funding from the Multi-Donor Water Partnership Programme (MDWPP). The aim is to support the achievement of the AU's Sharm el Sheikh Commitments to increasing domestic financing for water and sanitation and developing financial instruments and markets for investments in the sector. It is also in line with OWAS' recognition of the opportunities for Private Sector Participation (PSP) in Water Supply and Sanitation and the need for preparatory work to identify the drivers for private sector investments into the water sector. The study is ongoing and its findings will be ready in 2016.
- *Addressing Sanitation Challenges in Africa.* The Bank is complementing the OWAS/AWF project activities with a number of initiatives to address this challenge such as: i) Scaling Up Urban Sanitation in Africa Initiative (SUSAI) in collaboration with the Bill and Melinda Gates Foundation and ; ii) Evidence-Based Policy Support – Water Supply and Sanitation Atlas, together with UNEP.
- *Economic Water Insecurity (EWI).* The Bank, in collaboration with other regional and global players including the Global Water Partnership initiated assessments on the state of water insecurity in Africa and shared these experiences during the 2015 World Water Forum in Korea. The Bank is deepening the assessment to showcase the linkage between investments in water security and economic growth for case African countries. The products will be used as advocacy notes to encourage governments to increase investments for better resilience, growth and development.
- *Strengthening Strategic Partnerships for the Water and Sanitation Sector.* In 2015, the Bank's role and perception as a key sector player in Africa was highlighted when it was successfully

<sup>12</sup> Created in 2006, to lead and coordinate water sector activities and to promote IWRM across all Bank WSS interventions.

re-elected on both the Steering Committee of the Sanitation and Water for All - a global partnership; and on the Governing Board of the World Water Council. This followed the Bank's active participation in raising the profile for water security in Africa and at global events; through its support to RMCs and the African Ministers' Council on Water (AMCOW); and for its contributions to global dialogue and knowledge generation, notably related to the 7th World Water Forum's High Level Panel Report on *Financing Infrastructure for a Water Secure World* and the *Africa Region Perspectives Paper on Economic Water Insecurity*; as well as the Bank's contributions at the 4th AfricaSan Conference in Dakar, Senegal, whose theme was "Making Sanitation for All a Reality in Africa". The Bank has also continued to strengthen its partnerships for increased financing for the sector in Africa through co-financing of operations with partners like the World Bank, AFD, China (AGTF), among others. Knowledge management ties were also strengthened with partners like UNICEF, WSP (World Bank) and UNESCO-IHE and UNEP.

With regard to policies and strategies, as indicated the BDEV's IWRM Evaluation Approach Paper (AfDB/OPEV, 2011), the Bank's approach to water has been shaped in recent years by an evolving international, and increasingly African, consensus that recognizes the importance of water for the achievement of wider development objectives, particularly the SDGs. Poor access to water, for households and industry, is a major constraint to economic growth and poverty reduction and to development in Africa more generally. The main guiding instruments for the Bank's water activities are *The Africa Water Vision 2025* and political commitments made over the years by the African Minister's Council on Water (AMCOW).

The goal of the Africa Water Vision<sup>13</sup> (AWV) is "equitable and sustainable use and management of water resources for poverty alleviation, socio-economic development, regional cooperation and the environment" which clearly places water at the centre of wider development objectives in Africa. To ensure leadership and sufficient political support for the AWV, the Africa Union set up AMCOW in 2002 and made it responsible for the implementation of AWV's objectives. AMCOW established the *African Water Facility* (2004) hosted and managed by the African Development Bank. The Bank's activities in the water sector are therefore linked directly to high-level political structures that support the development of water in Africa.

**Water for Agriculture:** NEPAD's initiative for agriculture, called the Comprehensive Africa Agriculture Development Programme (CAADP)," prepared with the assistance of FAO. The initiative proposes to tackle Africa's agriculture, food security and trade balance through the following: extending the area under sustainable land management and reliable water control systems; increasing food supply and reducing hunger (through increasing access to technology and enhanced productivity); and improving rural infrastructure and market access. These activities are to go hand in hand with improved policy, good governance and other enabling measures. NEPAD's short-term action plan for trans-boundary water resources would need to develop synergies with the CAADP in order to take into account the large and sustainable water needs of irrigated agriculture (AfDB, 2004b).

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<sup>13</sup> Adopted at the second World Water Forum in The Hague in 2000.

## II. FINDINGS FROM PREVIOUS EVALUATIONS

### 2.1 Capacity strengthening of Urban WSS entities in RMCs<sup>14</sup>

The Bank's capacity strengthening assistance was in various forms. In its past interventions, the Bank used its credit leverage by way of applying loan conditions in order to bring about improvement in institutional, operational and financial performance of the entities.

Since 1989, Bank's assistance included capacity strengthening components in project financing. The most common ones were inclusion of training and logistical support components (such as spares and maintenance equipment, office equipment, motor cycles, vehicles, etc.). Such assistance was provided with the objective of facilitating project implementation and improving overall performance of executing agencies and service providing entities. The requirement to set up Study/Project implementation units, carry out organizational restructuring, reinforce the audit functions of the entities also became some of the areas for which technical assistance was provided to strengthen the capacity of the executing agencies and beneficiary utilities. The Bank has also been financing studies to be carried out by consultants to help RMCs' produce bankable projects. Over the years the Bank has financed several stand-alone studies in the water supply and sanitation sector. The water supply studies involved master plan studies, pre-feasibility studies, feasibility studies and/or detailed engineering design studies. The scope of these studies largely covered engineering and financial aspects in earlier years. It was since 1995 that the aspects of cross cutting issues were included in the Terms of Reference of studies.

The overall findings pointed to the fact that the loan conditions applied in earlier projects were formulated without clear and time bound clear performance indicators while no concrete sanctions were indicated for non-fulfillment, thus compromising quality at entry and even their relevance. For projects approved since 1997, there is some evidence that specific conditions have clear and time bound indicators; but still no concrete sanctions are formulated in the event of non-fulfillment.

Studies financed by the Bank have assisted in producing bankable projects and permitted the transfer of know-how to counterpart staff of the beneficiary entities. But turnover of staff has curtailed retention of the transferred expertise by the beneficiary entities. With respect to soft components for institutional support to urban entities, the support was usually built-in or packaged in project's financing. No stand-alone institutional support projects were involved in the sector. Oftentimes, capacity support is conceived in terms of training and the acquisition of equipment and supplies and the reorganization of institutions. In most cases the assistance was short-lived and in piece-meals. Such interventions resulted in a number of shortcomings identified below:

- Project-in-built capacity support components tend to focus at the implementation of the specific project objectives and usually fail to be an all-embracing program for sustainable institutional development;
- Project tailored capacity support approaches usually fail to bring about long-term institutionalized performance capability. In some cases, following project completion, the capacities and resources mobilized over the implementation period were disbanded either for lack of further need or due to inadequate incentives;

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<sup>14</sup> See (AfDB/OPEV, 2004)



- No institutional linkages existed among the sector players (public entities, semi-public and private service providers, community based organizations, civil societies, etc.) in order to exploit available human resources and facilities. Clear policies, strategies and benchmarks were not developed at the project design stage for assistance to cover areas such as overall organization and management systems and practices, human resource development, management performance, incentives and overall enabling environment of long-term nature.
- Capacity strengthening assistance provided in earlier years was not designed to address specifically cross cutting issues such as gender, environment and poverty alleviation since these were issues of recent nature.
- Very little capacity strengthening assistance was given to the sanitation sub-sector. Environmental degradation has become the norm particularly relating to drainage works and solid waste disposal services in many urban cities. This state of condition has been worse in poor urban neighborhoods. In some instances, law enforcement is lacking and operational responsibilities are not clearly delineated.

The experience of other MDBs such as the World Bank is similar to that of the Bank in that much of their early interventions concentrated in supporting the vast expansion of facilities. Their assistance in capacity strengthening and institutional development efforts were secondary and of limited scope. The results on the ground were mixed. Many concluded that the problems largely emanate within the countries. The main recommendations are: the need for an enabling environment and government commitment; the need for holistic approach factoring in socio-cultural issues in devising capacity building and institutional development programs; and the need for long-term assistance in order to bring about sustainable improvement in the performance of the sector.

In recent years, there is an ongoing effort by the Bank, other MDBs and many governments of RMCs to improve the overall performance of the water entities through restructuring and strengthening the sector institutions. The initiatives such as NEPAD, which is spearheaded by the African Union, the Sustainable Development Goals, the Bank's Integrated Water Resources Development Policy, the African Water Vision of 2025 all aim to address, among others, the institutional weaknesses of the water supply and sanitation sector. This is a step forward to the right direction. However, continued commitments are required by MDBs and governments towards achieving the goals set for availing potable water supply and sanitation services to the majority of the population in Africa. This could be done through implementation of integrated water sector programs and projects and adequate resource allocation. There was also a need to systematically carry out institutional audits and monitoring and evaluation of the performance of the various stakeholders in the sector. Monitoring and evaluation could be facilitated by setting clear performance indicators and benchmarks in the design of the water sector programs and projects.

## **2.2 Integrated water resources management<sup>15</sup>**

The evaluation concluded that the Bank had realized only part of its ambitious vision for IWRM. The positive response of RMCs to the Bank's engagement in water groups for water resources management at the country level showed that the demand was there. And the close fit of IWRM with the Bank's objectives of inclusive and green economic growth in Africa indicated the

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<sup>15</sup> See (AfDB/OPEV, 2013)

relevance of this approach to managing scarce water resources. In addition, to better serve its RMCs, any revision of the Bank's IWRM policy must give equal attention to implementing the policy through a One Bank approach. This would require not only developing more collaborative approaches among departments, but also identifying the instruments—analytical work, policy dialogue, institutional development, and an appropriate mix of staff skills and resources—that could enable more strategic engagement.

The following recommendations for the Bank's IWRM policy emerged from this evaluation: (1) Update and simplify the IWRM policy and concentrate on how to implement it more effectively; (2) Use the CSP process and robust analytical work to inform strategic decisions at the country level; (3) Develop and implement a corporate-level operational strategy and coordination mechanism for water operations and (4) Improve Internal Capacities, IWRM knowledge sharing and networking.

### 2.3 Agricultural Water Management in Ghana and Mali, 1990-2010<sup>16</sup>

The evaluation noted that literature review devoted attention to a host of issues related to agricultural water, with particular reference to Africa. There are at least three generic issues emerging from this literature: First, poor policy and institutions are still viewed as the bottleneck for the agricultural water sector in Africa, and fundamental changes in institutional arrangements and management practices are required to overcome challenges in this sub-sector. Second, irrigation investment is costly, particularly in sub-Saharan Africa (SSA). The high irrigation investment cost, coupled with low productivity of irrigated land, has serious implications for poverty reduction and the economic viability of agriculture schemes in Africa. And third, weaknesses in planning and implementation appear to be a key reason for the disappointing results of agricultural water development and management in Africa. In particular, monitoring and evaluation (M&E) of agricultural water investment projects in SSA has generally been poor and is likely to have had a negative impact on project outcomes.

The main lessons learned from the evaluation are:

- For an Agricultural Water Management to be successful; an enabling environment for farmers to take advantage of the opportunities arising from irrigation development, changes in the farming system, access to land, or social reorganization are often required should exist.
- Success in introducing a complex change process is closely linked to the sequencing of project activities. AWM projects typically have several intimately linked phases; the civil works are linked to training, formation of users associations, provision of inputs and credit. Delays in the civil works, if the activities run concurrently, may mean that the entire budget for training, for example, is used before the civil works become available. In addition, the beneficiaries may not be fully committed because they lack confidence that the schemes will ever be finished. If the other activities are delayed until completion of the civil works, the project may end before the activities are started (as was the case with many projects in both countries).

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<sup>16</sup> See (AfDB/OPEV, 2011b)

## 2.4 Synthesis Report on AfDB Project Assistance for WSS<sup>17</sup>

The summary report of eighteen recently-evaluated AfDB-funded projects showed that central to the objectives of the projects reviewed was the provision of adequate, reliable and affordable water and sanitation services to population in urban, per-urban and rural areas. The objectives of the projects were in line with sector policies and priorities of the borrowing countries as well as the Bank Group, both during the project design and implementation phases as well as ex-post. The key components of the projects constituted improvement in water supply and sanitation services, hygiene and health education, institutional reform, and services targeted to low-income communities.

The projects had an overall modest satisfactory performance with highest relevance of objectives amongst all the projects because most of the objectives were aligned with country-specific long-term development goals, and water and sanitation policies and strategies. Institutional development had a modest satisfactory performance owing to the fact that some of the projects instituted reforms to enhance the design, operation and maintenance of their water supply and sanitation systems. Achievement was substantial in developing water supply infrastructure and services. Relatively, achievement in sanitation and hygiene education, and institutional change were limited. The projects experienced considerable start up delays in every step from approval to disbursement. None of the projects adhered to their original implementation schedule because of multiple constraints. Risk to sustained achievement was ranked weakest. The threats to sustainability arose from multiple sources that include; environmental risks, financial risks, economic risks, institutional and regulatory risks, and technical risk without substantial mitigation strategies in place.

Several factors worked through project design and implementation in influencing the performance and efficiency of the projects. These factors broadly fell under: (1) insecurity, politics and policy; (2) technical information, knowledge and skills; (3) institutional arrangements and efficacy; (4) financing capability; (5) missing complementary infrastructure; and (6) environmental factors. Underperforming projects experienced multiple of these factors that cumulatively diminished their project effectiveness in design, implementation and consequently their results.

### III. EVALUATION PURPOSE, OBJECTIVES AND SCOPE

#### 3.1 Purpose and Objectives

The goal of the evaluation is to inform the Bank's strategies and operational approach to water sector assistance, by identifying emerging trends in the sector, assessing how the Bank has responded to these trends, taking stock of the results of the Bank's assistance and drawing lessons for future work. The evaluation combines two objectives of (1) accountability, through determining the extent the Bank has contributed to the development of the water sector in RMCs and (2) learning, by identifying the lessons on how the Bank can contribute most effectively to improving the water sector of its RMCs.

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<sup>17</sup> See (AfDB/OPEV, 2014)

## 3.2 Evaluation Scope

The concept of **water sector** within this independent evaluation includes water supply and sanitation (WSS or WASH) and Agricultural Water Management (AWM). Accordingly, other water-related activities are excluded (water for electricity, transport, industry and tourism, etc.)

**Definition of “Water Supply and Sanitation”:** Water supply is a means or process of supplying water to a community. The infrastructures constructed/prepared for water supply include generally boreholes, reservoirs, pipeline and standpipes. Access to this supply goes beyond closeness to the pipelines. For an individual, access implies closeness to a nearby public water supply, or benefiting from a yard or individual connection. Sanitation is an important component of all water supply projects as improving health conditions is a major objective of water supply projects. Specifically, sanitation refers to conditions relating to public health, especially the provision of clean drinking water and adequate sewage disposal. An improved sanitation facility is one that hygienically separates human excreta from human contact. Examples of improved sanitation include: flush or pour-flush to piped sewer systems, septic tanks or pit latrines; ventilated, improved pit latrines; pit latrines with slabs; composting toilets.

**Agricultural Water Management.** Agricultural water management activities involve variable combinations of irrigation, drainage and flood control, water conservation and storage, on farm water management, and institutional support to improve sustainability, user operation and management. Collectively, these interventions are called Agricultural Water Management (AWM).

**Coverage:** African Development Bank Group interventions targeting Water Supply and Sanitation and Agricultural Water Management operations approved during the past 12 years (FY05–16)<sup>18</sup> will be covered. All public and private sector water operations, analytical work (studies, ESW, etc.) and other activities related to institutional strengthening and capacity-building will be included. Currently, the set of projects considered for the evaluation includes at least 274 Bank-funded water supply and sanitation operations (124 completed) and 144 agricultural water management operations (46 completed).

## IV. AUDIENCE AND USERS OF THE EVALUATION

### 4.1 The Board

The evaluation will provide the Board with independent and evidence-based assessment of the effectiveness of the Bank's assistance to water supply and sanitation (WSS) and Agricultural Water Management (AWM). It will also provide suggestions for potential improvement to better position the Bank in terms of improving the quality of life for the for the people of Africa coupled with feeding Africa priorities.

### 4.2 Senior Management

The evaluation can inform management's future decisions to scaling-up the Bank's efficiency and Effectiveness in terms of developing high quality results on the ground with regards WSS and AWM. The evaluation may strengthen the design, implementation, monitoring and evaluation of water-related strategies.

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<sup>18</sup> Data included those for 2016 have been collected through SAP as at 28/10/16

### 4.3 Operational Staff

By identifying what works, what doesn't work and why, the evaluation will provide lessons learned from experience in order to improve the design, implementation, monitoring and evaluation of new Bank's water-related interventions.

### 4.4 External Audience

The evaluation will be of interest to stakeholders who want to understand the Bank Group's approach and effectiveness on WSSS and AWM. This audience includes governments and policy makers, universities and the academic community in developed and developing countries, development partners and international organizations, and nongovernmental organizations (NGOs). Although the evaluation will focus on the Bank Group and its support, it is likely to draw lessons that are useful to development partners. Many donors face similar issues in defining their support for WSS and AWM and can benefit from an evaluative report on the Bank Group's experience.

## V. EVALUATION FRAMEWORK AND QUESTIONS

### 5.1 Analytical Framework

The *generic* results chain and mechanisms for the Bank's water sector illustrated below (Figure-1), is the basis for the analytical framework of this evaluation. The figure explains the multidimensional causal links that go beyond provision of physical infrastructure to encompass the broader outcomes occasioned by the Bank's assistance, including the change process. The generic theory of change is presented in box 2. Based on the literature and policy review, the generic theory of change may be refined during the evaluation process. Information from the portfolio and country case studies will allow a mapping of the Bank's strategic approaches and results in the water sector with a the theory of change.

#### Box 2: Water (WSS and AWM) Sector Theory of Change

The impact of WSS and AWM interventions is related to **health, education, labour supply and food security**.

The Bank, along with other development partners, provides RMCs with funding, technical assistance, equipment and knowledge to construct and/or rehabilitate Water Supply and Sanitation (WSS) facilities as well as infrastructures for Agricultural Water Management (AWM). Accordingly, fully functional and operable WSS and AWM infrastructures (including both hardware and software) are delivered.

In addition, 1) WSS and Agriculture sectors' actors (ministries, artisans, water utilities, water users etc.) are trained on WSS and AWM management, operation and maintenance (including managing PPPs); 2) hygiene awareness is raised. Regulatory framework for WSS sector (including tariffs) is established; 3) Equipment (water metering systems) is provided to water utilities/municipalities; 4) high-quality studies on WSS and AWM sectors management issues are conducted and used; 5) campaigns to raise awareness on hygiene, health education, sanitation, water use and tariffs are effectively carried out; 6) Service delivery by different actors is improved (e.g. build better sanitation facilities, maintain water, improve management of PPP and setting tariffs).

All of this will lead to:

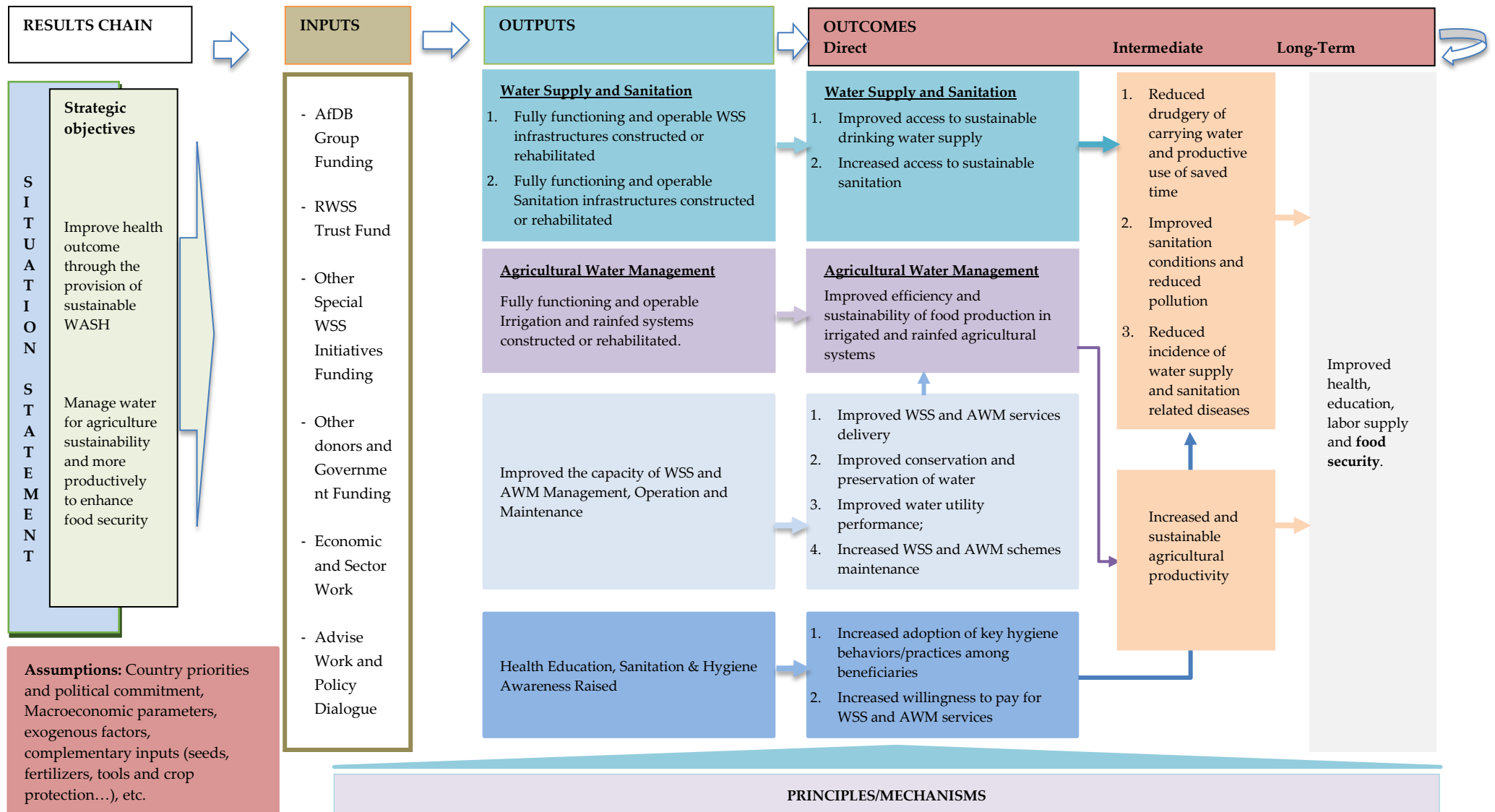
- Firstly, reduced incidence of water and sanitation related diseases through : 1) increased reliable production of high-quality (according to WHO safety standards) water and high-quality sanitation services; 2) increased access to sustainable drinking water supply by household, 3) increased volume

## Box 2: Water (WSS and AWM) Sector Theory of Change

of sewage reaching the treatment plant and as a result the volume of sewage effectively treated increased; increased volume of solid waste effectively disposed of increases leading to an improvement in dump site management ; 4) increased proportion of beneficiaries practicing proper hygiene including handling water properly and keeping it clean.

- Secondly, reduced burden of fetching water in rural areas through: 1) increased and sustained access to safe water supply by households in rural areas; 2) reduced time to fetch water in rural areas and as a result, beneficiaries have more time available for other productive activities.
- Thirdly, sanitation conditions and reduced pollution related to sewage and solid waste owing to: 1) increased volume of solid waste effectively disposed of increases leading to an improvement in dump site management; 2) beneficiaries practicing proper sewage and solid disposal and 3) reuse of treated water and sludge is increased.
- Finally, increased and sustainable agricultural productivity owing to increasing water-use efficiency and productivity in both irrigated and rainfed areas coupled with access to complementary inputs such as appropriate seeds, fertilizers, tools and crop protection measures. This is a result of: (i) adequate, timely and reliable service delivery to Water Users Associations; (ii) adequate, timely and reliable service delivery to water users and (iii) improved water management (Improved conservation and preservation of water).

Figure 1: Water (WSS and AWM) Sector Results Chain



The principles/mechanisms for the water sector services delivery included: Demand-driven participation and methods, Private sector development, Operators' performance, Partnerships, WSS integrated approach, Gender mainstreaming and climate change Adaptation (Environment), Management information system and M&E.

## 5.2 Evaluation Questions

The evaluation's overarching question is: **"How has the African Development Bank Group's support to water contributed to improve the conditions of life of its RMCs' people"**. To address this subject, the evaluation is divided into four questions and twenty-two sub-questions. The evaluation questions concerns the issues of **relevance, effectiveness, efficiency and sustainability** of Bank's interventions in the water sector. The inception report will fine tune the set of evaluation questions and further develop these evaluation questions and better articulate the data collection and analysis design.

For each project, these questions are treated taking into account the specific goal and objective of this project. The questions will be further narrowed down and specified following the portfolio review and the literature/policy review, and they will provide a framework for the country and regional case studies as well as special thematic studies (cluster evaluations). This will allow the evaluation to conduct a more in-depth assessment of a range of limited issues that are essential to identify lessons for the Bank's operational effectiveness in the water sector.

The first evaluation question asks: *"To what extent the Bank's policies and activities in the water sector are relevant to the priorities, policies and development needs of the target groups, recipient countries and in coordination and synergy with other development partners?"* This question focuses on the Relevance of the Bank Assistance to Water Sector (WSS and AWM). The question is divided into four sub-questions:

- a. How relevant are the Bank's water strategic focus to assist RMCs achieving MDGs and SDGs?
- b. To what extent the Bank's activities in the water sector were aligned with the priorities of RMCs and the Beneficiaries Needs?
- c. To what extent the Bank's interventions were adapted over time, taking into account RMCs' implementation performances and emerging challenges?
- d. To what extent are Bank's interventions (i) coordinated with other development organizations intervention and (ii) are they complementary to these activities?

The second evaluation question asks: **"To what extent has the Bank made a change in the life of African people in rural, urban and suburban areas?"** This question focuses on the Effectiveness of the Bank Assistance to Water Sector and will allow the evaluation assessing how the Bank interventions in Water achieved its planned and unintended outputs and outcomes. The question is divided into eight sub-questions broken with two groups: interventions level and organizational level.



*At Programme Level*, with three sub-questions:

- a. To what extent the Bank's expected development short term and intermediate outcomes were achieved?
- b. To what extent the non-lending activities (Economic and Sector Work as well as policy dialogue) and Bank's new institutional mechanisms contributed to achieving the outcomes of Bank's water sector projects?
- c. To what extent Bank's mechanisms has been effective to achieving the expected short-term and intermediate outcomes?

*At Organizational Level*, with five sub-questions:

- a. How effective has the Bank been in engaging in productive partnerships in water sector (WASH and WSS)?
- b. How well has the Bank leveraged resources?
- c. Has the Bank fulfilled its role as knowledge broker, advisor and convener?
- d. How appropriate is water sector's results-based management?
- e. To what extent the water-related Department is using its strategic principals and mechanisms in delivering results on the ground?

The third evaluation question asks: *"To what extent has the Banks assistance to water sector results been delivered efficiently?"* This question focuses on the Efficiency of the Bank Assistance in delivering Water Sector outcomes. The question is divided into three sub-questions:

- a. To what extent the Bank's identification, design and approval mechanisms and human resources contributed to ensure an efficient implementation of the water projects (Optimize Cost-benefit ratio, Cost-effectiveness)?
- b. To what extent Bank's water portfolio incurred delays and cost overruns in delivering expected outputs (timeliness)?
- c. To what extent Bank's supervision been supportive to achieving the expected outputs (Compliance with Bank's project implementation principles)?

The fourth evaluation question asks: *"To what extent are the results of the Bank's assistance to water sector sustainable?"* This question focuses on the sustainability of the outcomes delivered through Bank Assistance to Water Sector outcomes. The question will seek how likely are the results achieved by the Bank assistance to Water Sector and Sanitation to continue in terms of technical soundness, economic and financial viability, environmental and social viability, capacities developed, political and governance environment, and resilience to exogenous factors and risk management? This question is divided into five sub-questions:

- a. To what extent the project achievements rely on sound technology?
- b. To what extent the Bank contributed to have RMCs securing financial resources, to ensuring continued flow of benefits associated with the project?
- c. To what extent the Bank has contributed to strengthen institutional capacities - that will facilitate the continued flow of benefits associated with the project?

- d. To what extent the Bank has effectively assist RMCs involving relevant stakeholders, promoted a sense of ownership amongst the beneficiaries (both men and women) and put in place effective partnerships with relevant stakeholders (e.g. local authorities, civil society organizations, private sector, donors) through its interventions in water in RMCs?
- e. To what extent the Bank assisted RMCs to appropriately assess and implement environmental and social mitigation/enhancement measures of the water interventions?

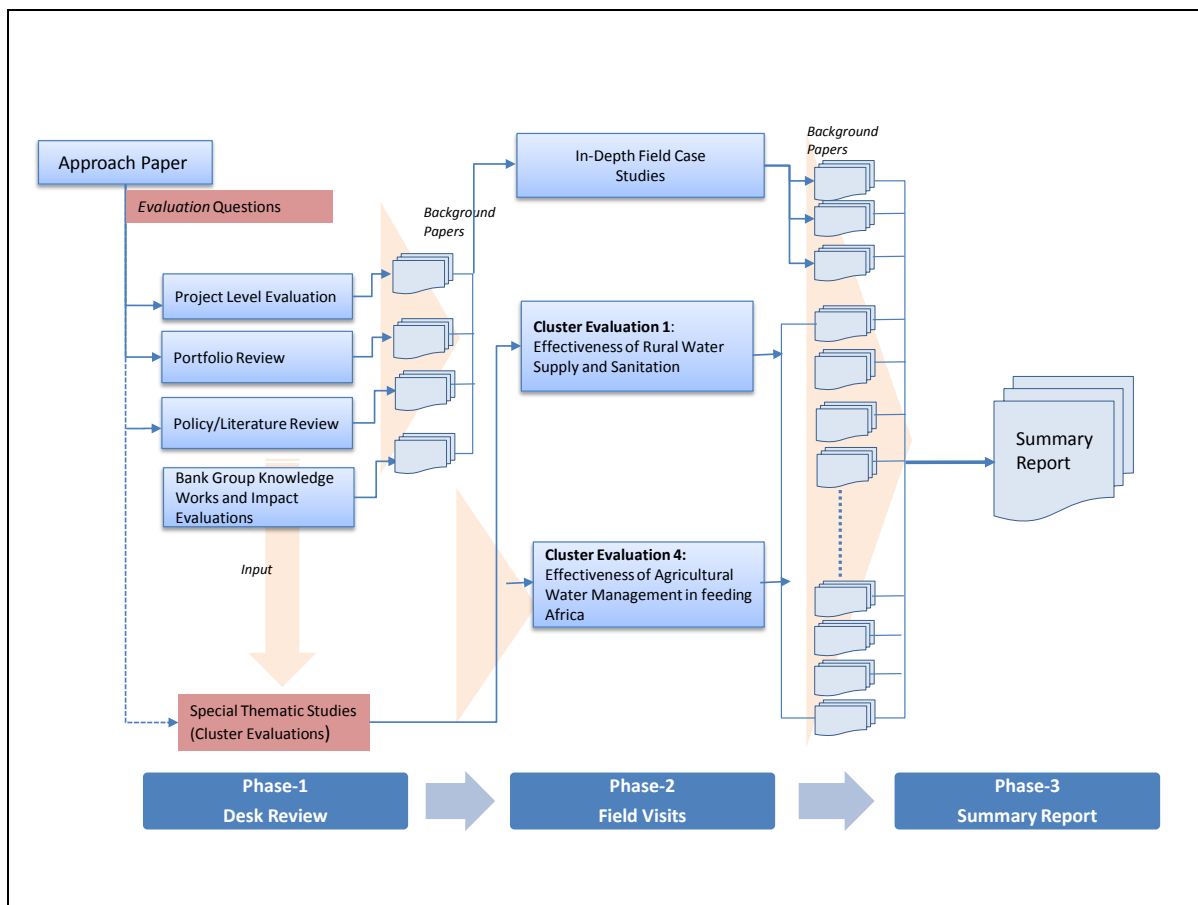
The evaluation design matrix is attached as Annex-5, with sub-questions, judgment criteria, source of information and methodology to be applied, for each criterion.

## VI. EVALUATION APPROACH AND METHODOLOGY

### 6.1 Evaluation Approach

The evaluation would need to draw on a significant building blocks ranged for : (1) Project Results Assessment; (2) Portfolio Review; (3) Literature and Policy Review ; (4) Knowledge Products and Impact Evaluations; and (5) Two Thematic Cluster Evaluations (Rural Water Supply and Sanitation and Agricultural Water Management). Figure 2 presents the overall evaluation schematic.

Figure-2: BDEV WSS Sector Evaluation – Overall Schematic Design



The evaluation has been designed to use triangulation: each evaluative question will be answered by three or more methods or data sources (See Evaluation Matrix in annex 5). The main building blocks (components) of the evaluation are described below

## **Project Results Assessment (PRA)**

The main objective of the project results assessment is to assess the development results of the selected Bank-funded projects as well as its sustainability, in order to provide credible background reports for the thematic cluster evaluations and other building blocks of the sector evaluation. PRAs will contribute to better understand the positive/negative results of the African Development Bank Assistance on the ground, as well as its sustainability. The PRA will specifically: (i) assess the extent to which the project performed. The assessment will be based on four main criteria namely: relevance, effectiveness, efficiency and sustainability; (ii) identify the factors that facilitated/constrained the project performance; and (iii) identify and record, from the above, the key lessons and recommendations for portfolio improvement.

The evaluation will consider and assess all activities that have been implemented under the selected project. It should examine the performance of the project in accordance with its logic model. The approach through which the project performance will be assessed is the contribution analysis that aims to demonstrate whether or not the evaluated intervention is one of the causes of observed change. It may also rank the evaluated intervention among the various causes explaining the observed change in the project intervention areas. It will be based on a set of logical arguments that are verified through a careful confirmatory analysis.

To be able to assess the performance of project, sector-specific indicators (See annex 2) will be used to provide a common understanding of success or failure of a project. This set of potential indicators will facilitate the synthesis analyses even if each project will be treated as a very specific case according to its implementation socio-economic and political context. The set of common indicators will include infrastructure development indicators, capacity building indicators as well as awareness indicators. The soft programs can generally be easily included in capacity building and/or awareness creation and reforms set of indicators.

Primary sources of information have been identified and include the approval reports, the supervision reports and the completion reports. Bank staff interviews at headquarters will assist to collect primary and Meta information for portfolio review and policy/literature review. Focus group discussions, key informant interviews and data collection, including mini-survey will be conducted to collect primary and secondary information for the field case studies. For the projects co-funded by the Bank in partnership with other MDBs or other development agencies, the partner's reports will also serve as reliable primary information sources. These sources will serve as first instruments to assess the projects' evaluability. Some indicators treated in these primary data sources will communicate the first idea on the project's performance before validation by the PRAs' conclusions. After the independent evaluations, the gap between AfDB's self-evaluations and independent evaluations will be calculated to assess the willingness of management to take corrective measures to improve the Bank's performances.

## **Portfolio Review**

A portfolio analysis will be conducted to identify and categorize the main characteristics, objectives and components of Bank's overall activities in water sector and analyze their results. The overarching question of the portfolio review is whether the Bank delivers on its Water strategies (Alignment with the strategies). Therefore, the portfolio review will assess the *composition* of the AfDB's Water sector portfolio and projects/programmes *performance* throughout the portfolio.

The portfolio review will examine project documents and evaluations (i.e., PCRs, PCR Reviews, PRAs and PPERs). This will include information about project design from Project Appraisal Documents (PADs) as well as information about project execution and results from PCRs, PCR Reviews, PRAs, PPERs and Impact Evaluations, interviews with Task Managers and secondary data on socio-economic and physical indicators of the respective countries in which the projects were undertaken.

In this regard, the review will cover the following;

- To overview the trends of the Bank's water lending and approvals, and to assess the results achieved by projects and the external and internal factors of success. The review will include an analysis of the portfolio according to region, country, sub-sector, type of loan, project cost, loan amount, windows, (loans, grant, etc.), etc. It will include an assessment of the share of the water sub-sector in the Bank's portfolio, the use of instruments (investment programs, sector budget support, TA and capacity-building) and the share of co-financing in Bank's programs. In addition, the review will identify the results achieved by completed projects and the lessons learned for increased effectiveness, efficiency and sustainability.
- To compare the results achieved with the general theory of change in the water sector, and to refine the evaluation questions. The specific type of the Bank's water intervention will be identified. The Bank's "input", "output" and "outcome" (consisting of short-term, medium and long-term ones, as shown in Figure-2) in the WSS projects/programs will be identified, so that the Bank's actual results can be mapped to the general theory of change. A comparison of the two diagrams, the general theory of change and the Bank's actual results, will elucidate the intervention approaches of the Bank over the evaluation period.
- To provide and synthesize the necessary evidence for answering at this stage the evaluation questions set for relevance, efficiency, effectiveness and sustainability. The results of analysis obtained through the above tasks will be incorporated as an evidence to answer each evaluation questions.

### **Review of Bank Group Knowledge Work and Impact Evaluation**

The evaluation will review a range of the Bank Group's knowledge products, including non-lending technical assistance, economic and sector work, sector analyses, advisory services, economic analysis, and impact evaluations as well as policy dialogue that supports water supply and sanitation and agricultural water management.

### **Literature and Policy Review**

*Emerging Trends and Lessons in the Water Sector:* The main objective of the literature review is to guide the refinement of the theory of change in the water sector, identify the main developments that have influenced the sector in Africa, and refine the evaluation questions. It will include:

- A review of the relevant literature in order to identify the developments that have influenced the water sector in Africa and other development countries from 2005 and examine how these concepts have influenced the development community;
- A review of the evaluations/research produced by the MDBs and other institutions with regard to the successes and failures of water assistance in Africa;

*Evolution of the Bank's Policy Framework:* A policy review will compare the Bank's water policy with the Water policies of other development agencies especially the World Bank and the European Community as well as selected bilateral agencies (e.g. JICA) that play a key role in the building water infrastructure in Africa. The review will also assess the extent to which the evolution of the policy framework of the Bank, year 2000 policy for integrated water resources management, the rural water supply and sanitation initiative and other collective initiatives in which the Bank has participated, has allowed the Bank to respond to emerging needs in the water sector. The review will also assess the value added of the Bank's approach to the water sector in comparison to those of other development partners.

The literature and policy reviews will be conducted through document reviews. The methodologies used for the policy review will also include semi-structured interviews and focus groups.

### Country Case Studies

The main focus of case studies is to have in-depth discussion on policy and strategic issues with the main water sector stakeholders. The country case studies will aim at better understanding the role of internal and external factors – including systemic factors - contributing to the success or failure of AfDB's interventions as well as complementarities, sequencing, and synergies of interventions. These country case studies will among other thing assess the comprehensiveness of the Bank's approach in addressing water sector issues in RMCs. The selection criteria of countries for case studies depends on the following criteria: (1) weight and diversity on Bank's portfolio; (2) regional representation; (3) achievement of water-related MDGs; etc. The selected countries are presented in the following table 3.

#	Country	Region
1	Cameroon	Centre
2	Kenya	East
3	Rwanda	East
4	Uganda	East
5	Morocco	North
6	Mozambique	South
7	Zambia	South
8	Mali	West
9	Nigeria	West
10	Senegal	West

The evaluation will firstly investigate how the Bank's activities are implemented in line with the countries' priorities and the Bank's policy framework. In addition, the evaluation will assess to what extent the Bank adopted an integrated approach in the water sector at country level, by referring to the Bank's overall policy framework, by assessing the use of different instruments and the synergies between lending and non-lending activities. A review of the CSPs of the selected countries will assess to what extent this integrated approach is discussed at a strategic level. Finally the appropriateness of the project design at approval will be assessed, particularly the extent to which the Bank has integrated emerging trends<sup>19</sup> in the design of its projects.

<sup>19</sup> These trends will be elaborated through literature and policy reviews, as mentioned.

The case studies will include: (1) semi-structured interviews with stakeholders including executing agencies, Bank's field office, Development partners involve in water sector, Independent Water Suppliers, Regulators, and related private sector institutions, (2) site visits to investigate selected completed and projects, iii) in-depth interview with direct beneficiariess.

### **Special Thematic Studies/Cluster Evaluations**

The above case studies will be further supported by special thematic studies. Four cluster evaluations will be designed to provide insight into the following specific themes: (1) The Effectiveness of AfDB-funded Rural Water Supply and Sanitation; (2) The Effectiveness of AfDB-funded Agricultural Water Management Projects. The tentative list of project to include in each cluster evaluation is presented in annex 4.

- **Cluster Evaluation 1: Effectiveness of AfDB-funded Rural Water Supply and Sanitation Projects.** This cluster includes the Rural Water Supply and sanitation Initiative (RWSSI) and other Bank's RWSS Interventions. It is important to note that the RWSSI implementation framework proposes a number of measures to accelerate planning, programming, preparation and implementation of investments as well as human resource capacity building activities under the RWSSI. Various measures were identified to enable accelerated investments while ensuring long-term sustainability. The measures include the following: Programme approach Multi-Pronged Implementation Approaches; Appropriate Implementation Procedures; Participation and Demand-Driven Approaches; Building Partnerships and Co-ordination. With all these new approaches, assessing the RWSS Initiative will provided insightful thoughts in providing WSS services in rural areas.

Access to water is a critical issue for African population living in rural areas especially for women spending a lot of time and energy to fetch water sometimes really far away from their locations. While, integrated or mainstreaming gender into evaluation is becoming a real concern, the RWSS offer a real opportunity to show real impact of Bank's interventions on people live and specifically for girls and women.

The water Supply and Sanitation Cluster Evaluations will specifically integrate aspects of the *utilization of the Public-Private Partnership in services delivery*. Indeed, as highlighted in BDEV's series of Lessons Learned (BDEV, 2015), the Public-private partnerships (PPPs) bring together the expertise of both the public and private sectors, allowing each sector to do what it does best in order to deliver projects and services in the most efficient manner. Within the context of the African Development Bank (AfDB, or the Bank), PPPs refer to a form of financing mechanism where the public and private sectors agree to jointly establish and/or operate a public investment project or activity. The rationale for examining private operator models in water supply is twofold: sustainability and expanded access. This cluster evaluation will assess what works and what doesn't work and why in the use of PPPs and draw lessons from experience.

- **Cluster Evaluation 2: Effectiveness of AfDB-funded Agricultural Water Management Projects.** Agriculture and rural development has always been a major component of the African Development Bank's portfolio although its relative importance in the portfolio has declined over the past decade. The share of agriculture and rural development sector declined from 15 percent of total Bank loans and grants approved during the period 2000-2004 to 7 percent for the last decade (2005-2014). However, within the adoption of the Bank Ten Years Strategy (2012-2025) and the High Five priorities, the Bank intends to play a key role in catalysing agricultural transformation. Transformation will involve mobilizing resources and capital, representing a significant opportunity for potential to drive inclusive and green growth actors along the value chains, but will also need an effective agricultural water management. This cluster evaluation will assess past experiences, draw lessons and formulate recommendations to inform and guide the Bank's future investments in this sub-sector.

The cluster evaluations will use four OECD-DAC evaluation criteria, and a theory-based approach in order to assess the extent of achievement of results, and also to show how and why the results were achieved or not<sup>20</sup>. In this regard, the evaluation team reconstructed a Water Project Intervention Logic for the cluster projects (see Annex 1). This provided the basis for assessing results (1) at individual project level, and (2) at project cluster level where findings from projects will be categorized and synthesised by using the Atlas.ti software. The evaluation will use a six-point rating, described in annex 6.

For each evaluation building block, the evaluation will include the following four phases. Additional details about the work to be completed at each phase are outlined below.

- **Inception Phase** – The objective of the Inception Phase will be to assess available background information, identify available data, assess data quality, identify information gaps and finalize a suitable methodology for the evaluation. The evaluation team will fine-tune and prioritize the evaluation questions, further develop the evaluation design and finalize the issues-indicator matrix, prepare and test data collection tools, identify required resources, and agree on the roles and responsibilities.
- **Data Collection and Analysis Phase** – The objective of the Data Collection and Analysis Phase will be to implement the finalized inception report and collect primary data to complement the review of project documents and fill identified data gaps. Subsequently, all available data will be triangulated against the approved evaluation matrix to identify evaluation findings and conclusions.
- **Reporting Phase** – The reporting phase will proceed in three stages with the objective of: (1) consulting key stakeholders on the preliminary evaluation findings; (2) validating the preliminary findings and identifying evaluation recommendations; and (3) preparing the draft and final evaluation report. The final synthesis report will be drafted at this stage and shared with internal peer-reviewers, an external peer-reviewer, the Reference Group, BDEV management, and then presented to CODE for final approval.

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<sup>20</sup> The OECD-DAC evaluation criteria are relevance, effectiveness, efficiency and sustainability, which are defined in annexes 5 and 6.

## 6.2 Evaluation Methodology

The evaluation will use a wide range of methods for gathering, analyzing and presenting data. Data collection methodologies will involve a mix of recognized evaluation techniques including but not limited to:

- a) **Desk-based research** to review existing reports and background material to better understand the assessment exercise especially for projects' relevance matters. It will especially provide information concerning the project objective, components, results chains elements and review of the assumptions. This review will also help understand the degree of complementarity of the various Bank's projects to achieve its strategic goals. Other secondary sources of data and information include government statistics, project records, studies conducted by development partners, and data published by the service providers or available in their monitoring and evaluation system. The review will finally provide a results data assessment by identifying how the available data and information at central level institutions and stakeholders allow the evaluation of the projects and identify the data gap.
- b) **Key informants Interviews:** Throughout the course of the study open-ended interviews will be conducted within the Bank Group and with key informants on the outside. Evaluative evidence will be obtained through in-depth interviews, which is often the source of innovative ideas for forward-looking and strategic recommendations.
- c) **Focus-Group Interviews:** This tool will be used to collect data from target communities with the view to triangulate with data to be obtained from Households interviews.
- d) **Direct observation:** Direct observation will be part of the field work.
- e) **Mini-Households Survey or Mini Farm Level Survey.** The measure of project outcome will typically require the collection of primary data through a mini-surveys of about 500 Households/Farms per project. This will be used in combination with qualitative methods and other existing data. The household/Farm survey would be carried out to determine the WASH and AWM service levels and the benefits derived from the WASH and AWM intervention from the user perspective
- f) **Stakeholders Validation Workshop** with the aim of developing high-quality recommendations based on the key findings and conclusions of the evaluation while engaging the potential users of the evaluation results.



## VII. WORK PLAN, MANAGEMENT AND ARRANGEMENTS

### 7.1 Work Plan

The evaluation will be undertaken in FY16, with the CODE discussion expected to be scheduled in the second quarter of FY17. The work plan is expected to involve the following steps and timeline (see table 4).

Table 4 : Tentative Timeline		
Description of Tasks / Key Deliverables	Responsibility	Time Frame
Approach Paper	Task Manager	End-December 2016
Portfolio Review	Task Manager / Research Assistant	End-March. 2017
Policy / Literature Review	Task Manager / Consultants	End -March. 2017
Project Results Assessment	Task Manager/ Evaluation Officer / Consultants	End March. 2017
Special Thematic Studies –Cluster Evaluations	Task Manager/ Evaluation Officer / Consultants	End May. 2017
Country Case Studies	Task Manager / Consultants	End June. 2017
Water Sector Synthesis Report	Task Manager / Consultants	End August. 2017
<b>Final Summary Report to CODE</b>		<b>End September 2017</b>

### 7.2 Engagement and Quality Assurance Process

The evaluation team will maintain contact with Bank stakeholders (mainly operational complex) throughout the whole evaluation process. BDEV will circulate the approach paper, desk reviews, regional and country case studies, special thematic studies (cluster evaluation reports) and the final summary report to the Bank's stakeholders for comment and feedback. In doing so, BDEV will put together short briefs and/or power point presentations to communicate the key messages arising from the evaluation to facilitate interaction with stakeholders. In addition, BDEV will request the departments involved in the water sector to nominate a reference person to facilitate daily contacts and support the process of gathering data and comments.

A group of external advisors will be identified to advise the evaluation team during the evaluative process. This Panel will consist of three to four internationally recognized water supply and sanitation and agricultural water management experts and practitioners who will comment on the approach paper, the building blocks reports, the preliminarily and final synthesis report. The Panel will review and provide written comments on the final report.

The evaluation will also be reviewed by internal and external peer reviewers who will provide comments on early drafts and on the final report.

### 7.3 Evaluation Deliverables

The outputs for the evaluation will be:

- Two desk review reports: the policy/literature review and the portfolio review,
- Project Results Assessment report(s),
- Cluster Evaluations Reports, and
- Final Summary Report

Both cluster evaluation reports and the final summary report will be sent to CODE for consideration. The other documents will contribute as key inputs to the final summary.

#### **7.4 Evaluation Management**

The Task Manager for this sector evaluation is Joseph Mouanda, Principal Evaluation Officer in BDEV.1. Other team members include: Mabarakissa Diomandé (Evaluation Officer) who will be in charge of the agricultural water management cluster evaluation, and Michel Aka, Junior Consultant -Statistician Economist who will mainly work on portfolio review. Ms Ayari Henda, Archivist/Documentalist will provide administrative and some research assistance.

Under the overall guidance of Rafika Amira, Division Manager BDEV1 and Rakesh Nangia, Evaluator General of BDEV, the Task Manager will provide inputs and lead the work of the consultants and other team members, and will produce the final summary report to CODE.

The Task Manager will be responsible for organizing communication processes with stakeholder within and outside the Bank, with the support of the Knowledge Management Division (BDEV3). Jacqueline Nyagahima, Communications and Knowledge Management Specialist, will be in charge of leading the evaluation knowledge management, communication and dissemination strategy.

#### **7.5 Communication and Dissemination**

The objective of communication and dissemination is to ensure that timely and relevant evaluation information and knowledge is availed to stakeholders and that stakeholders are given the opportunity to provide feedback and interact with the evaluation team throughout the entire evaluation process. A set of communication and dissemination activities will be undertaken during and after the evaluation. During the evaluation, the evaluation team will deploy a strategy aiming at inter alia: (i) including the main stakeholders in decision making about evaluation design and implementation, (ii) informing about the evaluation activities and progress and (iii) communicating interim findings. After the evaluation, final findings will be disseminated. This will be done to support change and improvement, to show results and to demonstrate accountability.

The audience for the communication and dissemination include AfDB Board of Directors; Bank staff in the operations departments (water for sanitation, agricultural water), in the country and regional offices, BDEV staff, the Banks evaluation community; Implementing partners who include the national government and country implementing agencies as well as development partners who jointly financed some of these interventions. Others who may find the evaluation useful include development agencies working in Africa and the academia. The communication and dissemination plan, below details how it will be carried out. This communication and dissemination plan will be revised at the inception of the evaluation. The tentative communication and dissemination plan is presented in annex 7.

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# ANNEXES

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## Annex 1: List of WSS and AWM Analytical Work and Knowledge Products

Table 1.1. List of OWAS/AWF Analytical Work and Knowledge Products			
N°	Document Title	Body	Year
1	AfDB Study on Water Sector Governance	OWAS	2008
2	AfDB Study on Water Sector Governance in Africa Volume 2: Assessment Guidelines	OWAS	2010
3	Multinational Study on Hygiene and Sanitation Education in the Rural Water Supply and Sanitation Operations of the African Development Bank	OWAS	2012
4	Multinational Study on the Development of Supply Chains for Operation & Maintenance of Rural Water and Sanitation Structures	OWAS	2012 and 2013
4	Guidelines for User Fees and Cost Recovery: For Urban Water and Sanitation	OWAS	2010
4	Pan African Water Sector M&E Assessment Volume 1: Main Report	AWF	2010
5	Pan African Water Sector Monitoring and Evaluation Assessment Volume 2: Rapid M&E Assessment Template	AWF	2010
6	AWF Effectiveness Assessment	AWF	2010
7	Bridging the Water Sector Infrastructure Gap Through Capacity Development	AWF	2015
8	Un-sewered Sanitation Improvements for the Urban-Poor Overview of the African Water Facility project portfolio	AWF	2014
9	Addressing the climate challenge: rationale, approach and actions	AWF	2014
10	AWF Support for the Creation of the Volta Basin Authority Case Study	AWF	2014
11	Integrated Project of Water Supply and Sanitation Services for the urban poor in Kagugube Parish, Kampala Case Study	AWF	2010
12	African Water Facility Supports Primary School Education through Cost Effective and Improved Water and Sanitation Facilities Case Study Report on THE Kisumu Primary Schools Water and Sanitation Project	AWF	2010
13	GEOAQUIFER, Cartographie des usages de l'eau par télédétection dans un bassin transfrontière: le Système Aquifère du Sahara Septentrional. Etude de Cas	AWF	2010
14	Getting Africa on Track to Meet the MDGs on Water and Sanitation – A status overview of Sixteen African Countries	AWF	2006

Table 1.2. List of Agricultural Water Management Analytical Work and Knowledge Products			
N°	Document Title	Body	Year
1	Agricultural Use of Groundwater and Management Initiatives in the Maghreb: Challenges and Opportunities for Sustainable Aquifer Exploitation	ECON	2011
2			
3			
4			

## Annex 2: List of WSS and AWM Key Indicators

Table 2.1 : Key outcome indicators for Water Supply and Sanitation Projects

### A – WATER SUPPLY

#### Improved access to drinking water supply

- Additional water production (m3 / day)
- Number/Percentage of water testing results meeting the standards (water quality)
- Number/Percentage of population /household using an improved drinking water source
- Average water consumption per user in the project area
- Distance between home and the water point
- Time save in water fetching
- Percentage of children under five who had diarrhea in the pasts two weeks

#### Improved Equity in services delivery

- Water pricing differentiated by service level
- Non-payment of water by certain categories of users
- Distribution of payment for water in households

#### Improved services provided by different actors

- Number of hours of water service per day
- Availability of spare parts for hand pumps

#### Improved water utility performance

- Percentage of drinking water utility's supply that is non-revenue

#### Increased adoption of key hygiene behaviors/practices

- Percentage of households in target areas practicing correct use of recommended household water treatment technologies
- Number of liters of drinking water disinfected with point-of-use treatment products
- Willingness to pay WSS services

### B – SANITATION

#### Increased access to improved sanitation

- Number/Percentage of population /households using improved individual toilets
- Number/Percentage of improved toilets in institutional settings
- Percentage of population in targeted areas practicing open defecation
- Percentage of children under five who had diarrhea in the pasts two weeks

#### Wastewater treatment

- Wastewater collection systems access rate (%)
- sewage treatment rate per treatment level (tertiary, secondary, primary, untreated) - in%
- Quality (load) of effluents discharged into the natural environment (SS, BOD5 and COD, pH, phosphorus, nitrogen)
- Rate of sludge generated during treatment of wastewater by stage that was evacuated in accordance with the regulations (%)

#### Improved sanitation and hygiene practices

- Number/Percent of households with soap and water at a handwashing station commonly used by family members

**Table 2.2 : Key outcome indicators for Agricultural Water Management Projects**

Improved efficiency and sustainability of food production in irrigated and rainfed agricultural systems

- *Number and quality of water resources sustainability assessments undertaken*
- *Hectares under new or improved/rehabilitated irrigation and rainfed services*
- *Number of hectares under improved technologies or management practices*
- *Number of farmers and others who have applied improved technology or management practices*
- *Number/Percentage increase in number of people benefiting from improved irrigation and rainfed water management*
- *Water use efficiency*
- *Irrigation efficiency*

Improved services provided by different actors

- *Adequate, timely and reliable service delivery to Water Users Association (WUA)*
- *Adequate, timely and reliable service delivery to Water Users by WUA*
- *Beneficiaries appreciation of level of service*
- *Crop water productivity*

Increased productivity of irrigated agriculture

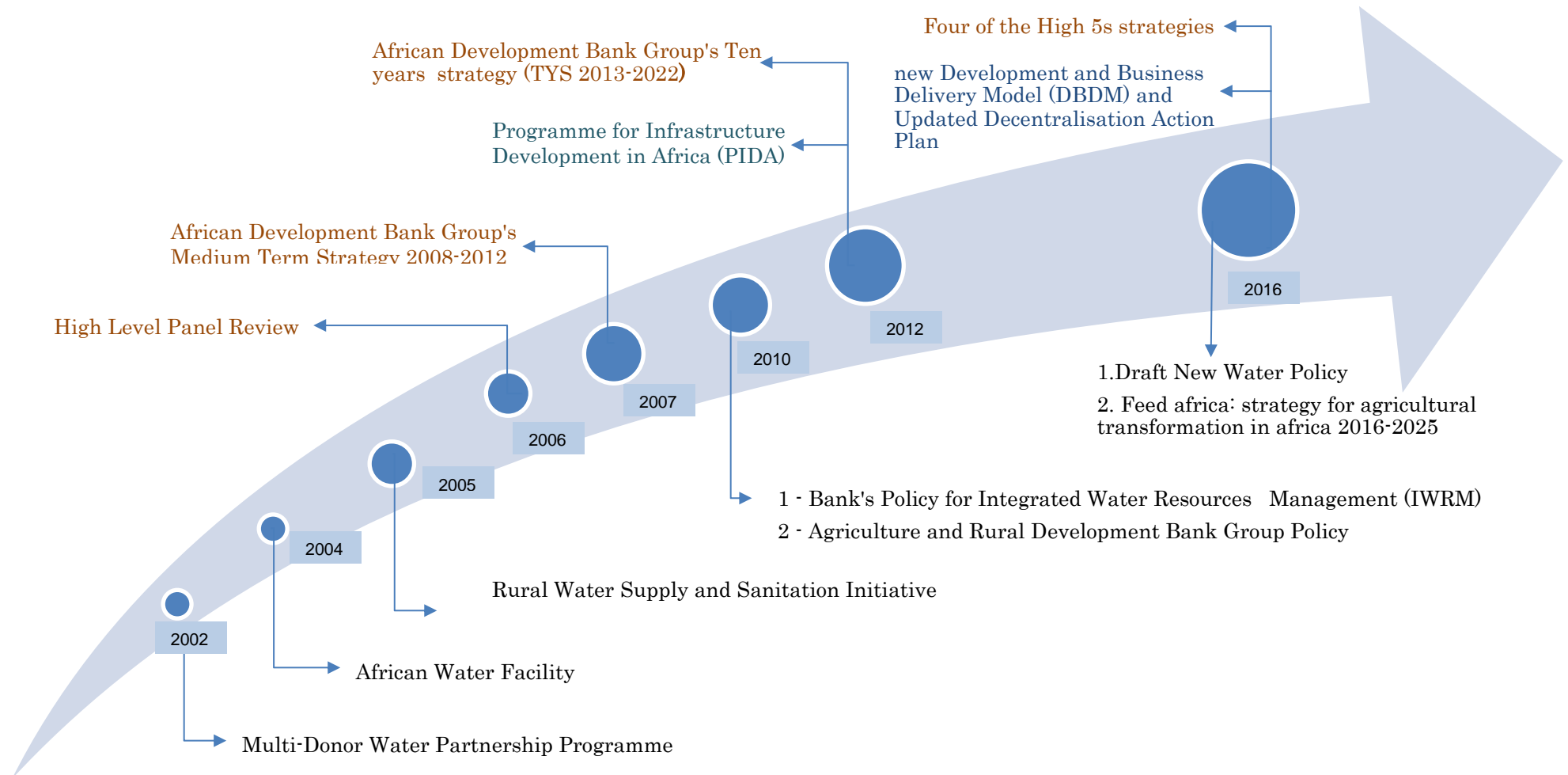
**Agricultural production**

- *Productivity per crop*
- *Cropping intensity (Total seasonal area cropped per unit command area)*
- *Total seasonal crop per unit command area (crop, yield, kg/ha)*
- *Total seasonal crop production per unit water supply (kg/m<sup>3</sup>)*

**Irrigation water delivery**

- *Seasonal irrigation water supply per unit command area (m<sup>3</sup>/ha)*
- *Main system water delivery efficiency (Total seasonal volume of irrigation water delivery/Total seasonal volume of irrigation water supply)*
- *Water delivery capacity (Canal capacity at head of the system/Peak irrigation water demand at head system)*
- *Percentage increase in area under soil and water conservation practices*

**Annex 3: AfDB Group corporate and water policies, strategies and Initiatives**





## Annex 4: Tentative list of projects by Cluster

### Cluster Evaluation 1: Performance and Sustainability of Urban Services Delivery in AfDB-funded projects

No	Country	SAP code	Division	Project Name	Status	Group	Approval Year	Net Loan (UA'000)	Disbursement Ratio
<b>Projects with PRA or PPER as at October 2016</b>									
1	Burundi	P-BI-EA0-004	OWAS2	PROJET DE REHABILITATION ET D'EXTENSION	COMP	RWSS	2005	12,00	94
2	Senegal	P-SN-E00-003	OWAS1	I° SOUS-PROGRAMME AEPA MILIEU RURAL	CLSD	RWSS	2005	24,92	100
3	Ghana	P-GH-E00-003	OWAS1	RURAL WATER AND SANITATION PROGRAMME	COMP	RWSS	2004	9,82	100
4	Zambia	P-ZM-E00-003	OWAS2	CENTRAL PROV. RURAL WATER/SANITATION	CLSD	RWSS	2000	10,87	100
5	Zambia	P-ZM-E00-009	OWAS2	RURAL WATER SUPPLY & SANITATION PROGRAM	COMP	RWSS	2006	15,00	100
6	Rwanda	P-RW-E00-010	OWAS2	RURAL WATER SUPPLY & SANITATION PROGRAM I	COMP	RWSS	2003	9,25	98%
<b>Projects without PRA or PPER as at October 2016 – to be prepare by BDEV and local consultants</b>									
7	Burkina Faso	P-BF-E00-008	OWAS1	AEPA EN MILIEU RURAL DANS QUATRE REGIONS (CASCADES, CENTRE-OUE)	COMP	RWSS	2007	20,00	94
8	Mauritania	P-MR-EA0-005	OWAS2	PROJET D'AEPA EN MILIEU RURAL DANS LA ZONE MERIDIONALE	COMP	RWSS	2006	9,70	81
9	Uganda	P-UG-E00-005	OWAS2	RURAL WATER SUPPLY & SANITATION PROGRAM	CLSD	RWSS	2005	40,00	100
10	Uganda	P-UG-E00-011	OWAS2	WATER SUPPLY AND SANITATION PROGRAMME	COMP	WSS	2011	40,00	93
11	Zimbabwe	P-ZW-E00-002	OWAS2	URGENT WATER SUP. & SAN. REHABILITATION (including Suppl)	COMP	WSS	2011	30,84	100
12	Chad	P-TD-EA0-001	OWAS1	PROGRAMME D'ALIMENTATION EN EAU POTABLE ET D'ASSAINISSEMENT	COMP	WSS	2006	11,62	100
13	Mali	P-ML-EA0-004	OWAS1	PROJET AEPA DANS LES RÉGIONS DE GAO, KOULIKORO ET SEGOU	COMP	RWSS	2008	22,00	78
14	Rwanda	P-RW-E00-005	OWAS2	DEUXIEME SOUS-PROGRAMME D'AEPA EN MILIEU RURAL	COMP	RWSS	2009	9,96	100

#### Cluster Evaluation 4: Effectiveness of AfDB-funded Agricultural Water Management projects

No	Country	SAP code	Division	Project Name	Status	Group	Approval Year	Net Loan (UA Million)	Disbursement Rate
<b>Projects without PRA or PPER as at October 2016 - to be prepare by BDEV and local consultants</b>									
1	Gambia	P-GM-AA0-007	OSAN2	FARMER MANAGED RICE IRRIGATION PROJECT	COMP	AWM	2005	5,00	100
2	Kenya	P-KE-AAZ-001	OSAN1	KIMIRA-OLUCH SMALLHOLDER IRRIGATION DEVELOPMENT PROJECT	COMP	AWM	2006	22,98	99
3	Kenya	P-KE-AAD-004	OSAN3	GREEN ZONES DEVELOPMENT SUPPORT PROJECT	COMP	AWM	2005	25,03	100
4	Madagascar	P-MG-A00-001	OSAN1	PROJET DE REHABILITATION DU PERIMETRE IRRIGUE DE MANOMBO	COMP	AWM	2007	9,06	100
5	Mali	P-ML-AAC-005	OSAN2	PROJET INTENSIFICATION BAGUINEDA	CLSD	AWM	2005	14,92	100
6	Nigeria	P-NG-AA0-027	OSAN2	SUPPORT TO THE NATIONAL PROGRAMME FOR FOOD SECURITY IN EKITI	COMP	AWM	2006	22,00	59
7	Rwanda	P-RW-A00-007	OSAN1	PROJET D'APPUI AU DEVELOPPEMENT AGRICOLE BUGESERA	COMP	AWM	2006	9,96	100
8	Rwanda	P-RW-AAE-004	OSAN1	LIVESTOCK INFRASTRUCTURE SUPPORT PROGRAMME - LISP	COMP	AWM	2011	21,81	100
9	Senegal	P-SN-A00-001	OSAN2	PROJET D'APPUI AU DEVELOPPEMENT RURAL EN CASAMANCE (PADERCA)	COMP	AWM	2005	19,32	100

## List of all project-level evaluations

No	Country	SAP code	Division	Project Name	Status	Group	Approval Year	Net Loan (UA Million)	Disbursement Rate
<b>Urban Water Supply Project (8)</b>									
1	Morocco	P-MA-E00-005	OWAS2	HUITIEME PROJET D'APPROVISIONNEMENT EN E	CLSD	WSS – Urban Water Component	2004	53,64	100
2	Mozambique	P-MZ-E00-006	OWAS2	NIASSA PROV TOWNS WATER AND SANITATION	COMP	WSS – Urban Water Component	2009	18,00	x
3	Mozambique	P-MZ-E00-003	OWAS2	URBAN WATER SUPPLY, SANITATION AND INSTI	COMP	Urban WSS	2002	19,45	100
4	Ethiopia	P-ET-E00-005	OWAS2	HARAR WATER SUPPLY & SANITATION PROJECT	COMP	Urban Water	2002	19,23	100
5	Ghana	P-GH-E00-008	AWTF	IMPROVED SANITATION AND WATER SUPPLY SERVICES	COMP	WSS – Urban Water Component	2009	1,75	100
6	Tanzania	P-TZ-E00-003	OWAS2	DAR ES SALAAM WATER SUPPLY & SANITATION	CLSD	Urban WSS	2001	33,99	100
7	Tanzania	P-TZ-EA0-008	OWAS2	MONDULI DISTRICT WATER PROJECT	CLSD	WSS – Urban Water Component	2003	15,30	100
8	Mauritania	P-MR-EA0-007	OWAS2	PROJET D'AEPA DE NOUAKCHOTT I and II	CLSD	Urban Water	2008	19,14	100
<b>Urban Sanitation (3)</b>									
1	Cameroon	P-CM-EB0-003	OWAS1	PROJET D'ASSAINISSEMENT DE YAOUNDÉ(PADY)	CLSD	Urban Sanitation	2005	21,72	100
2	Morocco	P-MA-E00-006	OWAS2	NEUVIEME PROJET D'APPROVISIONNEMENT AN EAU	COMP	WSS - Urban Sanitation Component	2006	71,57	93
3	Senegal	P-SN-E00-002	OWAS1	ASSAINISSEMENT DE LA VILE DE DAKAR	CLS	Urban Sanitation	2001	11,87	100
4	Congo CG	P-CG-E00-002	OWAS1	ASSAINISSEMENT BRAZZAVILLE ET POINTE-NOIRE	COMP	Urban Sanitation	2009	12,75	94
5	Mauritius	P-MU-EB0-005	OWAS2	PLAINES WILHEMS SEWERAGE PROJECT- STAGE 1	COMP	Urban Sanitation	2007	7,34	100
6	Kenya	P-KE-E00-005	OWAS2	WATER SERVICES BOARDS SUPPORT PROJECT	COMP	WSS – Urban Water Component	2007	34,17	100
7	Comores	P-KM-EA0-001	OWAS2	PROJET D'EAU POTABLE ET D'ASSAINISSEMENT	COMP	WSS – Urban Water Component	2009	1,77	100
<b>Rural Water Supply and Sanitation (14)</b>									
1	Burundi	P-BI-EA0-004	OWAS2	PROJET DE REHABILITATION ET D'EXTENSION	COMP	RWSS	2005	12,00	94
2	Senegal	P-SN-E00-003	OWAS1	I° SOUS-PROGRAMME AEPA MILIEU RURAL	CLSD	RWSS	2005	24,92	100
3	Ghana	P-GH-E00-003	OWAS1	RURAL WATER AND SANITATION PROGRAMME	COMP	RWSS	2004	9,82	100

No	Country	SAP code	Division	Project Name	Status	Group	Approval Year	Net Loan (UA Million)	Disbursement Rate
4	Zambia	P-ZM-E00-003	OWAS2	CENTRAL PROV. RURAL WATER/SANITATION	CLSD	RWSS	2000	10,87	100
5	Zambia	P-ZM-E00-009	OWAS2	RURAL WATER SUPPLY & SANITATION PROGRAM	COMP	RWSS	2006	15,00	100
6	Rwanda	P-RW-E00-010	OWAS2	RURAL WATER SUPPLY & SANITATION PROGRAM I	COMP	RWSS	2003	9,25	98%
7	Burkina Faso	P-BF-E00-008	OWAS1	AEPA EN MILIEU RURAL DANS QUATRE REGIONS (CASCADES, CENTRE-OUE)	COMP	RWSS	2007	20,00	94
8	Mauritania	P-MR-EA0-005	OWAS2	PROJET D'AEPA EN MILIEU RURAL DANS LA ZONE MERIDIONALE	COMP	RWSS	2006	9,70	81
9	Uganda	P-UG-E00-005	OWAS2	RURAL WATER SUPPLY & SANITATION PROGRAM	CLSD	RWSS	2005	40,00	100
10	Uganda	P-UG-E00-011	OWAS2	WATER SUPPLY AND SANITATION PROGRAMME	COMP	WSS	2011	40,00	93
11	Zimbabwe	P-ZW-E00-002	OWAS2	URGENT WATER SUP. & SAN. REHABILITATION (including Suppl)	COMP	WSS	2011	30,84	100
12	Chad	P-TD-EA0-001	OWAS1	PROGRAMME D'ALIMENTATION EN EAU POTABLE ET D'ASSAINISSEMENT	COMP	WSS	2006	11,62	100
13	Mali	P-ML-EA0-004	OWAS1	PROJET AEPA DANS LES RÉGIONS DE GAO, KOULIKORO ET SEGOU	COMP	RWSS	2008	22,00	78
14	Rwanda	P-RW-E00-005	OWAS2	DEUXIEME SOUS-PROGRAMME D'AEPA EN MILIEU RURAL	COMP	RWSS	2009	9,96	100
<b>Agricultural Water Management (11)</b>									
1	Gambia	P-GM-AA0-007	OSAN2	FARMER MANAGED RICE IRRIGATION PROJECT	COMP	AWM	2005	5,00	100
2	Kenya	P-KE-AAZ-001	OSAN1	KIMIRA-OLUCH SMALLHOLDER IRRIGATION DEVELOPMENT PROJECT	COMP	AWM	2006	22,98	99
3	Kenya	P-KE-AAD-004	OSAN3	GREEN ZONES DEVELOPEMENT SUPPORT PROJECT	COMP	AWM	2005	25,03	100
4	Madagascar	P-MG-A00-001	OSAN1	PROJET DE REHABILITATION DU PERIMETRE IRRIGUE DE MANOMBO	COMP	AWM	2007	9,06	100
5	Mali	P-ML-AAC-005	OSAN2	PROJET INTENSIFICATION BAGUINEDA	CLSD	AWM	2005	14,92	100
6	Nigeria	P-NG-AA0-027	OSAN2	SUPPORT TO THE NATIONAL PROGRAMME FOR FOOD SECURITY IN EKITI	COMP	AWM	2006	22,00	59
7	Rwanda	P-RW-A00-007	OSAN1	PROJET D'APPUI AU DEVELOPPEMENT AGRICOLE BUGESERA	COMP	AWM	2006	9,96	100
8	Rwanda	P-RW-AAE-004	OSAN1	LIVESTOCK INFRASTRUCTURE SUPPORT PROGRAMME - LISP	COMP	AWM	2011	21,81	100
9	Senegal	P-SN-A00-001	OSAN2	PROJET D'APPUI AU DEVELOPPEMENT RURAL EN CASAMANCE (PADERCA)	COMP	AWM	2005	19,32	100
<b>TOTAL PRA AND PPER (38)</b>									

### List of potential additional completed projects

No	Country	SAP code	Division	Project Name	Status	Group	Approval Year	Net Loan (UA Million)	Disbursement Rate
1	Djibouti	P-DJ-E00-001	OWAS2	PROJET D'ASSAINISSEMENT DE LA VILLE DE DJIBOUTI	CLSD	Urban Sanitation	2007	5,99	100
2	Malawi	P-MW-AAC-001	OSAN1	SMALLHOLDER CROP PRODUCTION AND MARKETING PROJECT	COMP	AWM	2006	14,88	100

## Annex 5: Evaluation Design Matrix

**1. Relevance:** To what extent are the Bank's policies and activities in the water sector to the priorities, policies and development needs of the target groups, recipient countries and in coordination and synergy with other development partners?

Sub-Questions	Judgment Criteria or Performance Indicators (Tentative)	Source of Evidence <sup>21</sup>									Limitations
		L&PR	PRA	PEVAL	CLUSTER	KNOWL	IMPACT	INTV	PORTF	CASE	
How adequate are the Bank's water strategies focus in assisting RMCs to achieve MDGs and SDGs?	• Extent to which the Bank's water strategy focus (including work areas prioritized and weight given to each area) are coherent to key water development challenges in RMCs	x	x	x		x		x	x	x	
	• Evidence of considerations of MDGs and SDGs target in Bank's interventions design	x	x	x		x		x		x	
	• Extent to which the water issues are effectively reflected in country strategies and programs	x	x	x		x		x	x	x	
	• Extent to which the Bank's interventions identified major risks to long term sustainability	x	x	x		x		x	x	x	
To what extent do the Bank's interventions in the water sector were aligned with the priorities of RMCs and end beneficiaries while providing an added-value?	• Extent to which Water sector (WSS and AWM) strategies set in Bank's CSPs are aligned with RMCs own strategic priority.	x	x	x				x		x	
	• Extent to which Bank's water interventions leveraged innovations, science and technology in RMCs water sector	x	x	x	x	x		x		x	
	• Level of emphasis on Integrated water resources management (IWRM) approach, water security issues, climate change adaptation/resilience and water-energy nexus in Banks strategies and interventions	x	x	x	x	x		x		x	
	• Extent to which soft components (capacity development - including reforms - and awareness) are taken into account in Bank's water strategies and interventions	x	x	x	x	x		x	x	x	

<sup>21</sup> L&PR : Literature and Policy Review ; PRA : Project Results Assessment ; PEVAL : Past Evaluation ; CLUSTER: Cluster Evaluation; KNOWL: Evaluation Knowledge Product; INTV: Interview; PORTF: Portfolio Review; CASE: Country Case Study

Sub-Questions	Judgment Criteria or Performance Indicators (Tentative)	Source of Evidence <sup>21</sup>									Limitations
		L&PR	PRA	PEVAL	CLUSTER	KNOWL	IMPACT	INTV	PORTF	CASE	
	<ul style="list-style-type: none"> <li>Evidence of the Bank's interventions response to final beneficiaries needs</li> </ul>	x	x	x		x		x	x	x	
To what extent the Bank's interventions were adapted over time, taking into account RMCs' implementation performances and emerging challenges?	<ul style="list-style-type: none"> <li>Extent to which Bank Group's water policies and strategies have been informed by country and regional experiences</li> <li>Evolution of the Bank's portfolio structure (lending and non-lending operations)</li> </ul>							x	x	x	
	<ul style="list-style-type: none"> <li>Evidence of integration and quality assessment of drivers and obstacles for change in the Bank water sector strategic response (in CSPs).</li> </ul>							x	x	x	
	<ul style="list-style-type: none"> <li>Extent to which the Bank secured RMCs' commitments to water sector reform, in line with the Bank's sectoral theory of change and strategy (for example institutional restructuring, commercialization, cost recovery from infrastructure users and environmental sustainability).</li> </ul>	x	x	x	x	x		x	x	x	
To what extent are Bank's interventions (i) coordinated with other development organizations intervention and (ii) are they complementary to these activities?	<ul style="list-style-type: none"> <li>Degree of coordination with interventions of others development partners</li> </ul>		x	x	x			x	x	x	
	<ul style="list-style-type: none"> <li>Degree of complementarity of Bank's water interventions with those of others development partner</li> </ul>		x	x	x			x	x	x	

**2. Effectiveness:** To what extent has the Bank contributed to the development of the Water sector in RMCs?

Sub-Questions	Judgment Criteria or Performance Indicators (Tentative)	Source of Evidence <sup>22</sup>									Limitations
		L&PR	PRA	PEVAL	CLUSTER	KNOWL	IMPACT	INTV	PORTF	CASE	
<b>AT PROJECT LEVEL</b>											
To what extent the Bank's expected development short term and intermediate outcomes were achieved?	<ul style="list-style-type: none"> <li>Evidence of progress towards water related MDGs and beyond in the country cover by the Bank's water interventions</li> </ul>		x	x	x		x	x	x		With limited number of impact evaluations, attribution of WSS interventions impact on health indicators will be an issue  Some agriculture projects with water management component may be omitted
	<ul style="list-style-type: none"> <li>Extent to which the Banks' interventions contributed to specific measurable benefits as per each project design (results-based logical framework).</li> </ul>		x	x	x		x	x	x		
	<ul style="list-style-type: none"> <li>Evidence of unintended consequences (positive or negative) different from the above recorded after Bank's projects completion.</li> </ul>		x	x	x		x	x	x		
To what extent the non-lending activities (Economic and Sector Work as well as policy dialogue) contributed to achieving the outcomes of Bank's water sector projects?	<ul style="list-style-type: none"> <li>Extent to which the Bank's non-lending activities contributed to major changes in RMCs water policy and institutional framework</li> </ul>					x		x	x	x	Some non-lending activities may not be identified
	<ul style="list-style-type: none"> <li>Perceived leadership role of the Bank in WASH and AWM sectors over the past decade.</li> </ul>		x	x		x		x		x	
To what extent Bank's monitoring has been supportive to achieving the expected short-term and intermediate outcomes?	<ul style="list-style-type: none"> <li>Extent to which the Bank ensured that timely monitoring data was available from a reliable and updated set of indicators at project and sector level.</li> </ul>		x	x		x		x	x		
	<ul style="list-style-type: none"> <li>Extent to which the Bank's country teams used monitoring data for project supervision.</li> </ul>		x	x				x			

<sup>22</sup> L&PR : Literature and Policy Review ; PRA : Project Results Assessment ; PEVAL : Past Evaluation ; CLUSTER: Cluster Evaluation; KNOWL: Evaluation Knowledge Product; INTV: Interview; PORTF: Portfolio Review; CASE: Country Case Study



Sub-Questions	Judgment Criteria or Performance Indicators (Tentative)	Source of Evidence <sup>22</sup>									Limitations
		L&PR	PRA	PEVAL	CLUSTER	KNOWL	IMPACT	INTV	PORTF	CASE	
<b>AT ORGANIZATIONAL LEVEL</b>											
How effective has the Bank been in engaging in productive partnerships in water sector (WASH and WSS)?	• Extent to which the Bank has established effective partnership arrangements and frameworks in water sector.		x	x				x		x	Case studies will be the main source of evidence. Therefore, the limited number of countries case studies make findings and conclusions non-representative
	• Extent to which partners were involved in the Bank's water interventions (and, if possible, were these partners appropriate)		x	x				x	x	x	
How well has the Bank leveraged resources?	• Extent to which Bank water projects have had a catalytic effect in water sector		x	x				x	x	x	
	• Evidence of the Bank's leveraging activities in water sector			x				x	x	x	
	• Strengths and weaknesses in maximizing leveraging in water sector			x				x	x	x	
Has the Bank fulfilled its role as knowledge broker, advisor and convener?	• Extent to which clients report that Bank support (e.g. policy guidance, technical expertise, training, etc.) is available and useful		x					x		x	
	• Appropriateness of Bank's organizational capacity in delivering water results	x	x					x		x	
How appropriate is water sector's results-based management?	• Appropriateness of water sector's results-based management	x						x	x	x	
	• opportunities and challenges to effective results-based management	x						x	x	x	
To what extent the water-related Department is using its strategic principals and mechanisms in delivering results on the ground?	• Extent to which the Bank's water interventions use demand-driven participation and methods in water sector		x	x	x			x	x	x	
	• Extent to which the Bank's water interventions use private sector development in water sector	x	x	x	x			x	x	x	
	• Evidence of improvement of water operator's performance and water users association effectiveness		x	x	x			x	x	x	
	• Evidence of gender mainstreaming in water sector		x	x	x	x			x	x	

**3. Efficiency:** To what extent has the Banks assistance been delivered efficiently?

Sub-Questions	Judgment Criteria or Performance Indicators (Tentative)	Source of Evidence <sup>23</sup>									Limitations
		L&PR	PRA	PEVAL	CLUSTER	KNOW	IMPACT	INTV	PORTF	CASE	
To what extent the Bank's identification, design and approval mechanisms and human resources contributed to ensure an efficient implementation of the WSS and AWM projects (Optimize Cost-benefit ratio, Cost-effectiveness)?	<ul style="list-style-type: none"> <li>Extent to which the Bank's water projects appraisal included a comprehensive range of assessments (engineering design, sector political economy, institutional governance and performances, PFM, corruption...) to optimize costs.</li> </ul>		x	x	x	x		x	x		
	<ul style="list-style-type: none"> <li>Extent to which the Bank made a consistent use of economic and financial analysis (IRRs) at appraisal stages, including systematic testing of alternative designs.</li> </ul>		x	x	x	x		x	x		
	<ul style="list-style-type: none"> <li>Extent to which the Bank implemented internally a specific and reliable quality control mechanism prior to approval for avoiding overambitious, overoptimistic designing or budget underestimation by task teams.</li> </ul>		x	x	x	x		x	x		
	<ul style="list-style-type: none"> <li>Extent to which the assumptions and risks identified by each project are closely monitored afterwards.</li> </ul>		x	x	x	x		x	x		
To what extent Bank's WSS and AWM portfolio incurred delays and cost overruns in delivering expected outputs (timeliness)?	<ul style="list-style-type: none"> <li>Extent to which the Bank's water portfolio faced delays and cost overruns</li> </ul>		x	x	x	x		x	x		
	<ul style="list-style-type: none"> <li>Extent to which procurement of Bank financed projects were conducted in a timely manner.</li> </ul>		x	x	x	x		x	x		
To what extent Bank's supervision been supportive to achieving the expected outputs (Compliance with Bank's project implementation principles)?	<ul style="list-style-type: none"> <li>Extent to which the Bank's staff was in a position to diligent sufficient supervision missions, with the required mix of expertise.</li> </ul>		x	x	x	x		x	x		
	<ul style="list-style-type: none"> <li>Extent to which the Bank's supervision reports provided with a balance and realistic view of the implementation prospects (ownership, reform undertaking, timeliness, cost, and setting of a reliable monitoring system).</li> </ul>		x	x	x	x		x	x		

<sup>23</sup> L&PR : Literature and Policy Review ; PRA : Project Results Assessment ; PEVAL : Past Evaluation ; CLUSTER: Cluster Evaluation; KNOWL: Evaluation Knowledge Product; INTV: Interview; PORTF: Portfolio Review; CASE: Country Case Study

**4. Sustainability:** To what extent has the Bank’s assistance in the water sector contributed to sustainable results?

Sub-Questions	Judgment Criteria or Performance Indicators (Tentative)	Source of Evidence <sup>24</sup>									Limitations
		L&PR	PRA	PEVAL	CLUSTER	KNOW	IMPACT	INTV	PORTF	CASE	
To what extent the project achievements rely on sound technology?	<ul style="list-style-type: none"> <li>Extent to which the Bank’s interventions selected the right technology which is perfectly installed to meet each need, when addressing water infrastructure</li> </ul>		x	x	x	x		x	x		
	<ul style="list-style-type: none"> <li>Extent to which the Bank Group supported RMCs for getting the required technical skills for all maintenance processes.</li> </ul>		x	x	x	x		x	x		
	<ul style="list-style-type: none"> <li>Extent to which the Bank Group supported RMCs for getting the equipment and spare parts for capital assets (pumps, motors, pipes, etc.) maintenance.</li> </ul>		x	x	x	x		x	x		
To what extent the Bank contributed to have RMCs securing financial resources, to ensuring continued flow of benefits associated with the project?	<ul style="list-style-type: none"> <li>Extent to which the Bank Group supported RMCs for securing the financial viability of the Water sector (e.g. utilities, municipal, community-based Water services).</li> </ul>		x	x	x	x		x	x		
To what extent the Bank has contributed to strengthen institutional capacities - that will facilitate the continued flow of benefits associated with the project?	<ul style="list-style-type: none"> <li>Extent to which the Bank contributed to have RMCs better managing water demand (e.g. appropriate tariff structure and subsidies, building awareness and changing consumer behaviors, regulatory enforcement and modernizing agriculture)</li> </ul>		x	x	x	x		x	x		
	<ul style="list-style-type: none"> <li>Extent to which the Bank contributed to have RMCs better managing water offer (e.g. collecting more renewable water, improving the allocation of water, stemming water loss,</li> </ul>		x	x	x	x		x	x		

<sup>24</sup> L&PR : Literature and Policy Review ; PRA : Project Results Assessment ; PEVAL : Past Evaluation ; CLUSTER: Cluster Evaluation; KNOWL: Evaluation Knowledge Product; INTV: Interview; PORTF: Portfolio Review; CASE: Country Case Study

Sub-Questions	Judgment Criteria or Performance Indicators (Tentative)	Source of Evidence <sup>24</sup>										Limitations
		L&PR	PRA	PEVAL	CLUSTER	KNOW	IMPACT	INTV	PORTF	CASE		
	and effective water utility and water users associations management)											
	<ul style="list-style-type: none"> <li>Extent to which the Bank contributed to have RMCs better managing its water sector (e.g. reshaping the institutional framework, research and development, developing local suppliers of equipment and chemicals)</li> </ul>		x	x	x	x		x	x			
To what extent the Bank has effectively assist RMCs involving relevant stakeholders, promoted a sense of ownership amongst the beneficiaries (both men and women) and put in place effective partnerships with relevant stakeholders (e.g. local authorities, civil society organizations, private sector, donors) through its interventions in water in RMCs?	<ul style="list-style-type: none"> <li>Extent to which the Bank contributed to have RMCs involved stakeholders in decision making and interventions design, thus creating a sense of ownership of its interventions by the beneficiaries</li> </ul>		x	x	x	x	x	x	x			
	<ul style="list-style-type: none"> <li>Extent to which the Bank contributed to have RMCs apply equity in Water services delivery</li> </ul>		x	x	x	x	x	x	x			
To what extent the Bank assisted RMCs to appropriately assess and implement environmental and social mitigation/enhancement measures of the water interventions?	<ul style="list-style-type: none"> <li>Extent to which the Bank assessed the environmental and social risks along with mitigation measures in its water interventions</li> </ul>		x	x	x	x	x	x	x			
	<ul style="list-style-type: none"> <li>Extent to which the mitigation measures were effectively implemented to ensure environmental and social safeguards</li> </ul>		x	x	x	x	x	x	x			

## Annex 6: Guidance for synthesizing the findings of the cluster evaluations

Criteria /sub-criteria	Highly Unsatisfactory	Unsatisfactory	Moderately Unsatisfactory	Moderately Satisfactory	Satisfactory	Highly Satisfactory
Relevance	One or two of the sub-criteria (alignment of objectives/project design) are rated highly unsatisfactory.	One or two of the sub-criteria (alignment of objectives/project design) are rated unsatisfactory, but none are rated highly unsatisfactory.	One or more of the sub-criteria (alignment of objectives/project design) are rated moderately unsatisfactory, but none are rated unsatisfactory or less.	One or more of the sub-criteria (alignment of objectives/project design) is rated moderately satisfactory, but none are rated moderately unsatisfactory or less.	One or more of the sub-criteria (alignment of objectives/project design) are rated satisfactory, but none are rated moderately satisfactory or less.	Both sub-criteria (alignment of objectives/project design) are rated highly satisfactory.
Extent to which objectives of projects are aligned with the Bank's CSP, applicable Bank sector strategies and the beneficiary needs	Objectives of most (more than 75%) projects have major shortcomings in their alignment with: i) the Bank's CSP, ii) applicable Bank sector strategies, iii) the country's development strategies, and iv) the beneficiary needs.	Objectives of more than half of projects have major shortcomings in their alignment with: i) the Bank's CSP, ii) applicable Bank sector strategies, iii) the country's development strategies, and iv) the beneficiary needs.	Objectives of a significant number (more than 25%) of projects have major shortcomings in their alignment with: i) the Bank's CSP, ii) applicable Bank sector strategies, iii) the country's development strategies, and iv) the beneficiary needs.	Objectives of more than half of projects have minor shortcomings in their alignment with: i) the Bank's CSP, ii) applicable Bank sector strategies, iii) the country's development strategies, and iv) the beneficiary needs.	Objectives of most (more than 75%) projects have no shortcomings and the remaining projects with minor shortcomings in the alignment with: i) the Bank's CSP, ii) applicable Bank sector strategies, iii) the country's development strategies, and iv) the beneficiary needs.	Objectives of all projects reviewed have no shortcoming in their alignment with: i) the Bank's CSP, ii) applicable Bank sector strategies, iii) the country's development strategies, and iv) the beneficiary needs.
Extent to which design of projects is conducive to the achievement of project results.	Design of most (more than 75%) projects is not conducive to achieving projects' results. The original design of most projects (more than 75%) was either weak or lost its relevance during implementation; major adjustments to the scope, implementation arrangements or technical solutions were required during implementation, but	Design of more than half of projects is marginally conducive to achieving projects' results. The original design of more than half of projects (was either weak or lost its relevance during implementation; major adjustments to the scope, implementation arrangements or technical solutions were required during	Design of a significant number of projects (more than 25%) is somewhat conducive to achieving projects' results. The original design of a significant number of projects (more than 25%) was either weak or lost its relevance during implementation; major adjustments to the scope, implementation arrangements or technical solutions were	Design of more than half of projects is largely conducive to achieving projects results. The remaining were moderately conducive to achieving projects results. More than half of projects have a solid original design and remained appropriate throughout implementation and did not require any or required minor adjustments to the scope, implementation arrangements or technical solutions were required to ensure outcomes'	Design of most (more than 75%) of projects is fully conducive to achieving projects' results and the design of the remaining 25% is largely conducive to achievement of projects results. The majority (more than 75%) of projects had a solid original design and remained appropriate throughout implementation and did not require any adjustments to the scope, implementation arrangements or technical solutions were required to ensure the	Design of all projects is fully conducive to achieving projects' results. The original design was solid and remained appropriate throughout implementation; no adjustments to the scope, implementation arrangements or technical solutions were required to ensure the achievement of the intended outcomes and outputs.

Criteria /sub-criteria	Highly Unsatisfactory	Unsatisfactory	Moderately Unsatisfactory	Moderately Satisfactory	Satisfactory	Highly Satisfactory
	these were done with substantial delays which negatively affected the achievement of the intended outcomes and outputs.	implementation, but these were done with substantial delays which negatively affected the achievement of the intended outcomes and outputs.	required during implementation, but these were done with substantial delays which negatively affected the achievement of the intended outcomes and outputs.	achievement.	achievement of the intended outcomes and outputs.	
Effectiveness	One or more of the sub-criteria are rated highly unsatisfactory.	One or more of the sub-criteria are rated unsatisfactory, but none are rated highly unsatisfactory	One or more of the sub-criteria are rated moderately unsatisfactory, but none are rated unsatisfactory or less.	One or more of the sub-criteria is rated moderately satisfactory, but none are rated moderately unsatisfactory or less.	One or more of the sub-criteria are rated satisfactory, but none are rated moderately satisfactory or less.	All sub-criteria are rated highly satisfactory.
Extent to which output targets have been achieved	Output targets of less than 10% of projects were achieved or were found to be on track to be reached by the end of the projects and in accordance with quality standards.	Output targets of 25% of projects or less were achieved or were found to be on track to be reached by the end of the projects and in accordance with quality standards.	Output targets of half of projects or less were achieved or found on track to be reached by the end of the projects and in accordance with quality standards.	Output targets of more than half of projects were achieved or are considered on track to be reached by the end of the projects and in accordance with quality standards.	Output targets of the vast majority of projects (90% or more) projects were achieved or are considered on track to be reached by the end of the projects and in accordance with quality standards.	Output targets of all projects were achieved or are considered on track to be reached by the end of the projects and in accordance with quality standards.
Extent to which intended outcomes have been achieved	Intended project outcomes of 15% or less of projects were achieved or are likely to be achieved (plausibility) based on the latest value of the outcome indicators and the analysis of other relevant exogenous risks/factors and assumptions.	Intended project outcomes of 25% or less of projects were achieved or are likely to be achieved (plausibility) based on the latest value of the outcome indicators and the analysis of other relevant exogenous risks/factors and assumptions.	Intended project outcomes of half of projects or less were achieved or are likely to be achieved (plausibility) based on the latest value of the outcome indicators and the analysis of other relevant exogenous risks/factors and assumptions.	Intended project outcomes of most projects (75% or more) were achieved or are likely to be achieved (plausibility) based on the latest value of the outcome indicators and the analysis of other relevant exogenous risks/factors and assumptions.	Intended project outcomes of the vast majority of projects (90% or more) were achieved or are likely to be achieved (plausibility) based on the latest value of the outcome indicators and the analysis of other relevant exogenous risks/factors and assumptions.	Intended project outcomes of <u>all projects</u> were achieved/ exceeded targets or are likely to be achieved or exceed targets (plausibility) based on the latest value of the outcome indicators and the analysis of other relevant exogenous risks/factors and assumptions.
Extent to which projects have led to	10% or less projects have led to or are	25% or less of projects have led or are likely	Less than have of projects have led or are	Half or more of projects led to or are likely to lead to	Most projects (75% or more) led to or are likely to lead to	All projects led to or are likely to lead to significant

Criteria /sub-criteria	Highly Unsatisfactory	Unsatisfactory	Moderately Unsatisfactory	Moderately Satisfactory	Satisfactory	Highly Satisfactory
positive benefits for target beneficiaries	likely to lead to positive benefits for target beneficiaries.	to lead to positive benefits for target beneficiaries.	likely to lead to positive benefits for target beneficiaries.	(plausibility) to lead to positive benefits for target beneficiaries.	(plausibility) to lead to positive benefits for target groups.	positive benefits for target beneficiaries.
Extent to which projects have made a difference in the lives of beneficiaries	10% or less of the projects have made or are likely to make significant changes in the lives beneficiaries.	25% or less of projects have made or are likely to make significant changes in the lives of beneficiaries.	Less than half of projects have made or are likely to make significant changes in the lives of beneficiaries.	Half or more of projects have made or are likely to make significant changes in the lives of beneficiaries.	Most projects (75%or more) have made or are likely to make significant changes in the lives of beneficiaries.	All projects have made significant changes in the lives of beneficiaries.
<b>Efficiency</b>						
Timeliness	Actual implementation time of 10% or less of projects is equal to or lower than the planned implementation time.	Actual implementation time of 25% or less of projects is equal to or lower than the planned implementation time.	Actual implementation time of half or less of is equal or lower to the planned implementation time.	Actual implementation time of most projects (75% and more) is at equal to or lower the planned implementation time.	Actual implementation time of all projects is at equal to or lower than the planned implementation time.	Actual implementation time of most projects (75% or more) is lower than the planned implementation time and the remaining are equal to the planned implementation time.
Implementation Progress	The average rating of applicable IP criteria for all projects is between 1.0 and 1.49. Vast majority of dimensions of implementation processes have not been satisfactory which has jeopardized the achievement of project results.	The average rating of applicable IP criteria ratings for all projects varies between 1.5 and 1.95. Most dimensions of implementation processes have not been satisfactory which has jeopardized the achievement of some project results.	The average rating of IP criteria of all projects is between 2.0 and 2.49. Some dimensions of implementation processes have not been satisfactory which has jeopardized the achievement of some project results.	The average rating of IP criteria of all projects is between 2.5 and 2.95. A few dimensions of implementation processes have not been satisfactory which has jeopardized the achievement of a few project results.	The average rating of IP criteria of all projects is between 3 and 3.49. The implementation processes for all projects have for the most part been satisfactory and have for the most part led to the anticipated results.	The average rating of IP criteria of all projects is between 3.5 and 4. The implementation processes for all projects have for the most part been highly satisfactory and have led to the anticipated results.
<b>Sustainability</b>						
Technical Soundness	It is highly likely that the achievement of the results of all projects will be adversely affected by factors related to the technical design of the project.	It is likely that the achievement of the results of all projects will be adversely affected by factors related to the technical design of the project.	It is likely that the achievement of results of half of the projects or more will be adversely affected by factors related to the technical design of the project.	It is unlikely that the achievement of the results of most projects (75% and more) will be adversely affected by factors related to the technical design of the project.	It is unlikely that the achievement of the results of all projects will be adversely affected by factors related to the technical design of the project.	It is highly unlikely that the achievement of the results of most projects (75% or more) will be adversely affected by factors related to the technical design of the project.

Criteria /sub-criteria	Highly Unsatisfactory	Unsatisfactory	Moderately Unsatisfactory	Moderately Satisfactory	Satisfactory	Highly Satisfactory
Financial and Economic Viability	Most projects (75% or more) have not put in place any mechanisms for economic and financial sustainability, and the flow of benefits associated with the project are not expected to continue after completion.	Half of projects or less have a few mechanisms for economic and financial sustainability, but they are not expected to be sufficient to ensure the continued flow of benefits associated with the project after completion.	Most projects (75% or more) have a few mechanisms for economic and financial sustainability, but they are not expected to be sufficient to ensure the continued flow of benefits associated with the project after completion.	Most projects (75% or more) and more have sufficient mechanisms for economic and financial sustainability that are deemed sufficient to ensure the continued flow of benefits associated with the project after completion.	All projects have in place sufficient mechanisms for economic and financial sustainability that are deemed sufficient to ensure the continued flow of benefits associated with the project after completion.	Most projects (75% or more) have in place robust mechanisms for economic and financial sustainability that are very likely to ensure the continued flow of benefits associated with the project after completion.
Institutional sustainability and strengthening of capacities	Most projects (75% or more) did not contribute to strengthening institutional capacities in the concerned sector / area of intervention and/or parallel systems had to be used intensively. Country systems and capacities are very weak and not able to ensure the continued flow of benefits associated with the project after completion.	Half of projects or more did not contribute to strengthening institutional capacities in the concerned sector / area of intervention and/or parallel systems had to be used. Country systems and capacities remain weak and are deemed insufficient to ensure the continued flow of benefits associated with the project after completion.	A significant number of projects (25% or more) did not contribute to strengthening institutional capacities in the concerned sector / area of intervention and/or parallel systems had to be used. Country systems and capacities remain somewhat weak and are deemed insufficient to ensure the continued flow of benefits associated with the project after completion.	Most projects (75% or more) contributed to strengthening institutional capacities in the concerned sector / area of intervention. Country systems and capacities are good and deemed sufficient to ensure the continued flow of benefits associated with the projects after completion.	All projects contributed to strengthening institutional capacities in the concerned sector / area of intervention. Country systems and capacities are very good and deemed sufficient to ensure the continued flow of benefits associated with the projects after completion.	Most projects (75% or more) were critical in building or strengthening institutional capacities in the concerned sector / area of intervention. Country systems and capacities are excellent and sufficient to ensure the continued flow of benefits associated with the project after completion.
Political governance environment	It is highly likely that political and governance factors could severely affect the results of all projects. The project	It is likely that the political and governance factors could significantly affect the results of all achievement of all	It is likely that the political and governance factors could significantly affect the results of half of the projects or more.	It is unlikely that political and governance factors could adversely affect the results of most projects (75% or more). The political context is relatively stable and not likely	It is unlikely that political and governance factors could adversely affect t the results of all projects. The political context is relatively stable. The government has a clear set of	It is highly unlikely that that political factors could adversely affect the results of most projects (75% or more). The political and governance situations does not represent



Criteria /sub-criteria	Highly Unsatisfactory	Unsatisfactory	Moderately Unsatisfactory	Moderately Satisfactory	Satisfactory	Highly Satisfactory
	<p>results could be derailed by a high degree of political instability, fragility, uncertainty or transition. The country (ies) may be undergoing conflict or may have recently emerged from conflict, and the political context is fragile. The government's development priorities are unclear. Anti-corruption and public sector ethics regulations do not exist or are not enforced.</p>	<p>projects. The projects' results could be affected by significant political uncertainty or transition. This may include post-conflict countries that have achieved some level of political stability; or countries that enjoy a period of relative stability but have a history of endemic political upheaval with negative effects on the operational engagement. Likewise, the government has taken initial steps to improve transparency, accountability and participation, but with limited impact.</p>	<p>Project results could be affected by significant political uncertainty or transition. This may include post-conflict countries that have achieved some level of political stability; or countries that enjoy a period of relative stability but have a history of endemic political upheaval with negative effects on the operational engagement. Likewise, the government has taken initial steps to improve transparency, accountability and participation, but with limited impact.</p>	<p>to significantly affect the project results. The government has a clear set of development priorities, which are generally supported across the political spectrum and are consistent with the program. Adequate anti-corruption and public sector ethics regulations exist and are to some extent enforced.</p>	<p>development priorities, which are generally supported across the political spectrum and are consistent with the program. Adequate anti-corruption and public sector ethics regulations exist and are generally enforced.</p>	<p>a risk to the projects' results due to political stability, consensus on development priorities, a strong anti-corruption and ethics environment and high levels of transparency, accountability and participation. All relevant political decisions (including approval of laws and regulations) have been taken and cannot be reversed easily.</p>
Ownership and sustainability partnerships	<p>Most projects (75% or more) have not been effective in involving the relevant stakeholders and there is no sense of ownership amongst the beneficiaries. No partnerships with relevant stakeholders have been established to ensure the continued</p>	<p>Half of projects or more have not been effective in involving the relevant stakeholders and there is a minimal sense of ownership amongst the beneficiaries. No or marginally effective partnerships with relevant stakeholders have been put in place</p>	<p>A significant number of projects (25% or more) have not been effective in involving the relevant stakeholders and there is a limited sense of ownership amongst the beneficiaries. Partnerships are not considered sufficient to ensure the continued maintenance and</p>	<p>Most projects (75% or more) have been effective at involving most stakeholders and promoting a sense of ownership amongst the beneficiaries. Partnerships with relevant stakeholders have been put in place and are deemed somewhat sufficient to ensure the continued maintenance and management of project outputs.</p>	<p>All projects have been effective at involving most stakeholders and promoting a sense of ownership amongst the beneficiaries. Partnerships with relevant stakeholders have been put in place and are deemed sufficient to ensure the continued maintenance and management of projects' outputs.</p>	<p>Most projects (75% or more) have been highly effective (the remaining were effective) in involving all the relevant stakeholders and there is a strong sense of ownership amongst the beneficiaries. Effective partnerships with relevant stakeholders (eg. local authorities, civil society organizations, private sector) have been put in place to</p>

Criteria /sub-criteria	Highly Unsatisfactory	Unsatisfactory	Moderately Unsatisfactory	Moderately Satisfactory	Satisfactory	Highly Satisfactory
	maintenance and management of project outputs.	and are not considered sufficient to ensure the continued maintenance and management of project outputs.	management of projects' outputs.			ensure the continued maintenance and management of projects' outputs.
environmental and social sustainability	ESMPs have not been implemented in most projects (75% or more); institutional capacity and funding are not available to ensure the environmental and social sustainability of the operation.	ESMPs have been implemented with major delays or in an unsatisfactory manner for half or more projects. Institutional capacity and funding are deemed insufficient to ensure the environmental and social sustainability of the operation.	ESMPs have been implemented with major delays or in an unsatisfactory manner for a significant number of projects (25% or more); institutional capacity and funding are deemed moderately insufficient to ensure the environmental and social sustainability of the operation.	ESMPs have been implemented in a timely and satisfactory manner for half or less of projects; institutional capacity and funding are deemed moderately sufficient to ensure the environmental and social sustainability of the operation.	ESMPs have been implemented in a timely and satisfactory manner for most projects (75% or more); institutional capacity and funding are deemed sufficient to ensure the environmental and social sustainability of the operation.	ESMPs have been implemented in a timely and satisfactory manner for all projects; institutional capacity is strong and there is sufficient funding to ensure the environmental and social sustainability of the operation.
Resilience to exogenous factors and risk management	Most projects' (75% or more) achievements highly depend on exogenous factors and/or have significant risks to achieving the intended results.	Achievements of half of projects or more highly depend on exogenous factors and/or have high risks to achieving the intended results.	Achievements of a significant number of projects (25% or more) or more highly depend on exogenous factors and/or have medium to high risks to achieving the intended results.	Achievements of most projects (75% or more) depend on exogenous factors or/and have medium risks to achieving the intended results.	Achievements of all projects depend marginally on exogenous factors or/and have low risks to achieving the intended results.	Most projects' (75% or more) achievements did not depend on any exogenous factors or/and have insignificant risks to achieving the intended results.

## Annex 7: Communication and Dissemination Plan

Knowledge product	Audience	Communication Channel	Communication product	Timeframe
<b>Approach paper</b>	<ul style="list-style-type: none"> <li>• BDEV Management</li> <li>• Operations Dept.</li> <li>• Implementing agencies</li> <li>• Beneficiaries</li> <li>• Bank Regional &amp; Country offices</li> <li>• RMC authorities</li> </ul> Other evaluation & development partners	<ul style="list-style-type: none"> <li>• Email</li> <li>• BDEV Website</li> </ul>	<ul style="list-style-type: none"> <li>• Approach paper document (PDF)</li> <li>• Evaluation Webpage</li> </ul>	End January 2016
<b>Inception Report</b>	<ul style="list-style-type: none"> <li>• BDEV Management</li> <li>• Operations Dept.</li> <li>• Implementing agencies</li> <li>• Bank Regional &amp; Country offices</li> <li>• RMC authorities</li> </ul> Other evaluations & DPs	<ul style="list-style-type: none"> <li>• Email</li> <li>• Website</li> <li>• Physical postage of briefs</li> </ul>	<ul style="list-style-type: none"> <li>• Inception Report document</li> <li>• Inception Brief (fact sheet)</li> </ul>	Mid February 2016
<b>Portfolio Review</b>	<ul style="list-style-type: none"> <li>• Operations department</li> </ul> BDEV team	<ul style="list-style-type: none"> <li>• Email</li> <li>• Reference group meetings (Face to face, Electronic)</li> <li>• Baobab</li> </ul>	<ul style="list-style-type: none"> <li>• Desk review report documents</li> <li>• Presentations</li> <li>• Briefs</li> </ul>	End March 2017
<b>Policy/Literature Review</b>	<ul style="list-style-type: none"> <li>• Operations department</li> </ul> BDEV team	<ul style="list-style-type: none"> <li>• Email</li> <li>• Reference group meetings (Face to face, Electronic)</li> <li>• Baobab</li> </ul>	<ul style="list-style-type: none"> <li>• Desk review report documents</li> <li>• Presentations</li> <li>• Briefs</li> </ul>	End March 2017
<b>Project Results Assessments</b>	<ul style="list-style-type: none"> <li>• Bank Operations department</li> <li>• BDEV team</li> <li>• Bank Country offices (where projects were implemented)</li> </ul>	<ul style="list-style-type: none"> <li>• Email</li> <li>• Reference group meetings</li> <li>• Baobab</li> </ul>	<ul style="list-style-type: none"> <li>• PRA report documents</li> </ul>	End March 2017
<b>Special Thematic studies – Cluster Evaluations</b>	<ul style="list-style-type: none"> <li>• Operations/ Cluster departments and offices</li> </ul>	<ul style="list-style-type: none"> <li>• Email</li> <li>• Reference group meetings</li> <li>• Baobab</li> </ul>	<ul style="list-style-type: none"> <li>• Cluster evaluation report documents</li> </ul>	End May 2017
<b>Country case studies</b>	<ul style="list-style-type: none"> <li>• Operations department</li> <li>• BDEV team</li> </ul>	<ul style="list-style-type: none"> <li>• Email</li> <li>• Reference group meetings</li> </ul>	<ul style="list-style-type: none"> <li>• Case study report documents</li> </ul>	End June 2017

Knowledge product	Audience	Communication Channel	Communication product	Timeframe
	<ul style="list-style-type: none"> <li>• Country Office</li> <li>• RMCs</li> </ul>	<ul style="list-style-type: none"> <li>• Baobab</li> </ul>		
<b>Draft Synthesis Evaluation Report</b>	<ul style="list-style-type: none"> <li>• Operations department</li> <li>• BDEV team</li> <li>• External reviewers</li> </ul>	<ul style="list-style-type: none"> <li>• Reference group meetings</li> </ul>	<ul style="list-style-type: none"> <li>• Draft Summary report document</li> </ul>	End August 2017
<b>Summary Evaluation Report</b>	<ul style="list-style-type: none"> <li>• CODE members</li> <li>• Board Members</li> <li>• Operations Departments/ Country offices</li> </ul>	<ul style="list-style-type: none"> <li>• CODE Meeting</li> <li>• Email</li> </ul>	<ul style="list-style-type: none"> <li>• Summary Evaluation report document</li> </ul>	End September 2017
<b>Summary Evaluation Report</b>	<ul style="list-style-type: none"> <li>• Bank Board and staff (headquarters, regional &amp; country offices)</li> <li>• Implementing agencies</li> <li>• Beneficiaries</li> <li>• RMC authorities</li> <li>• Other evaluation &amp; development partners</li> </ul>	<ul style="list-style-type: none"> <li>• Electronic &amp; Print:</li> <li>• ECop meeting,</li> <li>• Website and intranet</li> <li>• Email,</li> <li>• Evaluation Matters</li> </ul>	<ul style="list-style-type: none"> <li>• Published Summary report;</li> <li>• Briefs,</li> <li>• Highlights,</li> <li>• Infographics,</li> <li>• Articles in evaluation matters</li> </ul>	October to November 2017

## Annex 8: Preliminarily Portfolio Review Tables

**Table 1: Distribution of amount approved invested in AfDB-funded WSS operations countries, 2005-2016 (in million UA)**

#	Country	Amount	Percent	#	Country	Amount	Percent
2	Nigeria	314	9%	29	Côte D'Ivoire	24	1%
3	Tanzania	314	9%	30	Swaziland	19	1%
4	Kenya	214	6%	31	Seychelles	18	1%
5	Tunisia	208	6%	32	Sudan	18	1%
6	Uganda	192	5%	33	Congo CG	15	0%
7	Dem Rep Congo	176	5%	34	Mauritius	15	0%
8	Ethiopia	168	5%	35	Djibouti	14	0%
9	Multinational	115	3%	36	Burundi	12	0%
10	Cameroon	105	3%	37	Comoros	10	0%
11	Angola	101	3%	38	Lesotho	9	0%
12	Zambia	101	3%	39	Somalia	8	0%
13	Zimbabwe	85	2%	40	Benin	8	0%
14	Senegal	83	2%	41	Gambia	6	0%
15	Mali	82	2%	42	South Sudan	5	0%
16	Sierra Leone	70	2%	43	South Africa	2	0%
17	Malawi	68	2%	44	Togo	2	0%
18	Burkina Faso	65	2%	45	Guinea	1	0%
19	Madagascar	52	1%	46	Gabon	1	0%
20	Ghana	50	1%	47	Cape Verde	1	0%
21	Egypt	43	1%	48	Algeria	1	0%
22	Mauritania	38	1%	49	Sao Tome	1	0%
23	Chad	33	1%	50	Namibia	0	0%
24	Niger	33	1%	51	Botswana	0	0%
25	Mozambique	32	1%	52	Eq Guinea	0	0%
26	Rwanda	30	1%	53	Guinea-Bissau	0	0%
27	Liberia	30	1%	<b>TOTAL</b>		3,522	100%

**Table 2 : Net amount invested in Agriculture water management operations by Regions, 2005-2016 (in million UC)**

Region	#	Percent	Amount (UA Million)	Percent
Central	14	10%	197	9%
East	21	15%	409	18%
West	50	35%	772	35%
North	16	11%	366	17%
South	30	21%	352	16%
Multi-Region	13	9%	119	5%
<b>Total</b>	144	100%	2,213	100%

*Table 3: Net amount invested in AfDB-funded AWM operations, per type of interventions, 2005-2016 (in million UC)*

	#	Percent	Amount (UA Million)	Percent
<b>Type of interventions</b>				
Hard infrastructure projects	122	85%	1960	89%
Studies and other soft interventions	20	14%	252	11%
Emergency interventions and supports	2	1%	1	~0%
<b>Total</b>	114	100%	1 489	100%

## Annex 9: Reference List

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