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Appleton
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CONFIDENTIAL
INTERLAKEN CONSULTATION

1. SUMMARY OF RECOMMENDATIONS

The outcome of the Interlaken Consultation divides into three parts:

(i) A Framework for Global Cooperation Beyond the Decade

The meeting proposes that a Collaborative Council should be established before the end of 1988 to coordinate accelerated and expanded sector activities through to the year 2000. The Council, for which UNDP and other external support agencies are urged to provide funding, would include representatives from UN Agencies, multilateral and bilateral funding agencies and NGOs involved in International Drinking Water Supply and Sanitation Decade (IDWSSD) activities. Measures would be sought to involve developing country representatives in the Council's activities. WHO's role as Secretariat for the IDWSSD Steering Committee would be extended to fit the needs of the Council.

Using the existing UNDP/World Bank programme as a focus, the Council's activities would expand beyond water supply, sanitation and hygiene education, to encompass other environmental issues such as wastewater reuse, solid wastes management, drainage, and hazardous wastes management. The aim would be to help developing countries to formulate sector strategies which capitalize on past experiences and the results of research and development work, by incorporating them into full-scale projects.

Definition of the proposed Collaborative Council's objectives, work plan, organizational framework, and funding requirements will be prepared by the UNDP/World Bank programme and presented to all ESAs active in the sector for discussion by March 1988.

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(ii) An Action Agenda for Participating Agencies

The meeting outlined a series of specific actions which could be taken by external support agencies to ensure that concepts and strategies agreed as essential to success are implemented in developing country programmes for the IDWSSD and beyond. The actions are divided into those which can be taken immediately and those which require further study or demonstration. Within each category is a further subdivision into actions needed at the policy level, to adjust strategies or improve implementation, and actions to be taken at the country level, to ensure better follow up of agreed strategies.

Participating agencies were urged to begin implementation of the proposed Action Agenda immediately, and to report steps taken and progress achieved to the ^{High Level Meeting of the} ~~OECD~~ Development Assistance Committee ^{of OECD} meeting on the sector, which it is hoped to arrange for the end of 1988.

(iii) Amplification of Global Sector Concepts

Discussions in plenary sessions and working groups led to a review of the constraints and recommended actions listed in the WHO/GTZ publication "Global Sector Concepts for Water Supply and Sanitation". Amplifications of the Global Sector Concepts were formulated under five headings.

- . Institutional and Human Resources Development
- . Cost Recovery
- . Balanced Development
- . Operation, Maintenance and Rehabilitation
- . Community Participation and Hygiene Education.

The Consultation urged ESAs in their internal policies and in their discussions with partners in developing countries, to adopt the Global Sector Concepts, as amplified by the Interlaken conclusions, as a basis for sector plans and programmes.

2. FRAMEWORK FOR GLOBAL COOPERATION BEYOND THE DECADE

The Consultation emphasized that, though the IDWSSD has not reached its coverage targets it has made remarkable achievements. Collaboration among external support agencies (ESAs) and with partners in developing countries has greatly heightened the level of priority of the water supply and sanitation sector in country and ESA strategies to serve the needs of low income communities. It has gained world-wide acceptance of low-cost technologies and established the importance of community involvement in project development and implementation. It has also catalyzed the establishment of substantial sector resources such as the UNDP/World Bank Programme and WHO programme support in line with Decade goals.

Towards the end of the Decade, it is clear that much remains to be done; that lessons learned during the Decade must now be applied on a much wider scale; and that the scope of activities which have already been expanded to include community participation and hygiene education should be further broadened to include such concerns as environmental protection. There was broad realization that collaboration among ESAs involved in this sector is essential if the remaining unserved populations are to be reached and if the Health for All goals are to be achieved by the end of this century.

It was concluded that a collaborative framework should be established to support expanded efforts in accelerating and widening the scope of activities through to the year 2000. The framework should not be based on a new institution, but a mechanism created by strengthening the collaborative role of existing institutions. At its centre should be a Collaborative Council in which multilateral and bilateral agencies are strongly represented. The Collaborative Council should also include other active participants in Decade activities such as the UN agencies and NGOs. Consideration should be given to how developing countries can be brought into the consultative process and participate in the Council's activities. The existing WHO Secretariat role with respect to the IDWSSD Steering Committee should be expanded and transformed to relate to the needs of the Council. UNDP and other ESAs should undertake to provide core funding, to ensure stability for the Council's programme.

The Council's programme should incorporate water supply, sanitation, hygiene education and broader environmental protection concerns such as wastewater reuse, solid wastes management, drainage and hazardous wastes management. It should also be prepared to respond to specific regional needs such as those of the arid zones of the Arab States and sub-Saharan Africa. This may involve extension of activities to include demonstration projects on multi-purpose use of water sources.

The existing UNDP/World Bank programme should provide a focus for the Council's activities and be joined by other collaborating agencies such as WHO, UNICEF and the PROWESS project in responding to development programming requirements of the sector. It should respond to country and ESA specific priorities and requirements. It should also work in the broader area of sector strategies and policies in support of the implementation of large scale programmes. Although research and development will form part of the Council's work, emphasis will be placed on capitalizing on past experiences gained and lessons learned by incorporating them into full scale development projects.

Initially, there will be country and regional foci which will be identified based on needs and potential benefit criteria. The core group of countries will be expanded as the Programme progresses into the 1990's.

While concurring with the above concepts and recommendations, individual ESA representatives underlined that commitment to them would require further consideration and discussion. Proposals for funding for example, should be country (or in some cases regionally) focussed, because most ESA support is closely linked to expressed country priorities and requirements. Thus, requests for funding could not be general in nature but must be detailed to accord with well defined specific development objectives.

Immediately following the Interlaken Consultation, the UNDP/World Bank programme will prepare a descriptive document based on its own Strategy Paper, the Kalbermatten/McGarry presentation to the Consultation, and the outcome of the Consultation, outlining the Collaborative Council's objectives, work plan, organizational framework and estimated funding requirements. This will involve inputs from WHO during the month of November. This document will be informally presented to all ESAs active in the sector for discussion, comment and elaboration in collaboration with developing countries. These informal presentations will be completed by March 1, 1988, leading to the document's finalization, including the preparation of a detailed work plan and funding proposals for the entire Collaborative Programme.

The objective will be to establish the Collaborative Council no later than year end 1988.

(3) INTERLAKEN ACTION AGENDA

After reviewing the Global Sector Concepts and the constraints hampering more rapid implementation of agreed sector strategies, the Consultation developed and endorsed the Interlaken Action Agenda.

The agreed Actions represent initiatives to be implemented by participating agencies, to ensure united approaches to sector planning and to assist developing countries in the adoption of sector policies and programmes in tune with the endorsed concepts. The Actions are complementary to those already included in the Global Sector Concepts.

They have been divided into Actions which can be taken immediately, and those which require further study or demonstration. Among the immediate actions, a distinction is drawn between actions involving policy changes within the agency, and those which affect the approach to individual projects or programmes.

A Actions for Immediate Implementation

A.1. Policy-level Actions

POL.1 - Extend the scope of project preparation and documentation, to ensure that proper provision is made for key sector approaches before loan/grant approval.

Four key components were identified by the Consultation as essential elements of project documents:

- (i) Provision for long-term maintenance, including availability and distribution of spare parts.
- (ii) Assessment of appropriate tariff structures and cost recovery procedures.
- (iii) The role and methodology for community participation and hygiene education, with specific emphasis on the role of women.
- (iv) Provision for information exchange, to ensure appropriate project design and support, and to provide data for future projects.

POL.2 - Incorporate conditions in loan/grant approvals making continued support conditional on implementation of the key sector approaches.

Agencies will also need to make provision for periodic monitoring of the way that the four components listed in POL.1 are being implemented. They must then be prepared to enforce conditions, if implementation is inadequate.

POL.3 - Make institutional strengthening at all levels a prerequisite of project implementation.

Agencies need to develop projects and provide technical assistance and funding support for institutional strengthening covering critical activities, including financial management and personnel policy. Investment in new services should be deferred until institutional strengthening is under way.

- POL.4 - Recognize in sector strategies the economic benefits to developing countries of standardization and local manufacture and link this to agency policies on tied aid.
Where tied aid is essential, agencies are urged to ensure that potential suppliers of equipment, materials and services are fully aware of the critical importance of community management of water supply and sanitation facilities.
- POL.5 - Educate ESA staff, developing country partners, and consultants in both developed and developing countries, in appropriate technology choice and the Global Sector Concepts.
Recruit staff where necessary to cover the special socio-cultural aspects of some projects.
- POL.6 - Concerned ESAs establish a mechanism for sharing information on human resources development (HRD) activities and materials and combine efforts to avoid duplication.
The Consultation identified the following agencies as having mutual potential benefit from sharing HRD information: WASH, WHO, IDRC, The World Bank, UNDP, UNICEF, IRC, CIDA, NORAD, and most bilaterals. WHO is willing to take the lead in initiating information exchange.
- POL.7 - WASH prepare guidelines for strengthening in-country training capacity, for use by ESAs in developing projects.
- POL.8 - The UNDP/World Bank Programme prepare a framework for case studies and the development of "Transfer of Implementation Models" (TIMs) on themes listed in Section B, and identify supporting ESAs.
- POL.9 - The World Health Organization ^{identify} ~~prepare terms of reference and~~ identify supporting ESAs for studies on hygiene education, community participation and training listed in Section 2.

POL.10 - The World Health Organization, supported by collaborating ESAs, continue development of the CESI system, contacting interested ESAs to advise on data input procedures. ESAs to establish an advisory panel to assist the CESI coordination Secretariat on further development.

The next three actions depend on policy decisions by ESAs, though the actions themselves will be implemented at the country level.

POL.11 - Multilateral agencies supported by bilaterals, organize national Decade Consultative Meetings designed to develop programmes and projects suitable for donor support.

These meetings, together with follow up meetings between individual ESAs and government partners, should promote national sector development based on the Global Sector Concepts. The programmes should include provision for regular review of implementation, with the opportunity to correct imbalances between components for water supply, sanitation and hygiene education.

POL.12 - Sponsor seminars and workshops emphasizing the economic implications of sustainable projects, and the ways of achieving sustainability.

POL.13 - UNDP reinforce the role of the UNDP Resident Representative as a focal point for national IDWSSD activities.

ResReps must be strongly encouraged to involve ESAs and host country officials in regular meetings and consultations on programme activities.

A.2. Project/Programme-related Actions

PRO.1 - Support the implementation of priority projects presented by national authorities during Decade Consultative Meetings and developed in collaboration with national planning authorities.

PRO.2 - Make maximum use of available community and private sector resources in project preparation, implementation and management. The type of actions needed to make community management effective include:

- . Allow time in the project cycle for adequate preparation of community participation activities.
- . Provide support for community groups, particularly women's groups, encourage the participation of the UNDP PROWWESS (Promotion of the Role of Women in Water and Environmental Sanitation Services) programme in project activities and provide resources for such involvement.
- . Select technology on the basis of the maintenance capabilities of the users in rural areas or of the utilities in urban areas, allowing for enhancement of these capabilities through project support.
- . Seek autonomy for urban utilities, with financial autonomy as a minimum requirement, and include measures for utilities to retain revenue for sector development.
- . Encourage private financial institutions to support local initiatives, and investigate the scope for private sector involvement in urban water supply management. Encourage governments to support community management of rural facilities.

PRO.3 - Involve and support NGOs in project activities at the community level, including training and hygiene education.

PRO.4 - Investigate the scope for water saving, water reuse, and rehabilitation, to defer new investment.

PRO.5 - Promote and support the creation of revolving funds to stimulate project enhancement.

The Consultation stressed particularly the potential of revolving funds as a mechanism for financing rural and peri-urban on-site sanitation, and the scope for recovery of urban sewerage costs through water tariffs.

B Actions Involving Further Study

STU.1 - The UNDP/World Bank Programme, with support from ESAs, document successful projects suitable for replication in other countries and prepare "Transfer of Implementation Models" (TIMs).

Analysis of case studies provided by participating ESAs will lead to guidelines and training materials. Separate models will be developed covering:

- (i) Institutional strengthening, including decentralization initiatives and improvement of district level competence, as implemented in Primary Health Care programmes.
- (ii) Cost recovery mechanisms, including ways of raising rural funds.
- (iii) Community-managed maintenance systems in rural and peri-urban areas.
- (iv) Private enterprise and NGO roles in the provision and maintenance of infrastructure and services.
- (v) Community participation and hygiene education.

The aim will be to develop a "menu" of successful strategies for design of demonstration projects in selected countries.

STU.2 - Disseminate the results of TIMs studies and begin demonstration projects in selected countries.

- STU.3 - WHO, in collaboration with PROWESS and with ESA support, assemble and evaluate training materials and methodologies for particular user groups, such as women, artisans, extension agents, and community based technicians.
The aim will be to develop recommendations and guidelines for use by ESAs and developing countries in planning and implementing HRD programmes at the community level.
- STU.4 - Evaluate the cost and impact of community participation and hygiene education on selected projects and select one coordinating agency to collect and disseminate the results.
- STU.5 - Develop standard performance indicators for maintenance activities and guidelines/criteria for rehabilitation.
- STU.6 - WHO to seek support from ESAs for conduct of a feasibility study into further development of the CESI system.

4. APPLICATION OF GLOBAL SECTOR CONCEPTS

The WHO/GTZ publication "Global Sector Concepts for Water Supply and Sanitation" was endorsed by the Consultation as a tool for guiding sector strategies of ESAs and developing country partners. Discussions in working groups and plenary sessions led to amplification of five of the concepts.

In the summary which follows, the issues raised at the Consultation are presented alongside the appropriate extract from the WHO/GTZ publication, under the headings:

- . Institutional and Human Resources Development
- . Cost Recovery
- . Balanced Development
- . Operation, Maintenance and Rehabilitation
- . Community Participation and Hygiene Education.