

# **UNICEF's programme for water and sanitation in Central America**

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Resources and the Environment**



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## List of contents

Acronyms .....	iv
Preface to the Final Report.....	vi
EXECUTIVE SUMMARY .....	I
1 PROGRAMME CONTEXT.....	1
1.1 Central America.....	1
1.2 Sector context in Central America .....	3
1.2.1 Sector institutions .....	6
1.2.2 Sector priorities and key issues.....	7
1.3 Programme history .....	8
1.4 Programme description .....	10
1.4.1 Objectives and strategies.....	10
1.4.2 UNICEF partners .....	14
1.4.3 Programme funding.....	16
1.5 The Programme's relative role in the region.....	17
2 EVALUATION: OBJECTIVES AND APPROACH .....	18
2.1 Scope and focus of the evaluation .....	18
2.2 Methodology and implementation .....	18
2.3 Limitations of the study.....	21
3 ASSESSMENT OF PROGRAMME PLANNING.....	22
3.1 Problem analysis.....	22
3.2 Policy principles .....	24
3.2.1 SIDA.....	24
3.2.2 SDC.....	25
3.2.3 UNICEF sector strategy.....	26
3.2.4 Objectives analysis and feasibility of programme planning .....	26
4 ASSESSMENT OF PROGRAMME IMPLEMENTATION .....	29
4.1 Organisation of the Programme.....	29
4.1.1 Role of the Subregional Component .....	29
4.1.2 Organisation of the Country Programmes.....	31
4.1.3 Involvement of counterpart organisations .....	31
4.1.4 Strategic alliances.....	33
4.1.5 Advocacy.....	34
4.2 Institutional development and support .....	35
4.2.1 Human resource development .....	36
4.2.2 Exchange of knowledge and experiences.....	37
4.3 Empowerment.....	38
4.3.1 Community management/hygiene and sanitation promotion .....	38
4.3.2 Involvement of community members .....	39
4.3.3 Gender and ethnic focus.....	40
4.4 Technology.....	41
4.5 Costing systems and cost recovery.....	42
4.5.1 Community contribution.....	43
4.6 Assessment of past performance in terms of impact and outputs .....	44

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4.6.1 Coverage and health impact .....	44
4.6.2 Country Programme performance.....	45
4.6.3 Overall achievements of the Central American Programme .....	51
4.7 Programme management.....	52
4.8 Programme support .....	52
4.8.1 Estimates of administrative costs .....	54
4.9 Recurrent costs and topping-up.....	56
4.9.1 Other financial aspects .....	58
4.10 Public relations .....	58
4.11 The El Salvador Programme in former conflict areas.....	58
4.12 Follow-up of previous recommendations .....	60
5 CONCLUSIONS .....	63
5.1 Political context: opportunities and constraints.....	63
5.1.1 Peace: new prospects .....	63
5.1.2 Decentralisation: a favourable institutional evolution.....	64
5.1.3 Regional integration.....	64
5.1.4 Constraints .....	64
5.1.5 Implications for donors.....	64
5.2 Sector context: opportunities and need for reforms.....	64
5.3 New challenges .....	65
5.4 Strategic options for UNICEF WES in Central America .....	65
5.4.1 Preliminary remarks.....	65
5.4.2 Service delivery.....	66
5.4.3 Capacity building and empowerment .....	66
5.5 Evaluation criteria.....	67
5.6 Conclusions and recommendations on programme planning.....	68
5.7 Conclusions and recommendations on Programme implementation.....	69
5.7.1 UNICEF's partners: Selecting them and addressing their needs ..	69
5.7.2 Sharing the experience: management and priorities .....	70
5.7.3 Water, sanitation and health: Time for a priority shift.....	71
5.7.4 Cost recovery: Also a matter of sector reform .....	71
5.7.5 The impact deficit.....	72
5.8 Possible future Swedish support .....	72
6 LESSONS LEARNED.....	73
7 RECOMMENDATIONS.....	75
ANNEX 1 Terms of Reference.....	77
ANNEX 2 Itinerary and list of people met .....	85
ANNEX 3 Documents reviewed .....	91

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## List of tables

Table 1: Socio-economic indicators by countries in Central America.....	2
Table 2: Population by countries in Central America .....	2
Table 3: Coverage of water and sanitation in Central America 1994.....	3
Table 4: Criteria for coverage definition.....	4
Table 5: Number of unserved people in Central America 1980 and 1994.....	4
Table 6: Sector investments by country in Central America 1991-95.....	4
Table 7: Sector investments per capita in Central America 1991 and 1994.....	6
Table 8: Investment cost per beneficiary in Central America (USD).....	6
Table 9: Swedish financial support to the UNICEF WES Programme .....	9
Table 10: UNICEF partners in Central America.....	15
Table 11: Finance (USD) from Sweden and Switzerland 1991-1994 .....	16
Table 12: Percentage of funding of the Programme in 1991-94.....	17
Table 13: Evaluation work schedule 17/7 - 1/9 1995 .....	20
Table 14: Belize outputs 1992-94 .....	46
Table 15: Costa Rica outputs 1992-1994.....	47
Table 16: El Salvador outputs 1992-1994.....	48
Table 17: Guatemala outputs 1992-1994.....	49
Table 18: Honduras outputs 1992-1994.....	49
Table 19: Nicaragua outputs 1992-1994 .....	50
Table 20: Panama outputs 1992-1994.....	51
Table 21: Programme Support 1992-1997 (Supplementary Funds) .....	53
Table 22: Administration and direct TA in Guatemala, 1994 .....	54
Table 23: Expenditure by Object (% of total), January to August 1995 .....	55
Table 24: Cash assistance January to August 1995 (USD) .....	57

## ACRONYMS

<b>General</b>			
ACAN EFE	Spanish News Agency	HECOPAB	mental Health Programme
CRAS	Regional Commission for Social Affairs	IDB	Health Education and Community Participation Bureau
GR	General Resources	MNR	Inter-American Development Bank
IDA	International Development Association (World Bank)	MoH	Ministry of Natural Resources
IRC	International Water and Sanitation Centre (The Hague, NL)	PHB	Ministry of Health
LFA	Logical Framework Approach	RWSSP	Public Health Bureau
MASICA/PROAGUA	Regional Programme for Water Control	VHC	The Rural Water Supply and Sanitation Project
PAHO	Pan-American Health Organisation (WHO Branch for the Americas)	WASA	Village health committees
SDC	Swiss Development Co-operation (Spanish: <i>COSUDE</i> )	<b>Costa Rica</b>	The National Water and Sewerage Authority
Sida	Swedish International Development Co-operation Agency	CWC	Community Water Committee
UNICEF	United Nations Children's Fund	GTZ	Cooperación Técnica Alemana
WATSAN	Water and Sanitation	ICAA	Instituto Costarricense de Acueductos y Alcantarillados
WES	Water and Environmental Sanitation	IMAS	Instituto Mixto de Ayuda Social
		MIDEPLAN	Instituto de Planificación Nacional y de Política Económica
		MINSA	Ministerio de Salud Pública
		SANEBAR	Saneamiento Básico Rural
<b>Regional</b>			
BID	<i>Banco Interamericano de Desarrollo</i> (Interamerican Development Bank)	<b>El Salvador</b>	
CAPRE	<i>Comité Coordinador Regional de Instituciones de Agua Potable de Centroamérica, Panama y República Dominicana</i> , Water Utility Co-ordination Committee for Central America, Panama and the Dominican Republic	ANDA	Administración Nacional de Acueductos y Alcantarillados
CEMAT	Mesoamerican Center for Appropriate Technology	ASPS	Asociación para la Promoción de la Salud Integral
CO	Country Office	CODECOSTA	Coordinación Cooperativas y Comunidades para el Desarrollo Integral de la Costa
CRRH	Regional Water Resources Committee	CONIAPOS	National Safe Water and Sanitation Institutions Committee
ERIS	<i>Escuela Regional de Ingeniería Sanitaria</i> , Regional Sanitary Engineering College	CONSALUD	Concertación Salud
FEMICA	Federation of Municipal Integration in Central America	CPAS	Centro Coordinador de Programas Alternativos de Salud
GAO	Guatemala Area Office	DSA	División Saneamiento Ambiental (MSPAS)
IDB	Inter-American Development Bank	FIS	Fondo Inversión Social
GTZ	German Technical Co-operation Agency	FUNSALPRODESE	Fundación para la Promoción del Desarrollo Social y Económico
MOH	Ministry of Health	FUSAL	Fundación Salvadoreña para la Salud y el Desarrollo Social
NAFTA	North American Free Trade Agreement	MAG	Ministry of Agriculture
PARLACEN	Central American Parliament	MIPLAN	Ministry of planning
RRAS-CA	<i>Red Regional de Agua y Saneamiento en Centroamérica</i> , Regional Water and Sanitation Network for Central America	MSPAS	Ministerio de Salud Pública y Asistencia Social
SRH	<i>Secretaría de Recursos Hídricas</i> , Water Resources Secretariat	PLANSABAR	National Rural Basic Sanitation Plan
		PRO-VIDA	Asociación Salvadoreña de Ayuda Humanitaria Pro-Vida
		SDEM	Salvadorian Institute of Municipal Development
<b>Belize</b>			
CARE	<i>Cooperativa Americana de Remesas al Exterior</i>		
CBEHP	Community Based Environ-		



<b>Guatemala</b>		<b>Nicaragua</b>	
AFP	<i>Agua Fuente de Paz</i> (Water Source of Peace, rural water supply programme supported by UNICEF)	AMC	Acción Medica Cristiana
USAID	United States Agency for International Development	AOS	Ayuda Obrera Suiza
COIVIEES	<i>Cooperativa Integral de Vivienda Esfuerzo y Esperanza</i> (El Esfuerzo and Esperanza Housing Foundation)	CAP	Comités de Agua Potable
COPECAS	<i>Comité Permanente de Coordinación de Agua y Saneamiento</i> (Standing Water and Sanitation Coordination Committee)	CARE	Cooperación Americana de Remesas al Exterior
DAHVI	<i>Dirección de Asentamientos Humanos y Vivienda</i> (Human Settlements and Housing Directorate)	CIABV - OEA	Comision Internacional de Apoyo y Verificacion de la Organizacion de Estados Americanos
DSM	<i>Division de Saneamiento del Medio</i> (Environmental Health Division, MSPAS)	COSUDE	Cooperacion Suiza al Desarrollo
EMPAGUA	<i>Empresa Municipal de Agua de la Ciudad de Guatemala</i> (Guatemala City Municipal Water Utility)	DAR	Dirección Acueductos Rurales
FIS	<i>Fondo de Inversión Social</i> (Social Investment Fund)	FISE	Fondo de Inversión Social de Emergencia
FONAPAZ	Fondo Nacional para la Paz (National Peace Fund)	INAA	Instituto Nicaraguense de Acueductos y Alcantarillados
GOG	Government of Guatemala	INIFOM	Instituto Nicaraguense de Fomento Municipal
HDI	Human Development Index	MARENA	Ministerio de Recursos Naturales
INFOM	<i>Instituto de Fomento Municipal</i> (Municipality Support Institute)	MAS	Ministerio de Acción Social
MSPAS	<i>Ministerio de Salud Pública y Asistencia Social</i> (Ministry of Health and Social Welfare)	MINSA	Ministerio de Salud
Q	Quetzal (Guatemala currency)	SNV	Cooperacion Holandesa
SRH	<i>Secretaria de Recursos Hidráulicos</i> (Water Resources Secretariat)	<b>Panama</b>	
SEGEPLAN	<i>Secretaria General de Planificación Económica</i> (Economic Planning Secretariat)	B	Balboa (Panamanian currency, equivalent to the USD)
UNEPAR	<i>Unidad Ejecutora del Programa de Acueductos Rurales</i> (Rural Water Supply Execution Unit, MSPAS)	CWC	Community Water Committee
UBS	Urban Basic Services	DIMA	<i>Dirección Metropolitana de Aseo</i> (Metropolitan Sanitation Directorate)
USME	<i>Unidad de Seguimiento, Monitoreo y Evaluación</i> (Monitoring and Evaluation Unit of Agua Fuente de Paz)	FES	<i>Fondo de Emergencia Social</i> (Social Emergency Fund)
		GOP	Government of Panama
		HDI	Human Development Index
		IDAAN	<i>Instituto de Acueductos y Alcantarillados Nacionales</i> (National Water Supply and Sanitation Utility)
		INRENARE	<i>Instituto de Recursos Naturales no Renovables</i> (Non-renewable Natural Resources Institute)
		IRHE	<i>Instituto Recursos Hidráulicos y Electificación</i> (Water Resources and Electrification Institute)
		MINSA	<i>Ministerio de Salud</i> (Ministry of Health)
		TECHO	Philanthropic foundation created in 1992 to develop the San Miguelito Project with UNICEF
<b>Honduras</b>			
CHF	Co-operative Housing Foundation		
DIMA	División Municipal de Agua de San Pedro Sula		
FHIS	Fondo Hondureño de Inversión Social		
ruta SOCIAL	Unidad Regional de Asistencia Técnica para el Sector Social		
SANAA	Servicio Autónomo Nacional de Acueductos y Alcantarillados		
UEBD	Unidad Ejecutora de Barrios en Desarrollo		



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## **PREFACE TO THE FINAL REPORT**

The 1995 field study for the evaluation of UNICEF's regional WES programme in Central America turned out to be — for the Team members — a very rewarding process of interaction between the Evaluation Team and a great number of representatives of UNICEF and its partners in the seven countries, as well as with representatives of communities.

During the field study, the Evaluation Team produced draft working papers on each Country Programme and on the Subregional Component of the Programme. These papers were shared with the respective responsible officer in the region's UNICEF countries as well as with the involved officers at the Guatemala Area Office. The comments received by the Team were accommodated in revised versions of the working papers.

The complex field study of the UNICEF Programme would not have worked out as well as it did, had it not been for the generous co-operation and assistance from, first of all, the Guatemala Area Office and all the UNICEF country offices. Many others, from central government officials and NGO representatives to local government representatives, field workers, community leaders and community members have shared with us their experience and their time and thereby contributed to this evaluation study.

The Draft Report of September 1995 has been studied by UNICEF, SDC and Sida. The Team has received written comments from UNICEF, the Embassy of Sweden in Guatemala and Sida. These comments have been carefully considered by the Team. We have benefited from the comments in the final editing and appreciate the efforts put in by the readers. The responsibility for the text and its conclusions and recommendations rests solely with the independent Evaluation Team, however.

Stockholm, January 1996

Jan Valdelin



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## EXECUTIVE SUMMARY

The evaluation study of UNICEF's Programme for Water and Sanitation in Central America was carried out by an international independent Evaluation Team consisting of Jan Valdelin (Ph.D., business administration; Team leader), Charlotta Adelstål (M.A., economics and social anthropology), Ron Sawyer (B.A., psychology and education), Rosa Núñez (medical surgeon, M.A., public health), Xiomara del Torres (civil engineer) and Daniel Gubler (M. Sc., civil engineering; Perreten & Milleret SA). The study was commissioned by the Swedish International Development Co-operation Agency and the Swiss Development Co-operation. It started in June 1995 and the field study was concluded in September 1995. It is the first external evaluation study of the Programme where all participating countries have been visited by the Evaluation Team. The assessment of past performance covers the period from 1991 to 1995.

The UNICEF Programme has been supported by Sweden and Switzerland by approximately USD 17 million and USD 2 million, respectively. The Programme consists of seven Water and Environmental Sanitation country programmes, one special programme for former conflict areas in El Salvador and a Subregional Component. The evaluation study is focused on the Programme as a whole.

The overall objectives of the Programme are to improve women's and children's health and to reduce the burden of women in water collection.

The Programme was found to be relevant to the problems of the target groups. Given the projected future developments in the Central American region, it has been concluded that the Programme will remain relevant also in the future.

It has not been possible to assess the impact of the Programme in terms of the overall objectives due to the lack of impact data.

The assessment of past performance in terms of outputs has led the Team to conclude that the Programme has been successful in terms of service delivery. The best results are found in water delivery, followed by sanitation infrastructure, while the least successful part has been the health and hygiene education outputs. Previous evaluations have been less impressed as results were slow to start in 1992 and have improved considerably in 1994.

In terms of achievements in the areas of capacity building, institutional development and empowerment, the results are less impressive. These findings are in line with previous reviews and evaluations. There may be room for improvement in these areas, given the wealth of experience and knowledge that has been gathered in the Programme.

*The Evaluation Team recommends continued support to the Programme. It further recommends that such support should include all seven countries as well as a subregional component. The Team also recommends that measures be taken to improve the balance between water and sanitation in the service delivery area as well as to improve the capacity building and empowerment components of the Programme. Future planning and management of the Programme should also be improved by increased emphasis on participatory planning and implementation.*

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Further, the Team has provided the following specific recommendations.

*An appropriate indicator system for progress monitoring should be developed*

*The Team recommends that the new programme phase be based on integrated community-based planning and designed within a planning model like the Logical Framework Approach or similar concepts, whereby a strict management and monitoring system is established for the implementation. An aim should be to link the different parts of the programme in a systematic way so that the unified project document reflects the objectives of each part.*

*The Team recommends that UNICEF develop a mechanism to make the choice of counterparts strategically. We also recommend that the methods for capacity building in the counterpart institutions be improved.*

*Horizontal exchanges and opportunities for cross-fertilisation between countries and projects should be more actively promoted.*

*The centre of the Programme should be moved outward and downwards: an Advisory Board composed of resource persons from the region — but external to UNICEF — should be convened at regular intervals to review progress and work programs.*

*The Team recommends that UNICEF change its staffing policy for the Programme with the aim of having more balanced resources in terms of the different Programme components.*

*The Team recommends that UNICEF for the next programming phase develop a strictly applied policy for cost recovery.*

*The Team recommends that strategic and catalytic means of using the limited funds are sought for maximum impact. This implies that UNICEF should strive to get to know the sector even better by participatory means and by creating a large constituency.*

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## EVALUATION OF UNICEF's PROGRAMME FOR WATER AND SANITATION IN CENTRAL AMERICA

This is the Final Report of an Evaluation of UNICEF's Programme for Water and Sanitation in Central America<sup>1</sup>. The Terms of Reference (ToR) for the evaluation are found in Annex 1. In the introductory section some features of the Central American context are indicated before a description of the Programme is given. In section two, the evaluation study is presented, while sections three and four present the *findings* of the study. Section five contains the Evaluation Team's *conclusions*. The report is concluded by a section on *lessons learned* followed by a list of *recommendations* in the final section.

### 1 PROGRAMME CONTEXT

In order to present the evaluation study in its regional and programme context this section first presents a selected number of data on the region and the countries in Central America. From there the presentation moves on to the water and environmental sanitation sector in Central America, before the evaluated programme is described.

#### 1.1 Central America

Poverty, unemployment, economic recession, lack of access to health service, migration related to job-seeking and war, high infant mortality rates, high incidence and prevalence rates of diarrhoeal and waterborne diseases are some facts that characterise the Central American countries<sup>2</sup>, with some exception for Belize, Costa Rica and Panama. In addition, high inflation, higher investment in the military sector than in health care, uneven distribution of wealth as shown by land ownership concentrated to less than 20% of the population, and an indigenous population living in extreme poverty are conditions prevailing in the Central American region where about 31 million people live.

A diversity of ethnic groups are found in the region. The indigenous inhabitants and the African Caribbean of Central America are often marginalised and discriminated against. A majority of them are living in the rural areas. In Guatemala 60% of the population are indigenous, while in the other countries the indigenous people are in minority. The indigenous areas, together with the refugee and immigrant communities, are the most poorly served with basic services. During the eighties, poverty has been increasing and as many as 65% of the total population are considered poor, the majority of which is living in rural areas.

Table 1 presents a summary of the seven countries' socio-economic situation by a selective list of common indicators.

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<sup>1</sup> The Programme name has changed since its inception. In this report it is labelled according to the Terms of Reference for the evaluation study. Similarly, the acronym for Water and Sanitation (WATSAN) was originally used, only to be replaced by WES, for Water and Environmental Sanitation, which is the present label used for the Programme. It is used in this report, except for those instances where the Team originally labelled documents by the WATSAN acronym such as for example the questionnaires to the responsible officers.

<sup>2</sup> Central America in this report includes the seven countries between Mexico and Colombia. Central America is called a region. In UNICEF's organisation Central America forms part of the region called the Americas and the Caribbean. This means that Central America for UNICEF forms a sub-region and hence the *Subregional Component* of the WES programme.

**Table 1: Socio-economic indicators by countries in Central America**

Socio-economic indicators:	Belize	Costa Rica	El Salvador	Guatemala	Honduras	Nicaragua	Panama
GNP per capita (USD) 1991	2 180	1 870	1 090	940	590	400	1 250
Annual growth rate 1980-91	2.5	0.7	-0.3	-1.8	-0.5	-4.4	-1.8
Annual rate of inflation 1992	3.3	18.6	10.0	10.4	8.4	23.1	-4.4
Education exp. (% of GDP 1990)	6.0	4.6	1.8	1.4	4.6	-	-
Health exp. (% of GDP 1990)	2.2	5.6	2.6	2.1	2.9	6.7	-
Military exp. (% of GDP 90-91)	-	0.5	2.9	1.1	6.9	9.0	2.5
Annual population growth rate	1.9	2.2	2.2	2.8	2.8	3.3	1.8
People in absolute poverty (%)	-	29	51	71	37	20	42
Calorie supply (% of req.) 88-90	114	120	102	101	91	100	100
Life expectancy (years) 1992	68.0	76.0	65.2	64.0	65.2	65.4	72.5
Infant mortality rate 1992	23	14	46	49	61	53	21
Under-five mortality rate 1992	26	16	60	75	80	75	28
Access to health services (%) 85-91	95	97	60	50	66	-	80
Adult literacy (% +15)	-	93	75	56	75	-	90
Enrolment all levels (% age 6-23)	-	56	51	41	50	53	62
Mean years of schooling (+25)	4.6	5.7	4.2	4.1	4.0	4.5	6.8

Source: UNDP, Human Development Report, 1994.

According to demographic projections, future population growth will neither be in the rural nor in the settled urban areas. The growth in these areas will be steady, but the peri-urban areas will experience the fastest population growth. The urban-rural population distribution of the Central American countries and the present migration trends are illustrated in Table 2.

**Table 2: Population by countries in Central America**

	URBAN			RURAL		
	1991	1994	Change	1991	1994	Change
Belize <sup>1</sup>	104 000	98 000	- 5.8 %	76 000	107 000	40.8 %
Costa Rica	1 500 000	1 560 000	4.0 %	1 507 000	1 560 000	3.5 %
El Salvador	2 330 000 <sup>2</sup>	2 940 000	26.2 %	2 840 000 <sup>2</sup>	2 430 000	- 14.4 %
Guatemala	3 645 000	3 974 000	9.0 %	5 822 000	6 348 000	9.0 %
Honduras	2 022 336	2 268 824	12.2 %	2 869 918	3 049 007	6.2 %
Nicaragua	2 439 898	2 707 386	11.0 %	1 559 333	1 702 035	9.2 %
Panama <sup>1</sup>	1 285 000	1 381 000	7.5 %	1 098 000	1 177 000	7.2 %

Source: Questionnaire 6, WATSAN Officer (cf. section 2 for a reference to the study questionnaires)

1) Source: RRAS-CA

2) Data from 1990

The seven Central American countries share a common history dating back to colonial times. Guatemala, Honduras, El Salvador, Nicaragua and Costa Rica were united in a Central American Federation from 1823 to 1838. The current decade has seen a favourable development of the socio-political climate, currently with elected governments in all countries.

After almost three decades of wars the governments of the seven countries are making remarkable efforts to achieve lasting peace. In 1987, the Central American presidents signed the *Esquipulas treaty*, a historical agreement that aims to establish a "firm and lasting peace in Central America". Four years later another fundamental agreement was signed as the *Tegucigalpa Protocol*, which instituted *Sistema de la Integración Centroamericana* (SICA), grouping the six Spanish-speaking countries. 27 inter-governmen-



tal agencies were structured under the umbrella of SICA. Presidential summits have periodically taken place under the *Central American Parliament* (PARLACEN), created in 1991, and grouping so far El Salvador, Guatemala, Honduras, Nicaragua and Panama. A *Social Integration Treaty* was signed in 1995 that institutionalised the *Regional Commission for Social Affairs* (CRAS). International agencies such as the United Nations, the World Bank, and others, have been politically and financially present to promote poverty alleviation and peace in the area and to support the *Alliance for a Sustainable Development* in the region.

Just like NAFTA in North America and the Andean Pact in South America demonstrate, integration efforts are made in Central America as shown by these developments. A regional approach to social development is being promoted, based on the underlying idea of interdependency in terms of social problems, but also in terms of joint solutions by joint actions benefiting from opportunities deriving from economies of scale. Many of the new opportunities for the countries and for UNICEF are a result of the integration process, that also poses new challenges (cf. section 5).

## 1.2 Sector context in Central America

The water and environmental sanitation sector in Central America demonstrates many common denominators between countries. In this section some basic information regarding the coverage of services, investments, institutions and priorities is presented. Coverage data on water and sanitation suffer from lack of reliability. In Table 3 below, coverage data provided by the WES officers to the Evaluation Team are presented<sup>3</sup>.

**Table 3: Coverage of water and sanitation in Central America 1994**

COVERAGE %	WATER		SANITATION	
	Rural	Urban	Rural	Urban
Belize <sup>1</sup>	72	95	89	94
Costa Rica	89	99	96	99
El Salvador	46	85	65	91
Honduras	67	92	61	96
Guatemala	49	90	65	70
Nicaragua	28	80	38	33 <sup>2</sup>
Panama <sup>1</sup>	66	96	68	99

1) Figures from RRAS-CA

2) Figures on urban sanitation only include households with sewer system. Households with latrines are estimated to make up approximately 45%.

In terms of water and sanitation service coverage the Central American countries have developed differently. Costa Rica, and to a certain degree Belize as well, are close to full coverage in water and sanitation in urban and rural areas. Nicaragua, Honduras, El Salvador, Guatemala and Panama indicate a wide urban-rural gap of services. The coverage figures of Nicaragua are the lowest in the region. However, the coverage definitions vary between countries, which must be considered when comparisons are made. Coverage data do not consider usage rates or the technical functioning of the physical sanitation and water infrastructure. Table 4 presents the criteria used for the definitions of coverage in table 3 in three of the countries.

<sup>3</sup> RRAS-CA stands for Red Regional de Agua y Saneamiento en Centroamérica, cf. below.

**Table 4: Criteria for coverage definition***Costa Rica*

Sanitation: an adequate system for disposal of human excreta in each household.

Water: household connection.

*El Salvador*

Sanitation rural: access to a latrine in every household.

Sanitation urban: access to a sewerage, septic tank or latrine.

Water rural: access to a minimum of 20 litres/person/day at a distance of 150 meters.

Water urban: access to a minimum of 100 litres/person/day at a distance of 100 meters.

*Honduras*

Sanitation rural/urban: access to a latrine or home connection.

Water rural/urban: home connection or easy access.

No definition was provided from Belize, Guatemala, Nicaragua or Panama.

Source: Questionnaire 6, WATSAN Officer

Although coverage may have increased lately, such data tell little about the absolute size of the unserved or underserved population<sup>4</sup>. A positive trend in investment may be counter-acted by population growth or migration. According to UNICEF, the number of unserved people has been estimated as shown in Table 5. In spite of considerable improvement of coverage the number of unserved is still substantial. In the case of rural water the unserved population has even increased.

**Table 5: Number of unserved people in Central America 1980 and 1994**

(millions)	1980	1994
Urban people without water supply:	1.7	1.6
Rural people without water supply:	8.0	8.2
Urban people without sanitation:	3.3	2.1
Rural people without sanitation:	8.4	7.3

Source: UNICEF, Estadísticas de Cobertura de Agua y Saneamiento en Centroamérica. 1980-1994.

Total sector investments (1991-1995) by country, based on data provided by the WES officers, are summarised in Table 6 below. The statistics capture the public investments made in the sector, and only rarely are contributions from individuals or communities included.

**Table 6: Sector investments by country in Central America 1991-95**

(USD 000)	1991	1992	1993	1994	1995	Subtotal(91-93)	Total
Belize	2 304	2 460	3 398	1 470	13 881	8 162	23 513
Costa Rica <sup>1</sup>	8 790	8 728	8 717	24 636	72 371	26 235	123 242
El Salvador	34 280	26 770	20 900	34 270	32 500	81 950	148 720
Guatemala	38 550	61 700	61 100	N.A.	N.A.	161 350	—
Honduras	44 100	32 800	38 000	N.A.	N.A.	114 900	—
Nicaragua	13 844	10 860	22 590	29 373	8 104	47 294	84 771
Total	141 868	143 318	154 705	—	—	439 891	—

1) Figures represent the investment made by ICAA, responsible for approximately 70% of investments in the sector.

Source: Questionnaire 4, WATSAN officer. Note: no data from Panama was available

The investment data from Guatemala and Honduras were available only for the period

<sup>4</sup>Unserved refers to the population without access while underserved refers to the population with inadequate access to services.

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1991-1993. As a consequence, total investment in the region can only be displayed for the shorter time period (cf. subtotal 1991 - 1993).

The following country by country account of sector investments shows the institutional set-ups and the relative contribution to the sector of respective agents. The period in focus is 1991-1995, unless otherwise indicated. There are certain limitations in the information given. Investments made by government institutions may be financed from both internal and external resources and do not provide information on the respective governments' potential to finance improved sector services through the state budget. The investments made through Social Investment Funds or Development Banks are treated as government contributions as they are loans, as opposed to investments made from grants by international donors.

In **Belize** the largest sector investor is the government with 23% of the total, out of which 71% was spent in the rural areas. The *National Water and Sewerage Authority*, (WASA), a semi-governmental body acting as a private company, is the second largest investor contributing 20% of total investment, yet WASA acts only in the urban areas. In 1995 a loan from the Caribbean Development Bank, a social security loan and an "undefined" loan accounted for 69%, of which most was spent in urban areas. In 1994 and so far in 1995, 13% of total investments are directed to the rural areas.

The largest investors in **Costa Rica** are the development banks, accounting for approximately 40% of total investments. The government accounts for 26%. The Social Investment Fund has contributed around 16% to the sector in 1991-94. "Others", defined as a combination of communities and the government, contributed 16%.

In **El Salvador** most investments in water and sanitation are made by *Administración Nacional de Acueductos y Alcantarillo* (ANDA) accounting for approximately 68% of total investments. A marginal amount is spent on the UNICEF target group, since ANDA has served 2.5% only of the rural inhabitants. The second largest contributor is the Social Investment Fund, 24%, with an increasing presence in both water and sanitation. The contribution of the Social Investment Fund has been more or less equal to the amount invested by ANDA in 1994 and 1995 and one can expect that the rural area is receiving increasing attention. The Ministry of Health, the Ministry of Natural Resources and the European Union are the other investors and have contributed with smaller amounts over the years.

The contributions to the sector in **Honduras** (1989 - 1993) are as follows: *Servicio Autonomo Nacional de Acueductos y Alcantarillados* (SANAA) 66%; *Secretaría de Salud Pública* 17%; *División Municipal de Aguas de San Pedro Sula* (DIMA) 9%; the Social Investment Fund 8%. SANAA, being the largest investor, spends approximately 28% in the rural areas. The UNICEF contribution to the total SANAA investment (1990-93) is 1.3%.

The largest investor in **Nicaragua** is the group of "international donors", accounting for 38% of total investments. The government has contributed 32%. The Social Investment Fund, development banks and "other loans" have each invested approximately 10% of total investment.

By relating the investments made in water and sanitation to the population, we arrive at investment per capita. The way the target group of UNICEF is affected is depending on

the distribution of the overall expenditure between rural and urban areas. Unfortunately the available investment data does not permit an urban-rural split (except for Belize). The investment per capita is given in Table 7 below.

**Table 7: Sector investments per capita in Central America 1991 and 1994**

(USD)	Sanitation		Water		Total	
	1991	1994	1991	1994	1991	1994
Belize, rural	6.35	3.57	13.22	5.98	19.57	9.55
Costa Rica	0.15	0.33	2.77	7.58	2.92	7.91
El Salvador	1.54	2.64	5.09	3.75	6.62	6.39
Guatemala <sup>1</sup>					4.07	5.92
Honduras <sup>1</sup>					9.01	6.17
Nicaragua	0.10	0.76	3.36	5.90	3.46	6.66

1) Estimated per capita investment for 1994 is based on investment data from 1993. No water-sanitation split was available.

Source: Questionnaires 4 and 6, WATSAN officer. *Note: no data from Panama was available*

How coverage is affected by the level of investment is related to the choice of technology and its attached cost. According to the UNICEF WES strategy paper the estimated average investment cost in Africa to serve people with sanitation and water is 30 USD per capita. The reported average cost (USD) per beneficiary by the UNICEF WES officers for different technologies are shown in Table 8.

**Table 8: Investment cost per beneficiary in Central America (USD)**

Family dug well, fitted with hand pump	11.35
Drilled well, fitted with hand pump	27.00
Gravity-fed water systems	78.20
Mini aqueducts	33.40
Latrine (LASF)	26.70

Source: Questionnaire 1, WATSAN Officer

The data in Table 8 indicate that the average cost for UNICEF in Central America (including LASF latrine) would be considerably higher than the average cost in Africa. This may have a number of explanations such as natural conditions or technology choice.

### 1.2.1 SECTOR INSTITUTIONS

The institutional set-up for the supply of water and sanitation in the Central American countries has been characterised by lacking or weak policy framework together with a large number of institutions — when there is not a "monopoly" situation — with at least a minor role in the sector, but without any clear leadership in terms of planning and co-ordination. This often leads to duplication of functions, lack of co-ordination, different methods, standards and policies, all resulting in a lack of integration of the sector. The leading institutions often have a mix of functions vested in the same unit: regulatory, planning and operating. Policies on cost recovery and tariffs were often not clear or not implemented. A spectacular common trait between the countries has been the strong priority given to urban supplies at the cost of rural supplies.

The most common institutional arrangements in the Central American countries may be found in two categories. The first one is a model where a national *urban utility* is responsible for urban areas, while another — most of the time the Ministry of Health — is re-

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sponsible for rural areas. In this model the national priority for urban areas is reflected in the importance of the urban utility, often combined with a relatively effective way of catering for the priority areas. In the other model one finds a *comprehensive* utility responsible for the sector in all areas. Sometimes this utility is under the Ministry of Health. In these two models, a common denominator is that the responsibility for the rural areas often is vested with the Ministry of Health. Apart from the national sector institutions, regional institutions exist also in the WES sector, the main ones being the following:

- The *Regional Water and Sanitation Network for Central America* (RRAS-CA) initially launched by the UNDP/World Bank Water and Sanitation Programme, but now managed by UNICEF with the Swiss Development Co-operation (SDC)<sup>5</sup> and the Swedish International Development Authority (SIDA)<sup>6</sup> support. RRAS-CA focuses on donor co-ordination, advocacy for sector reform and institutional strengthening in the four countries with the lowest coverage rates (Guatemala, Honduras, El Salvador, and Nicaragua). RRAS-CA is based in Honduras since 1994.
- *Comité Coordinador Regional de Instituciones de Agua Potable de Centroamérica, Panama y República Dominicana* (CAPRE) created in 1979 and primarily working with the urban water and sanitation utilities.

### 1.2.2 SECTOR PRIORITIES AND KEY ISSUES

Of the total spending in the sector in **Belize** (rural), approximately 25% was dedicated to sanitation during 1991-1995. On the average, **Costa Rica** spent 94% in water activities. The trend in **El Salvador** has been an increasing attention to sanitation: In 1991, more or less 77% of the investments in the sector in El Salvador went to water, but looking at investments in 1994, the distribution between water and sanitation was more or less equal, and in 1995, 70% is planned to be spent on sanitation. A partial explanation is a major latrine construction project by the Social Investment Fund, but also that ANDA has increased its share on sanitation. In **Honduras** 25% of SANAA's investments (1989-1993) were spent on sanitation. In **Nicaragua** sanitation expenditure accounted for 11% of total investment during the period 1991-1995<sup>7</sup>.

To the above summary of the recent water and sanitation sector priorities of governments in Central America a few indications of the key problems and causes of the present situation should be added. As a general characteristic of the region, although to varying degrees, the existing sector policies and the dominant sector actors tend to neglect the rural areas and the poorer strata of the urban population. The majority of the unserved and underserved population is made up of the rural poor and the peri-urban poor. In order to increase coverage of water and sanitation in the region, and thereby create impact on the health status of the population, further investments must be targeted to the rural and the peri-urban poor.

Sector reforms with the purpose of creating a policy framework and a sector organisation enabling sustainable development of water supply and sanitation are shared requirements

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<sup>5</sup> COSUDE in Spanish

<sup>6</sup>On July 1st, 1995, the previously existing Swedish development co-operation agencies were merged into a new unit named the *Swedish International Development Co-operation Agency* with the acronym *Sida*. Here the acronym SIDA is used to designate the authority before July 1995.

<sup>7</sup>Questionnaire 4, WATSAN officer

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in all countries of the region. Any long-term programme aimed at a reduced rate of water-related diseases and a reduced burden of women has to take this sector context into consideration in order to become relevant to the problems of the needy.

### 1.3 Programme history

The UNICEF Water and Environmental Sanitation Programme (the WES Programme), and its Subregional Component under review here, comprise all seven countries in Central America. The Guatemala Area Office (GAO) oversees UNICEF programmes in Guatemala, Belize, El Salvador, Costa Rica and Panama; in Guatemala, the Country Programmes are under a Programme Co-ordinator, and in the other four countries, there is a UNICEF Delegate Representative. In Honduras and Nicaragua, UNICEF has "fully fledged" Country Offices.

In 1987 the Swedish International Development Authority began regional development co-operation with Central America by signing an agreement with UNICEF to support the UN agency's regional programme on water and sanitation. The agreement covered the years of 1987-1991. The SIDA objective was to support the peace process in the region.

UNICEF requested continued support to a similar five-year programme (1991-1996). The Programme proposal "included support to Country Programmes in each of the seven countries"<sup>8</sup> as well as a support to a "subregional component". An appraisal of the programme proposal was carried out in 1991<sup>9</sup>. The appraisal recommended a number of improvements of the proposal. The Swedish government decided to support the new programme with SEK<sup>10</sup> 15 million per year, totalling SEK 75 million, without changes in the proposal. At the exchange rates prevailing in 1992, the Swedish contribution was estimated at more than 56% of the costs for full Programme execution<sup>11</sup>. The new agreement between UNICEF and SIDA was signed in September 1991 under the heading "Central America Subregional Programme: Water and Sanitation". The project document referred to in the agreement is called "A water and environmental sanitation project proposal for Central America and Panama"<sup>12</sup>.

In 1992 UNICEF forwarded a request to SIDA for support to a two-year programme for water and environmental sanitation in former conflict areas in El Salvador. The proposal for "Water Supply and Sanitation Project for Former Conflict Area Communities of El Salvador 1993-94" was worked out by UNICEF El Salvador and the GAO. The Swedish

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<sup>8</sup> Terms of Reference.

<sup>9</sup> Lewin et. al, 1991. Cf. Annex 2, Documents reviewed.

<sup>10</sup> SEK stands for Swedish Kronor. Before 1992 the SEK was fixed to the ECU and its rate to the US dollar (USD) was changing but averaging about 1 USD = 5.5 SEK. In the fall of 1992 the SEK started floating in relation to all currencies. This resulted in a devaluation of the SEK to the dollar by about 25% or more. At the time of writing the rate is around 1 USD = 7 SEK.

<sup>11</sup> *Proposal to the Government of Switzerland for support of Subregional Component of Water, Sanitation and Environmental Education programme, Central America, 1993-94*, UNICEF, Guatemala Area Office, 1992. The remaining financial need was originally planned to be met by other donors. Later Switzerland joined Sweden and the rest of the budget is financed by UNICEF's General Resources.

<sup>12</sup> This "project document" is a collection of eight documents: one programme for each country plus one for the Subregional Component. In the latter document the overall programme is presented as a whole, which would imply that the Subregional document is also the overall project document. In the opening "explanatory note" of the Subregional proposal it is stated that "this document outlines the general context, goals and strategies of the entire programme". The Subregional programme is also presented and the note adds that "Each of the seven country programmes are described in separate accompanying documents".

government decided to support this programme during 1992/93-1993/94 with SEK 14.8 million<sup>13</sup>. The new agreement was regarded by SIDA as an extension of the on-going five-year agreement with UNICEF.

In 1993, the regional Programme was reviewed by independent consultants<sup>14</sup> recommending continued support to the Programme. In April 1994, the support to the former conflict areas in El Salvador was evaluated by independent consultants<sup>15</sup>, who proposed that the support should be extended to 1996<sup>16</sup>.

Switzerland started to support the Subregional Component in 1993. In 1992 the Swedish support to the Subregional Component budgeted for 1996 had been used for finance of the Subregional Component. The agreement between the government of Switzerland and UNICEF of 1993 committed USD 927 000 during 1993 and 1994 to the Subregional Component of the five-year Programme. Swedish funds to the Subregional Component were therefore released to the Country Programmes. For 1995-1996 the Swiss government has contributed another USD 959 000 to the Subregional Component.

During the fall of 1994, SIDA had received a request from UNICEF for additional funding of the regional Programme<sup>17</sup>. The proposal was costed at USD 4.5 million for the years 1994-96. After discussions with SIDA, the timing was changed to be 1995-1996. The additional funding was intended partly for the on-going five-year Programme, partly for the special programme to former conflict areas in El Salvador. SIDA decided to support the request with SEK 32 million, out of which SEK 28 million were for the five year Programme and the remaining SEK 4 million for the special programme in El Salvador. This decision was financed completely from the budget line for Development Co-operation with Central America, i.e. there was no funding from the item for Democracy and Human Rights. The main justification in the Swedish decision memo for additional funding were that new actors in the sector, i.e. mainly the Social Investment Funds, had implied a changed role for UNICEF, whereby more funds could be used for feasibility studies, hygiene education and similar software<sup>18</sup>. The total Swedish financial support to the two programmes may be summarised as shown in Table 9.

**Table 9: Swedish financial support to the UNICEF WES Programme**

Year of agreement	Programme	SEK million
1991	General	75.0
1993	Special	14.8
1995	Joint	32.0
Total funding 1991-96	Joint	121.8

Source: Respective agreements

To this Swedish contribution should be added the Swiss support to the Subregional Component, totalling USD 1.9 million for the years 1993-1996.

<sup>13</sup> These funds were allocated from the SIDA budget line for "democracy, human rights and humanitarian assistance".

<sup>14</sup> Medina, Vargas & Winblad, 1993.

<sup>15</sup> Winblad & Garcia, 1994.

<sup>16</sup> The agreement for 1993-94 had already been extended to cover also 1995, without additional funds, due to late start of the programme.

<sup>17</sup> *Reorientation and additional funding for the Water, Sanitation and Environmental Education Programme in the seven countries of Central America*, UNICEF Guatemala Area Office, 1995

<sup>18</sup> It was also noted that expected funds from Denmark had not been forthcoming. Please cf. below regarding the need for co-ordination caused by the increasing amounts of funds.

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Without any ambition of covering all Swedish or Swiss support to water and sanitation in the Central American region, it should be added that both countries are supporting related programmes such as the Regional Water and Sanitation Network for Central America, (RRAS-CA). Sweden is also supporting the regional programme for quality control of water, called MASICA/PROAGUA. Both countries support bilateral programmes in Nicaragua, and Switzerland supports a water and sanitation programme in Honduras.

## 1.4 Programme description

As further contextual background to the evaluation study, the Swedish and Swiss support to the above-mentioned programmes is described in terms of objectives, strategies, counterparts and costs. The objectives and strategies are related to three different areas, i.e. the Country Programmes, the Subregional Component and the special programme for ex-conflict areas in El Salvador. Moreover, there is a new set of objectives for the period starting in 1995, after the reorientation and additional funding. This multitude of objectives makes it a rather complex task to penetrate all objectives and the related strategies. This section is a brief presentation of a large number of programme documents.

### 1.4.1 OBJECTIVES AND STRATEGIES

The section is divided into the three main programmes, i.e. the main Programme of support to the Country Programmes, the support to the Subregional Component and the special programme for El Salvador.

The 1995-1996 funding is based on an agreement for additional funding. As the evaluation started in mid-1995, it is too early to evaluate in relation to the 1995-96 funding. But no new objectives have been agreed upon: the 1995 agreement amendment between Sweden and UNICEF for additional funding to the regional Programme refers to the *Extended Project Document*<sup>19</sup>. No specific account of objectives or strategies is given in the amendment. The partly reformulated objectives of the *Extended Project Document* are specified on Country Programme level, where also expected outcomes of the additional support are given in most cases. But the UNICEF proposal itself includes new strategies to be pursued (cf. section 5 below).

#### *Country Programmes*

The 1991 agreement between Sweden and UNICEF states the following main objectives (quoted from the agreement) for the support to the regional Programme, within the joint commitment to "improve the standard of living for the people in rural and urban fringe areas":

- (1) to reduce the incidence of water-borne diseases and thereby contribute to substantial improvements in the health of mothers and children;
- (2) to reduce the burden of women and children in their daily chore of collecting water;
- (3) to promote and strengthen community organisation and its confidence to work in

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<sup>19</sup> *Proposal to the Government of Sweden for Reorientation and additional funding for the Water, Sanitation and Environmental Education Programme in the seven countries in Central America, period 1995-96, UNICEF, Guatemala Area Office, January 1995.*



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- organised groups;
- (4) to demonstrate a model for providing water and environmental sanitation in peri-urban slum areas; and
  - (5) to increase family incomes by reducing the cost of water.

In the Programme Document<sup>20</sup>, the overall goal is stated as to "improve the health situation and well being of children and women in the seven countries of Central America" and includes objectives 1 and 2 above (it names infant and child mortality and morbidity as indicators). Thus, the main objectives in the agreement contain three items that are not found in the Project Document, i.e. objectives 3-5 above. The overall goals in the Project Document are supplemented by the following "main objectives of the programme":

- providing improved water supplies to unserved and underserved communities in making it continuous, of better quality, in greater quantity and more accessible;
- improving sanitary practices among the population as well as a greater awareness of how to protect the environment through systematic health, hygiene and environmental education;
- providing improved low-cost and appropriate methods for the safe disposal of human waste;
- protecting the environment by drainage and watershed management, tree planing and environmental education; and
- improving the technical and operation capacities of government to respond more effectively and efficiently to the water and sanitation needs of the poorest groups of the population, as well as enhancing their capacities to efficiently use internal and external resources to ensure better coverage of unserved groups.

Under these overall Programme objectives each Country Programme as well as the Sub-regional Component also have their own objectives, leading to a multi-level set of objectives for eight components of the overall Programme. In the 1991 agreement it was stated that the Programme strategy is based on:

- improved water supply with emphasis on technology appropriate to the physical and socio-economic conditions prevailing. Special consideration to the local communities ability to operate and maintain the improved systems;
- support to environmental sanitation, e.g. construction of latrines affordable to the households;
- development of sustainable systems/methods for maintenance and operation including cost recovery;
- human resources development and health/hygiene education;
- participation by the beneficiaries;
- support to existing institutions responsible for community mobilisation; and
- support to government institutions responsible for water supply, environmental sanitation and hygiene education.

The agreement goes on by stating that "the specific details on programme design, components, inputs and budgets are mentioned in the Project Document" (cf. above). In the Project Document there is an elaborate section on "guidelines and strategies" for the national programmes. A brief way to summarise the national strategies is to mention the

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<sup>20</sup> As was mentioned previously we here refer to the Subregional project proposal, containing an overall presentation of the programme: *Water Sanitation and Environmental Education, Central American Programme, Subregional 1991-95*, UNICEF Guatemala Area Office, Preliminary Proposal, May 1991.

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main components of the Country Programme approach, i.e. water supply, environmental sanitation and health education and training, complemented by *programme support* interventions in the areas of "social mobilisation and advocacy, institutional development appropriate technology, co-ordination, women's participation and monitoring and evaluation". As a general characteristic for all Country Programmes it may be said that the Programme uses the following approaches:

- (1) institutional development;
- (2) health education;
- (3) social mobilisation and advocacy;
- (4) appropriate technology; and
- (5) programme support.

#### *The Subregional Component*

The Subregional Component had its objectives set in the 1991 proposal. Under the overall programme objective the Subregional Component "will support and complement the seven Country Programmes by" a number of activities. In short these activities were listed as:

- strengthening institutional capacity of Central American governments;
- supporting existing mechanisms for inter-country co-ordination of programmes;
- increasing access and orientation on alternative technologies and sector experiences;
- assisting the countries in establishing systems for sector data generation; and
- promoting inter-agency co-ordination.

In the 1992 proposal to the government of Switzerland, overall objectives of the Subregional Component are stated in a slightly different way: "to strengthen the water and sanitation sector agencies and programmes of each of the seven countries of Central America thereby maximising results in" the two overall objectives of the Programme as a whole. The specific objectives for the Subregional Component are stated differently, i.e. more precisely and clearly in the 1992 proposal than in the 1991 document<sup>21</sup>. The specific objectives are three:

- (1) strengthening and complementing the performance of the parallel programmes in all seven countries by technical assistance, subregional exchange and subregional co-ordination;
- (2) mobilising large scale resources (channel compensatory programmes into the WES sector); and
- (3) development and dissemination of efficient subregional model approaches.

The above-mentioned five approaches for the Country Programmes are also the areas of intervention for the Subregional Component, supplemented by an inter-agency collaborative programme for technical support and monitoring and evaluation of the subregional programme. For the Subregional Component there are further added the special activities to support and complement the Country Programmes:

- strengthening the institutional capacity of Central American governments in planning, operation and standardisation of innovative, alternative WATSAN systems;
- supporting existing mechanisms for inter-country co-ordination in water and sanitation.

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<sup>21</sup> They remain the same in the 1995 proposal to the government of Switzerland.

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- increasing access and orientation on alternative technologies and sector experiences with services for poor families throughout the region in the context of structural adjustment;
  - assisting the countries to set up information, monitoring and evaluation systems that generate up-to-date data on the WATSAN sector, especially identifying the most vulnerable groups; and
  - promoting inter-agency co-ordination, making optimal use of the compensatory programmes and the decentralisation of services, particularly benefiting from the social investments funds<sup>22</sup>.

The 1992 proposal for the Subregional Component is much more specific in terms of main strategies and goes on to list expected outcomes for the five years. The main strategies are based on Central American government counterparts and the main international agencies and financial institutions for the WES sector.

#### *Special programme in El Salvador*

For the special support to former conflict areas of El Salvador, the 1993 agreement states that the Swedish contribution "shall be utilised in accordance with the Project Document"<sup>23</sup>. Then the agreement refers to a main strategy to be followed in a joint effort by UNICEF and a group of non-governmental organisations. In the Project Document, the following overall objectives are stated:

- to contribute to the improvement of the health and well-being of the population of some of the poorest former conflict communities located in 44 municipalities through the provision of potable water supply, adequate sanitation facilities and improved hygiene and environmental protection knowledge and practices;
- to strengthen communities' organisational capacities and facilitate their participation in the effective preparation, execution and operation of water supply and sanitation projects;
- to reduce the work load of women and children of project communities in the provision of water for their families, thereby contributing to a more productive utilisation of their time and energy; and
- to contribute to the reconstruction and reconciliation process in the target municipalities through the provision of concrete solutions to their immediate water supply and sanitation needs.

As may be seen from the above quotation, the special programme in El Salvador included the objective of strengthening community organisation, i.e. the item from the 1991 agreement that is not to be found in the regional Project Document. Further, we note the objective to contribute to the reconstruction and reconciliation process. The special programme for NGOs in El Salvador adopted strategic guidelines of more than a dozen specific items for the four major project components (water supply, sanitation, health education and training, programme support). Among the more important ones we may select the following for a brief summary:

- participation of the existing organisations and community leaders;
- project execution through NGOs considering the requirements of the peace consoli-

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<sup>22</sup> From the 1991 proposal.

<sup>23</sup> *Water Supply and Sanitation Project for former conflict area communities of El Salvador 1993-94*, UNICEF, Guatemala Area Office, December 1992.

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dation process;

- concentration to the poorest rural communities of the 44 target municipalities;
- appropriate, low cost/high impact and self-sustainable interventions;
- focus on strengthening the skills of women as initiators, leaders and managers
- avoid environmental degradation; and
- integrate all water supply and sanitation activities with health and hygiene education.

#### 1.4.2 UNICEF PARTNERS

Due to the lack of a single counterpart that can assume accountability for all the components in the WES strategy, a diversity of counterparts are found in each Country Programme and the Subregional Component. It is not uncommon to find that three different counterparts are engaged in either water, sanitation or health and hygiene education.

UNICEF representatives at all levels collaborate with government authorities and ministries, intergovernmental institutions, autonomous units and national non-governmental organisations. The number of partners<sup>24</sup> in each programme varies and so do the agreements and types of relationships between UNICEF and its partners. The partners, as the Evaluation Team has defined them, are presented in table 10 (cf. the list of acronyms).

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<sup>24</sup> It is proposed to replace the term counterpart by partner in English in order to emphasise the co-operative role relations between UNICEF and the participating organisations.

**Table 10: UNICEF partners in Central America**

	Government	NGO	Private	Inter-governmental	Regional	Partner	Sporadic
<b>Belize:</b>							
RWSSP	X					X	
WASA			X				X
PHB	X					X	
HECOPAB	X					X	
<b>Costa Rica:</b>							
MoH (DSB)	X					X	
ICAA	X					X	
Ministry of Education	X						X
National University							X
<b>El Salvador:</b>							
MSPAS	X					X	
ANDA	X						X
ASPS		X				X	
CPAS		X				X	
CODECOSTA		X				X	
FUNSALPRODESE		X				X	
Socorro Luterano		X				X	
PRO-VIDA		X				X	
<b>Honduras:</b>							
UEBD (SANAA)	X					X	
CHF		X					X
National University	X					X	
<b>Guatemala:</b>							
MSPAS	X					X	
SRH	X					X	
FONAPAZ	X					X	
COINAP	X					X	
EMPAGUA	X						X
COIVIEES		X				X	
<b>Nicaragua:</b>							
DAR (INAA)	X					X	
INIFOM	X					X	
<b>Panama:</b>							
MINSA	X					X	
TECHO foundation		X				X	
<b>Subregional:</b>							
PARLACEN				X		X	
RRAS-CA					X		X
ERIS				X			X
FEMICA		X					X
CEMAT		X					X
CAPRE				X			X
CRRH				X			X
RUTA-Social					X		X

Source: Evaluation field study

At the regional level, the UNICEF WES Programme has mainly been interacting and collaborating with the following regional and international institutions:

PARLACEN: Under an agreement with the PARLACEN for the development of the Trifinio area between Honduras, Guatemala and El Salvador, the Subregional Component has been assisting in the development of a Municipal Planning methodology.

RRAS-CA: UNICEF has collaborated closely with RRAS-CA since its inception in 1991 and is presently responsible for managing the network from its offices in Tegucigalpa. RRAS-CA has developed an extensive computerised data base of sector institutions and professionals in the region.

RUTA-Social (Regional Unit for Technical Assistance): Based in Honduras, RUTA-Social is expected to play a central role in project identification and development of social development projects (e.g. social development funds) for donor client institutions which include World Bank, Inter-American Development Bank, Pan-American Health Organisation and SDC. The regional water and sanitation specialist at RUTA-Social maintains close ties with RRAS-CA and the Subregional Component.

CAPRE: Designated by SICA (Sistema de la Interacción Centroamericana) as the main regional authority for the water sector in Central America (mainly serving urban WATSAN). Although CAPRE is a member of RRAS-CA they feel that there is a duplication of functions in that RRAS-CA has gone beyond its original function which had been understood to be "to co-ordinate the international agencies".

IRC: Although IRC has been contracted periodically to assist with training (cf. section 4.2.1), a more long term contractual agreement could orient their support more towards the institutional development level as well. It is the Team's understanding that a global relationship between UNICEF and IRC is under consideration, but the specific delineation of that understanding is not clear.

#### 1.4.3 PROGRAMME FUNDING

The Programme budget is based on supplementary funds from Sweden and Switzerland. In accordance with the agreements with the donors 6 % of the total finance has been retained by UNICEF New York Headquarters to recover administrative costs. In addition, UNICEF contributes from General Resources. The total contributions by country, Subregional Component and by year from Sweden and Switzerland are shown in Table 11 below. The 1995 agreement on additional funding is not included.

**Table 11: Finance (USD) from Sweden and Switzerland 1991-1994**

	1991	1992	1993	1994	Total 91-94	Still available	Total 91-96
Belize	20 000	220 100	22 300	80 300	342 700	172 200	514 900
Costa Rica		122 700	20 700	54 100	198 000	56 400	254 400
El Salvador	55 000	484 300	290 400	157 500	987 200	457 700	1 444 900
El Salvador: ex			176 600	790 100	966 700	1 111 300	2 078 000
Honduras		570 900	275 900	132 500	979 300	763 000	1 742 300
Guatemala		763 500	442 000	413 500	1 619 000	1 035 400	2 654 400
Nicaragua		668 600	754 300	399 600	1 822 500	323 400	2 145 900
Panama		143 700	63 300	61 600	268 600	75 400	344 000
Subregional:							
Sida		508 600	181 000	18 800	708 400*	338 000	1 046 400*
SDC			297 100	509 600	806 700	67 800	874 500

\* 262 500 of the funds were distributed to the Central American Country Programmes.

Source: Third progress report to Sweden, 1994 and Second progress report to Switzerland, 1994

The following table 12 shows the average percentage funded by each financing participant in the respective WES Programmes for the period under review:

**Table 12: Percentage of funding of the Programme in 1991-94**

	SIDA	UNICEF GR	National funds	Other donors
Costa Rica	40		60	
Belize	71	29		
Honduras	88		12	
El Salvador (ex-conflict and regular)	85		15	
Guatemala, rural	28		72	
Guatemala, urban	10.5	1.5		88
Nicaragua	72		28	
Panama	55	10	15	20

Source: Questionnaire 3, WATSAN Officer

As the table shows, the sources of financing of the WES Programmes differ between the countries, as well as the share of Swedish support. Some of the Programmes have over the last years been able to attract increasing governmental funds. The SIDA funds in Guatemala, for example, have a small share of the urban activities. This is due to a major contribution from the World Bank and the government of Guatemala in 1995. In Guatemala rural the contribution from the government is considerable.

### 1.5 The Programme's relative role in the region

At current exchange rates the total contribution from Sweden and Switzerland corresponds to the equivalent of about roughly USD 18 million over five years, i.e. USD 3.6 million per year. The total investments in the sector in the seven countries averaged USD 98 million per year during 1991-1993<sup>25</sup>.

It may be concluded that the UNICEF Programme in financial terms represents a relatively small share of the total investments in the sector and an even smaller share of the actual investments needs. In 1993, the latest year for which full investment data are available, the UNICEF total WES Programme budget equalled about 2% of the total sector investments.

In 1994, UNICEF total expenditure in WES amounted to 15% of total UNICEF expenditure on programmes, including emergency expenditure. In 1994, the total UNICEF expenditures in the WES sector in the Americas and the Caribbean were about USD 6.6 million<sup>26</sup>, representing a bit more than 8% of the total WES expenditures (excluding emergencies). We note that the Central American regional programme on the average over six years will utilise around USD 3 million per year of supplementary funds, i.e. almost half of the total in the Americas and the Caribbean, and 4% of the global expenditure of supplementary funds in the WES sector in almost 100 countries, i.e. 1% of total UNICEF global expenditure.

<sup>25</sup> Data in this section are based on UNICEF NYHQ information communicated to the Team. Any discrepancy with Table 6 in this report may be due to the fact that Panama is not included in the table.

<sup>26</sup> World Bank lending for rural WES during 1990-1993 averaged less than the UNICEF annual average expenditure.

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## 2 EVALUATION: OBJECTIVES AND APPROACH

The evaluation of UNICEF's WES Programme in Central America is presented in this section: scope and focus, methodology and implementation of the study as well as its limitations.

### 2.1 Scope and focus of the evaluation

The evaluation has been guided by the ToR (cf. Annex 1) from the Infrastructure Division of SIDA. The Programme agreement for the on-going support will expire at the end of 1996 and this evaluation is part of the preparations for a possible new agreement for the next Country Programme phase of UNICEF (1997-2001 for most countries).

The purpose of the evaluation is to assess programme performance by SIDA's established evaluation criteria (relevance, goal attainment, cost-effectiveness, sustainability and lessons learned). In this respect the evaluation is a strict *ex post* evaluation of past performance. But the purpose of the study includes the consideration of alternative or supplementary channels for future funds to the water sector in Central America and in this sense the evaluation study is also forward looking. This latter aspect has increased the importance of the evaluation process as such.

The ToR state that the evaluation should cover the present agreement period, given as July 1991 to December 1996, and include the support to former conflict areas in El Salvador. This means that the evaluation should cover the full period and scope of the *Extended Project Document* (cf. 1.4.1). As far as the *ex post* evaluation is concerned, past performance can only be assessed up to the time of the study, i.e. for all practical purposes up to the end of 1994, the end of the last reporting period. Other aspects of the evaluation, can of course cover the period up to the date of the evaluation mission. In terms of the scope and focus of the evaluation the following assessments are emphasised in the ToR:

- assessment of past performance;
- assessment of particular aspects of the Programme;
- organisational aspects including procedures for reporting and follow-up;
- lessons learned; and
- possible future Swedish support to the sector.

Taken together, the different aspects to assess beside past performance add up to more than 25 items. The most important ones are explicitly stated as: UNICEF's role in the Programme, institutional development including capacity building and empowerment at different levels, financial aspects of the Programme and regional focus.

### 2.2 Methodology and implementation

SIDA and SDC have commissioned the evaluation. The SIDA contract to carry out the study was awarded, upon tendering, to ICS Interconsult Sweden AB (ICS) and included five of the Team members. SDC is participating by the appointment and finance of one Swiss Team member, contracted between SDC and Perreten & Milleret SA.



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The independent Evaluation Team consists of Jan Valdelin (Ph.D., business administration; Team leader), Charlotta Adelstål (M.A., economics and social anthropology), Ron Sawyer (B.A., psychology and education), Rosa Núñez (medical surgeon, M.A., public health), Xiomara del Torres (civil engineer) and Daniel Gubler (M. Sc., civil engineering; Perreten & Milleret SA).

The Stockholm-based (Valdelin and Adelstål) Team's work on the evaluation started in mid-June, 1995, with a start-up meeting in Stockholm and consultations with the responsible officers at SIDA (Ingvar Andersson, Head of the Water Section, Infrastructure Division and Bengt Johansson, Senior Programme Officer, Water Section).

*The preparatory stage* of the evaluation work was a desk study of available documents. The Stockholm-based part of the Team also designed the study. The result of the preparatory stage was an inception report<sup>27</sup>, presenting the methodology of the study and planning dates for implementation. It was discussed with SIDA and distributed to UNICEF and the Team members. During the preparatory stage four sets of interview guides for the Team as well as eleven sets of questionnaires to the different actors in the Programme were produced. Six of the questionnaires were distributed to the UNICEF WES officers with the assistance of the subregional team at the GAO. The remaining questionnaires were presented to the respective respondents during the field visits. All in all, the preparatory stage lasted from mid-June to mid-July 1995.

As indicated in the preceding section on the Programme, its complexity offers a great challenge to evaluators. In spite of the apparent simplicity of the ToR, where the *object of study* is presented as one Programme, there is a real difficulty deriving from the fact that the evaluation must assess seven Country Programmes, one special programme in El Salvador and one Subregional Component. This means that the evaluation must create an analytical unity out of nine programmes. The design of the study reflects this movement from a general overview of one Programme down to detailed views of the nine programmes, only to try to move up again to a position of assessing the totality of one Programme with all these levels in mind.

The Team has used a participatory approach to the evaluation study. First, within the Team itself each Team member had full responsibility for independent important tasks. After three days of meetings in Guatemala City, the Team split into sub-teams responsible for essential parts of the study. The leadership style of the Team has been based on decentralisation, full participation of each member and free discussions. Second, the evaluation has consciously been designed in such a way that a full and complete participation of UNICEF representatives, UNICEF partner representatives and communities has been encouraged at all stages.

The actual field study part of the evaluation study lasted for seven weeks and was divided into three phases. The Team's work schedule during the field study is illustrated in the table below.

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<sup>27</sup> *Inception Report, Evaluation of UNICEF's programme for water and sanitation in Central America, Belize and Panama*, ICS, July 14, 1995.

**Table 13: Evaluation work schedule 17/7 - 1/9 1995**

	Phase I 17/7 - 4/8 (3 weeks)	Phase II 5/8 - 20/8 (2 weeks)	Phase III 21/8 - 1/9 (2 weeks)
Daniel Gubler	Panama/Guatemala	Subregional/Synthesis	Analysis, Workshop, Report
Rosa Núñez	Panama/Guatemala	Costa Rica	
Xiomara del Torres	Honduras/Nicaragua	Costa Rica	
Ron Sawyer	Honduras/Nicaragua		
Jan Valdelin	El Salvador/Belize		
Charlotta Adelstål	El Salvador/Belize	Subregional/Synthesis	

*Phase One* (3 weeks) started in Guatemala City on July 16 with the full Team getting together to start the country field visits. The purpose of the first phase was to visit all countries where the Programme is implemented, which has not been done in any previous external evaluation of the Programme. A draft country report for each country was produced, where a major aspect was to point out key issues and focus for the final phase of the study. These working papers were used internally by the Team in order to guide the continued work. With the purpose of increasing the dialogue with UNICEF the draft country reports were also circulated to the respective country WES officers and the subregional team for comments and corrections. This turned out to be a very useful method of having an on-going discussion between the Team, the UNICEF staff and the counterparts.

The objectives of *Phase Two* were: to produce a synthesis report based on the country reports and the replies to the questionnaires from the different actors, and to study the Subregional Component of the Programme and present a working paper. The study design for Phase Three, for which the details had been left pending, was settled upon after phase two. The possibility for further field trips in order to study specific cases was considered, but deemed less important than to concentrate efforts in Guatemala city for the analysis of the nine reports leading to the outline and write-up of the draft main report.

During the debriefing of the Phase One the Team had proposed to the subregional team and to the Swedish Embassy in Guatemala to arrange a workshop at the end of the evaluation, where the UNICEF WES officers and representatives of counterparts as well as the relevant embassies could interact with the Team and discuss the Team's tentative conclusions<sup>28</sup>. This proposal was well received and UNICEF offered to arrange the workshop in Antigua Guatemala during August 30-31. This constituted also the debriefing to UNICEF and the embassies. On September 1, 1995, the Team had its final session together and discussed the results of the workshop and implications for the draft final report. The final editing of the present Final Report was done in the ICS offices in Stockholm.

<sup>28</sup>Looking back at it, the participatory evaluation workshop would have been much more useful earlier on during the evaluation process, rather than at the end. This arrangement would have helped to have built greater confidence, support and consensus throughout the evaluation process — and relieved considerable pressure and negotiation during the later stages of the evaluation.

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## 2.3 Limitations of the study

This evaluation study has been carefully prepared by the elaboration of the ToR in consultations between SIDA, SDC and UNICEF. The Evaluation Team has been selected by competitive bidding and represents a combination of different professional, regional and international experience. This experience covers evaluations in general and the various themes of this particular evaluation. SIDA and SDC have allocated substantial resources at the disposal of the Evaluation Team in terms of finance and expert time inputs.

The Evaluation Team has generated data by several independent methods: documents review, questionnaires to UNICEF and counterparts, interviews in all seven countries with UNICEF and counterparts, visits to project sites and interviews with community members<sup>29</sup>, as well as the comments from UNICEF on the draft country reports, the draft subregional report and during the workshop, where also counterparts were represented.

In spite of the above-mentioned factors that create good conditions for the study, the Team is aware of important limitations to the study and what it may achieve. The ToR present a very broad scope for an intricate multi-level Programme in seven countries. In light of this combination, the available resources still put severe constraints on the evaluation. The field visits lasted less than a week, week-ends included, in each country. The number of people met have put sharp limits to the time available for each interview. Although the available documentation has been massive, there are still voids in the available data customised for the needs of the evaluation — and the Team's time to penetrate the documents has had its limits as well. The Programme's planning has not established a system of objectives and indicators that could be easily measured and lead to quick assessment of performance. The survey material has only partly been answered by some respondents.

The Team's analysis, conclusions and recommendations are based on what we actually read, saw and generated as data. The Team cannot take into account what we did not read, see or had pointed out to us.

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<sup>29</sup> A total of more than two hundred named people in Annex 2.

### 3 ASSESSMENT OF PROGRAMME PLANNING

This section assesses to what extent the Programme is designed to address a priority problem, whether the problem still exists today, and if the objectives can be reached with the planned activities. An analysis of the context is provided, to assess how external constraints affecting the Programme have been taken into consideration. A verification of the conformity of the Programme design with the principles of SIDA, SDC and UNICEF is also carried out.

The *relevance* of the Programme is assessed here, trying to answer the question: "*Are they doing the right things?*"

The question: "*Are they doing it well?*" (*goal attainment* and *cost effectiveness*) will then be dealt with in the following section.

#### 3.1 Problem analysis

As discussed in section 1, one of the major factors of the low quality of life of the poor in Central America is the insufficient coverage with drinking water supply and excreta disposal facilities. In spite of the considerable improvement of the coverage percentages in the last fifteen years, the number of *unserved* is still substantial (see table 5 in section 1.2).

*Today, as in 1991, the need to improve coverage in drinking water supply and excreta disposal facilities deserves priority.*

The unserved are predominantly rural (and peri-urban poor); they are also affected by the other curses of poverty: poor housing, poor access to health services, lack of income opportunities, etc. The most frequent diseases are acute respiratory diseases and diarrhoea. In many cases, the population, although conscious of the link between hygiene and disease, fails to adopt the appropriate practices.

There are ample indications (e.g. FIS in El Salvador) that the construction of sanitation facilities, while recorded as extension of coverage, may not be followed by the use of these facilities.

*Today, as in 1991, investment programmes must be supplemented with hygiene educa-*

Box 1 — Agua, Fuente de Paz:  
Priority to the poorest in Guatemala

The departments of Huehuetenango, Quiché, Totonicapán and Alta Verapaz, in Guatemala, are among the least developed of Central America, with health and social indicators below average (rural water supply coverage around 30%). The population (66 to 97% indigenous) has been considerably affected by the decade-long armed conflict. This is where, in 1992, the programme Agua, Fuente de Paz was launched, with the following objectives:

- Extension of the water supply and sanitation coverage of the rural poor in the ex-conflict areas;
- development of collaboration between various stakeholders (communities, municipalities, private sector, NGOs);
- standardisation of methodologies and strategies for a unified approach;
- strengthening of the capacity of the Water Resources Secretariat (SRH).

Four institutions promote Agua, Fuente de Paz: SRH, the National Fund for Peace (FONAPAZ), the Ministry of Health, and UNICEF. The costs are shared by FONAPAZ (39%), UNICEF (SIDA funds: 14%), the Municipalities (13%), the communities (30%), the Ministry of Health and SRH (3%).

Projects will only be initiated upon requests by organised communities, and will always integrate drinking water supply, sanitation (construction of model latrines to stimulate interest) and, at the suggestion of UNICEF, health education.

(Sources: FONAPAZ et al., 1994: Programa 'Agua, Fuente de Paz', Informe Anual, 1993; Evaluation Team field enquiries in Guatemala).

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tion in order to obtain a significant health impact.

The sector organisation (cf. section 1) is not geared to address the problems of the poor:

- there is no incentive for urban utilities to invest for small consumers in the peri-urban areas<sup>30</sup>;
- the WES sector receives insufficient resources from the medically oriented Ministries of Health; and
- within UNICEF itself, the integration of WES, health and nutrition is insufficient.

*There is a need to promote sector reforms so that the problems of the unserved are better addressed.*

New prospects are provided by the decentralisation efforts currently carried out in different countries. The municipalities are recently being given financial means for social investments, however, often without having the necessary managerial capability .

While considerably more investments come from other sources (World Bank, IDB, and several bilateral donors), no organisation other than UNICEF is involved to that extent in the promotion of WES to the underprivileged. However, the relevance of the Programme must be qualified according to the regional disparities: Honduras, El Salvador Nicaragua, and Guatemala have each between 1 and 3.2 million people without access to clean drinking water and/or sanitation facilities; considerable investment with external support is still required in these countries. Costa Rica, on the other hand, reports full urban coverage already now, and close to 90% rural coverage; in Belize approximately 90% of the population are reported to have sanitation facilities in both urban and rural areas; and in Panama, with an average per-capita income of USD 4 910<sup>31</sup>, the required investments could be funded from local resources, were they equally distributed. In these three countries, the external support could now focus on the "software side" (environmental health education, community organisation and sector reforms). The uncommon population structure of Belize (new needs brought by immigration) must receive particular attention in planning.

**Box 2 — Priority shift in Panama**

The UNICEF WES Programme for Panama was designed with a rural and an urban low-income community components. The rural component provided support to the construction of water supply systems for indigenous communities in remote areas of Chiriqui province. The devaluation of the Swedish currency forced UNICEF to reduce the Programme scope, and in 1994 the provision of building materials to rural communities was discontinued, bringing the component to a virtual halt (although some educational and institutional support are going on). The decision was based on effectiveness considerations (use the scarce resources where the impact would be greater).

A coherent and well balanced policy requires that UNICEF be present also in rural areas, in spite of the presence of other donors.

The rural project in Guatemala focuses on the problems discussed here (Box 1), but the rural project in Panama, also responding to the same problem analysis, has been scaled down (Box 2), while in Belize, UNICEF intends to phase out the rural water supply component (Box 3).

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<sup>30</sup> Although in Honduras, UEBD (*Unidad Ejecutora de Barrios en Desarrollo*, Development Districts Execution Unit) has begun in 1995 to be institutionalised within the formal structure of SANAA, the water and sewage agency.

<sup>31</sup> UNDP, 1994, *Human Development Index of the Central American Isthmus* (quoted in an internal UNICEF GAO document).

### 3.2 Policy principles

In order to assess the planning of the UNICEF WES Programme in Central America in relation to relevant policy principles a brief analysis of the consistency of the programme principles with the policies of SIDA, SDC and UNICEF is presented.

#### Box 3 — Phasing out rural water supply component in Belize

The country has recently (September 1995) completed a situation analysis. Given that the country is close to attain universal water supply, activities of the current Water Supply and Sanitation Programme (implemented through the National Water and Sewage Authority) will be refocused on environmental sanitation/education working through the Ministry of Health. The Country Programme 1997-2001 strategic framework will then include three integrated components: education, health/nutrition and child protection.

#### 3.2.1 SIDA

SIDA's Water Strategy was spelled out in the 1980's<sup>32</sup>. The 1991 amendment from SIDA presents guide-lines on environmental hygiene<sup>33</sup>. Both documents were valid at the start of the UNICEF WES Programme. A comparison of the SIDA Water Strategy and the UNICEF sector strategy demonstrates great similarities. We have found that the UNICEF WES Programme design in Central America is very much in line with the SIDA Water Strategy. Among the major items of this strategy, the following deserve to be mentioned in this context:

*Target groups:* SIDA targets poorer groups in rural populations, particularly in less developed areas and including peri-urban areas. Women and children are targeted due to their position in water use.

*Strategy:* improved water supply, improved health and improved hygiene through better access to water, community based approach, health and hygiene education and sanitation programmes. Co-operation with a country should include national capacity building and local level participation. In the amendment on environmental hygiene, the need for increased emphasis on sanitation and health education has been stressed at the expense of water supply. This emphasis has been clearly demonstrated in the UNICEF "Programme Document".

*Problem identification and planning:* the amendment on environmental hygiene stresses the need for local problem analysis and participation analysis leading to documents with clearly defined objectives and "realistic targets and activities in sufficient detail to guide implementors and evaluators". The original "Programme Document" for the WES programme in Central America is not based on such community based analysis. Targets are more general in nature and on country level. In many cases the implementation phase has involved local community-based planning, however, the communities have not been involved in problem analysis or participation analysis.

The problem area in the policy principles between the actual planning of the WES programme and SIDA's strategy is found to be in the Programme plans. The original plans on national level are not as community-based as SIDA's guide-lines would imply. The further planning during the implementation phases have often led to improvements in this

<sup>32</sup> Water Strategy — Water Supply Programmes for Rural Areas, SIDA, Second edition, 1987.

<sup>33</sup> SIDA guide-lines on environmental hygiene, SIDA, 1991.

respect. Still, there is room for improvement in the next programming period, probably by linking community-based approaches to the municipal plans.

### 3.2.2 SDC

The sector policy of SDC is spelled out in two documents<sup>34</sup> and has the following objectives:

- promotion of access to drinking water;
- promotion of low-cost and environmentally sound sanitation;
- development of municipal waste management schemes;
- promotion of improved hygiene behaviour; and
- training and follow-up within the frame of WES Programmes.

SDC proposes a set of five strategies; the following chart summarises the strategies and the Evaluation Team's assessment of the extent to which these strategies are applied in the programme (focusing on the Subregional Component funded by SDC, and with an interpretation appropriate for this essentially "software-oriented" component).

SDC Strategies and their features	UNICEF WES Programme design
<b>1. Social field:</b> "Motivation and participation of all involved" "Community-based management" "Women participation"	Promotion of <u>decentralisation</u> of project identification to the Municipality level: yet Municipalities not actually <u>involved</u> so far. Municipal Plan <sup>35</sup> supply-driven, without co-ordination with demand by community <sup>36</sup> . Gender issues are addressed.
<b>2. Institutional field:</b> "Optimum allocation of tasks" "Strengthening of institutions"	Support to decentralisation and regional integration. Insufficient capacity building support at municipal level.
<b>3. Economic field:</b> "Beneficiaries must derive tangible advantages from projects" "Cost recovery and cost sharing"	The Programme shows concern for water resources management. Acceleration of project implementation is aimed at. Cost recovery studies
<b>4. Technological field</b> "Sustainable infrastructures depend on: appropriate technology, promotion of local construction, avoidance of new risks"	The component provides follow-up on technology development: MAYA hand pump, rainwater catchment, etc. (4 out of 20 documents produced in 1993 <sup>37</sup> are on technology).
<b>5. Rules and Regulations, Skills and Knowledge</b> "Sustainability depends on: the ability to solve new problems, the strengthening of available knowledge through new competence"	Addressed through seminars for exchange of experience and training.

The project *design* (for project *implementation*, cf. section 4) is well in tune with the SDC

<sup>34</sup> SDC, *SDC Sector Policy on Water Supply and Sanitation*, 1994 and COSUDE, *Agua Potable y Saneamiento Básico: Lineaments de COSUDE para América Central*, 1995

<sup>35</sup> Municipal Plans are water and sanitation project identification studies, carried out by the Subregional Component in the Trifinio and other areas.

<sup>36</sup> Corrective action has already started with the initiation of Municipal Social Development Plans.

<sup>37</sup> UNICEF, *List of Document Made in 1993*.

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strategy.

### 3.2.3 UNICEF SECTOR STRATEGY

UNICEF recently approved new WES sector strategies<sup>38</sup>, and although the Central America WES Programme was designed much earlier, a check of its design against the UNICEF strategies is made. It is found that the programme generally follows the strategies, yet the capacity building and gender focus strategies are worth a comment.

According to the strategy document, programme approaches should be adopted, "that build capacity at all levels and in all segments of society..." This principle is being applied in the *Unidad Ejecutora de Barrios en Desarrollo* project in Honduras, i.e. what started as a pilot project in the peri-urban areas eight years ago is now being institutionalised, and UNICEF helped create an autonomous funding base within the private sector. Another example is the development of a sector monitoring system (MUNIAGUA).

An important aspect of the UNICEF strategy (paragraph 69 and 70) is the so-called "catalytic support to the expansion of services." The Central America Programme takes place in a context of sharply increasing funds for the social sector through e.g. the Social Investment Funds, the Peace Funds, decentralisation. Thus the Programme provides many examples where such a catalytic role could be used. The Municipal Plan strategy, developed in the Subregional Component, has potential in providing access to funds. The following should however be recognised:

- Municipal Plans should only be undertaken where the likelihood to find the investment in the near future is high, otherwise the plans will become obsolete.
- Capacity building efforts geared at the municipalities should be undertaken in parallel with the preparation of the Plans (presently, the Plans are prepared by UNICEF consultants with the help of the Rural Sanitation Technicians of the Ministry of Health, and handed over to the Mayors once completed).
- The desire to achieve full coverage does not have priority over the fact that only projects requested by communities have a chance to be sustainable (Municipal Plans are prepared for all communities of a *Municipio*)<sup>39</sup>.

Paragraph 89 of the Strategy Document refers to staffing at the level of the UNICEF country office: "... human resources in field offices will include attention to increasing the proportion of women professionals to work on UNICEF-assisted WES programmes to increase their representation from its current level of only 10 percent". In the Team's judgement the present situation in Central America affects the programme performance (cf. section 4).

### 3.2.4 OBJECTIVES ANALYSIS AND FEASIBILITY OF PROGRAMME PLANNING

Planning is the process of defining the objectives of a programme, the strategy to achieve them, and the "inputs" required. *Participatory* planning, involving the executing agency

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<sup>38</sup> UN Economic and Social Council, *UNICEF Strategies in Water and Environmental Sanitation*, 1995

<sup>39</sup> Attempts to link Municipal Plans to community-based assessments have been initiated recently; results were not available at the time of the mission.



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(UNICEF), the counterparts and the donors is essential for the success of development projects<sup>40</sup>. The eight<sup>41</sup> Country Programmes and the Subregional Component have each different objectives, even if the goals are more or less the same: to improve the health situation and reduce of the workload of women.

The specific objectives (cf. section 1.4.1 for details) have first been described in the various Project Documents (UNICEF, 1991: "Water, Sanitation and Environmental Education Central American Programme, [Country X], 1991-1995", Guatemala Area Office) for the Country Programmes, and in the Proposals to the Government of Switzerland, of December 1992 (for 1993-1994) and February 1995 (for 1995-1996), for the Subregional Component. These documents have been drafted essentially by UNICEF, without a thorough consultation:

- of the Area Office for the Country Programmes;
- of the counterparts (no planning workshop); and
- of the donors (SIDA has however carried out an appraisal of UNICEF's proposal, the Lewin Report of January 1991. SDC has accepted the UNICEF proposals as presented).

The initial targets of the 1991 proposal were revised in May 1995. The adjustment of the original targets was based on the budget accepted by SIDA. The new targets are presented in the Plan of Actions. However, the information in the donor reports is at times confusing and many targets are not expressed in terms of quantities, especially for the non-construction activities<sup>42</sup>. It should be mentioned that the uncertain budget, due to devaluation of the Swedish currency, has obviously been an obstacle to effectively plan the Programme. SIDA was never willing to take the exchange rate risk.

As the Logical Framework Approach<sup>43</sup>, or similar approach, is not used, no indicator system is proposed for the measure of the impact and the success of the programme. Sentinental sites and KAP studies has been undertaken in some of the country programmes, however it is not obvious to the Team that the generated data from the studies are used in a constructive manner. A unified set of physical targets and indicators is necessary to monitor and evaluate the success of the Programme.

Given the number and diversity of objectives of the Programme, it has not been possible to assess in detail the extent to which the planned activities are relevant to the objectives. Generally speaking, the various projects all contribute somewhat to the Programme goals. Some specific points deserve attention.

#### (i) Institutional development vs. by-passing

A frequent dilemma of projects aiming both at rapid extension of coverage and institution building arises from the low delivery capacity of weak government institutions. A frequent solution is to create ad-hoc Project Management Units, staffed with some of the best managers and given the authority to operate outside the bureaucratic government pro-

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<sup>40</sup> Cf. the 1995 UNICEF strategy document, paras. 67, 70, 74, among others.

<sup>41</sup> El Salvador has two programmes (cf. section 1.4.1).

<sup>42</sup> Cf. the chapters on "Project targets for 1994" and "Future workplan" in the eight chapters of the Third Progress Report.

<sup>43</sup> The Logical Framework Approach (LFA) has been introduced as the standard planning procedure for SIDA projects in 1994 (but not before); for SDC projects, it is an optional method.

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cedures. This weakens the line departments, depriving them of purpose and support. Some cases of by-passing are observed in the context of the Central American WES programme: in Guatemala, for instance, the creation of the Rural Water Supply Management Unit (UNEPAR) certainly contributes to the success of Agua Fuente de Paz, but bypasses the Environmental Health Department (DSM) of the Ministry of Health, the original agency in charge of WES in rural areas and intended recipient of UNICEF institutional development support (1991 Project Document).

## (ii) Environment

There are enormous environmental problems in Central America and this Programme can only address those within the scope of environmental health. The Evaluation Team could only pay limited attention to this aspect. Besides the problem of excreta disposal, major problems are:

1. Depletion of the ground water level and reduction of spring yield.
2. Pollution of ground water (mainly due to the use of pesticides and fertilisers in agriculture).
3. Waste water collection and treatment.
4. Storm water drainage.
5. Solid waste collection and elimination.

The Programme addresses problems number 1, 4 and 5 in this list by:

- tree plantation (Guatemala peri-urban project) and watershed protection in (Nicaragua);
- Street drainage (Guatemala peri-urban project); and
- Solid waste collection youth teams (Panama peri-urban project).

To intensify its environmental concerns in the future the Programme can keep in mind that:

- the introduction of household water connection always brings the problem of waste water and most of the time (also when flush toilets or water-seal latrines are introduced) the need for sewage, septic tanks, or at least soakpits;
- interesting income-generation opportunities may arise from solid waste collection (and possibly recycling) or public toilets at key places (markets, bus terminals); and
- there is a need for advocacy for environmentally-friendly farming techniques and water resources management.

Strengthen the environmental aspect of the Programme could be done through: building alliances with other programmes and projects; and strengthening the Programme through other agents in the United Nations system. Activities that are closely connected to family concerns could be a suitable entry point.

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## 4 ASSESSMENT OF PROGRAMME IMPLEMENTATION

The assessment of programme implementation begins with a description and analysis of the basic organisational components. This is followed by a consideration of the principal capacity building strategies: institutional development and support, human resource development (HRD) and community level empowerment. While this section logically follows the preceding one, it is not always possible to clearly distinguish planning — as an ongoing iterative process — from implementation. Boxes 5 to 9 illustrate some of the opinions and lessons learned that were expressed by UNICEF and their counterparts during the Evaluation Workshop held in Antigua, Guatemala on August 30-31, 1995.

### 4.1 Organisation of the Programme

In order to effectively assess the implementation of the UNICEF Programme for Water and Sanitation in Central America, it is useful to keep in mind that it is essentially a collection of seven distinct Country Programmes loosely tied together by a Subregional Component. Each Country Programme has developed an implementation model with its own set of objectives, priorities and characteristics which correspond to the particular national situation. The challenge of the Subregional Component, which in some ways behaves like a separate programme, has been to support these initiatives by facilitating a shared learning process that can be of mutual benefit to each partner, to provide leadership through the development and dissemination of subregional models and to generate large-scale resources for the sector.

#### 4.1.1 ROLE OF THE SUBREGIONAL COMPONENT

The specific mandate of the Subregional Component has been to:

- bring the Country Programmes together into a joint Central American Programme;
- co-ordinate in programmatic concerns, such as proposal preparation, fund-raising and donor relations, reporting and organisation of evaluations; and
- provide technical and programme support to each of the Country Programmes.

The implementation of the Subregional Component is greatly influenced by the present regional administrative structure of UNICEF where two of the seven Country Programmes are autonomous. At present there is no managerial structure in place that governs the co-ordination among the three UNICEF representatives in Guatemala City, Tegucigalpa and Managua and the basic management structure of UNICEF is set up to give countries autonomy in negotiating with the government. Thus, the Subregional Component, in spite of its mandate, cannot effectively assume subregional command or coordination of the WES Programme. Instead, the Subregional Component appears to function primarily as a Technical Secretariat for the three country representatives. In other words, there are no clear lines of accountability within the Subregional Component structure.

It is perhaps not surprising then that the Subregional Component has assumed a relatively *laissez faire* management style. In this regard, it is probably more correct to speak about a Subregional Component strategy than a regional strategy. Although the Subregional Component claims to have followed a participatory approach aiming at building a real subregional programme, the programme design does not reflect a consensus even among

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the UNICEF WES country components. As a consequence the countries have no direct vision for the improvement and building of the overall subregional programme. Neither have the counterparts nor the donors actively participated in the planning of the Subregional Component.

**Box 5 Voice from the Evaluation Workshop**

"The Municipal Planning process creates a dialogue between the population and the technicians. Together they should discover their limitations, that is, their joint capacity. It is essential to promote the methodologies, i.e. municipal and community-based. This should be done at the beginning of the Programme, not half way through."

The Subregional Component has identified its own priority areas — with or without due consultation with its country partners. Whereas the main

strategies are supposed to be based on Central American government counterparts and the main international agencies and financial institutions for the WES sector (cf. section 1), in fact the Subregional Component, has tended to work more closely with regional institutions. The Subregional Component identifies the following agents as its principal counterparts: the Central American Parliament, the Federation of Municipal Integration in Central America, the Committee for Central America, Panama and the Dominican Republic, the Regional Sanitary Engineering College in Guatemala, the Regional Water and Sanitation Network for Central America and the Mesoamerican Centre for Appropriate Technology.

While some of the Subregional Component resources go to each of the seven countries within the region, for reasons of efficiency and credibility, the Subregional Component currently concentrates most of its resources on the Trifinio area of Guatemala, Honduras and El Salvador, as well as on other areas of Guatemala and in Nicaragua.

Although the number of Subregional Component activities under the five subregional "projects" (corresponding to the five approaches in section 1.4.1) is considerable, in terms of resources and staff the highest priority has been the preparation of Municipal WES Plans for universal coverage by the year 2000. While these "pre-feasibility studies" might seem to fill a gap, in terms of potential resource allocation, there is also a significant risk that, if potential donors are not forthcoming, the draft plans generated by the exercise might become obsolete (cf. section 3.2.3). According to the Subregional Component, the required funds are available. Whereas the Municipal Planning Model has so far been too much donor driven, it is encouraging to note the recent efforts to link it to a more participatory community-based planning methodology, on the one hand, and towards future integration into national programmes (e.g. Honduras, Guatemala, El Salvador and Nicaragua), on the other.

During the Evaluation Workshop, the Programme staff and counterparts clearly expressed the need to broaden the scope of the municipal planning process to include a broader range of concerns.

An impressive amount of work has gone into the development of the MUNIAGUA software programme which can be linked to the global WASAM database developed by WHO and UNICEF. Although versions of the database have been installed at various locations in five of the Central American countries, it will be important to monitor this activity closely since similar experiences elsewhere give reason to doubt the sustainability of this effort. Another important activity of the Subregional Component has been the various attempts to develop and disseminate an approach to cost analysis, including the sustainability study of the peri-urban water services provided through the UEBD/SANAA in Honduras.

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As the subregional programme with the highest level of financing in UNICEF's operations, the WES Programme is at the centre of a complex institutional power game. The Area Representative, for one, would like to keep it as a strategic instrument to help to facilitate a dynamic regional process of social-political integration.

Finally, during the Evaluation Workshop it was suggested that one of the difficulties for the Subregional Component is that at the moment there is no institution that has a full sense of ownership. In this regard, the Team concurred with the suggestion that a subregional board of directors should be established to provide direction. The Subregional Component has also proposed to identify counterparts — or partners — at the subregional level that can eventually take over the technical functions of the Component. An agreement has been signed with ERIS. Further, UNICEF is a member of RRAS-CA and is transferring certain functions to them. In this regard, the Evaluation Team strongly endorses the idea that a workshop be organised to consider mechanisms for "decentralisation" of the WES Programme and for identifying mechanisms for a more horizontal, collegial management of the Subregional Component than exists at the moment.

#### 4.1.2 ORGANISATION OF THE COUNTRY PROGRAMMES

In considering the implementation of the UNICEF Central America WES Programme, it is important to bare in mind that the country-level WES programmes were initiated prior to the funding of the Subregional Component and are planned and managed independently. As such each Country Programme has characteristics that are unique to the particular national situation, and which will not be addressed in detail within the context of this report. Following is an analysis of several important elements which seem to be common to all, or at least most, of the UNICEF WES country strategies.

#### 4.1.3 INVOLVEMENT OF COUNTERPART ORGANISATIONS

The relative success of the WES Programme in Central America has been greatly determined by UNICEF's ability to identify and negotiate partnerships with strong, effective national counterpart institutions. The Programme collaborates with both government institutions and NGOs. The ex-conflict programme in El Salvador is the programme mostly engaged with NGOs, while the other programmes' many partners are governmental agencies. It is possible to identify several types of counterpart relationships that UNICEF has promoted:

- to support new units and capacities within national government structures;
- to create partnerships between the government and the private sector;
- to form alliances where UNICEF is one among several partners; and
- to involve national NGOs.

The following chart reviews selected types of organisations and points out the merit and the risks of a collaboration with them. The point is to be aware of the possible limitations presented by each partnership.

### Merits and risks with various partnerships

Organisation	Potential	Risks
<b>Ministry of Health</b>	Synergy with other UNICEF projects Have field staff such as sanitation technicians, health educators	Lack of interest and support by top management (doctors) Subject to government slow procedures In some areas (El Salvador) not accepted for political reasons
<b>Urban utilities</b> (ex.: ANDA, SANAA)	Professional expertise Connections to the international sector networks	Under standard structure are not interested in providing services to the poor (but structure can be adapted as in SANAA/UEBD)
<b>Social Investment Funds</b>	Have readily available funds for construction Open to UNICEF support as they lack expertise	Not concerned with sustainability
<b>Peri-urban and intersector projects or committees</b> (COINAP, Guatemala; Talamanca, Costa Rica)	Closeness to the population and its organisations	Weak in staffing and no sustainability guarantee
<b>Municipalities</b>	Are in theory the appropriate planning level for rural community projects Municipal Planning in tune with decentralisation policies	May be heavily politicised Have very low technical capability
<b>Political NGOs</b> (El Salvador)	Good acceptance by beneficiaries Strong motivation	Uncertain future Unclear legal status
<b>International NGOs</b> (CHF, Honduras; CARE, Belize)	Experience of grass-root approaches	Uncontrolled decision-making
<b>Philanthropic NGOs</b> (TECHO, Panama)	Influence on upper class	Motivation unclear (are they just offering an enlightened solution to the problem of illegal settlers?) Unclear legal status
<b>Co-operatives</b> Guatemala	Beneficiaries are simultaneously stake-holders and administrators Empowerment of community	Weak in staffing and no sustainability guarantee

It is evident that UNICEF's possibility to address the structural difficulties of the sector is limited. However, the third column of the chart shows that in many instances the weakness could partly be compensated by capacity building, including the promotion of strategic partnerships. Whether this is being sufficiently addressed is questionable. UNICEF's capacity building role has been limited and the function of UNICEF has been to "add the necessary ingredients" to get things done, giving thus priority to service delivery rather than capacity building. UNICEF is currently paying wages to several partners; e.g. eight positions at its NGO partner in El Salvador, consultants working with the Municipal Plans in the Trifinio area.

In spite of the central role the UNICEF partners play in the implementation of the regional WES Programme, there does not appear to be a well thought out strategy for the identification, engagement and involvement with counterpart institutions (cf. section 4.1.5). During the Evaluation Workshop, with both UNICEF officials and counterpart participation, it was not possible to come up with a coherent list of criteria for "counterpart eligibility". It is important to recognise that the counterpart organisations have their own agenda. From their perspective, UNICEF is just one of various partners — often essential for the existence of a given project, but, nevertheless, usually minor when it comes to influencing the organisation's overall philosophy and behaviour.

#### 4.1.4 STRATEGIC ALLIANCES

UNICEF has been relatively effective in promoting mechanisms for inter-institutional co-ordination that relate directly at operational levels. For example, in Honduras and in Nicaragua UNICEF has had an important role in the creation of a "Grupo Colaborativo" in order to: avoid unnecessary duplication of efforts; to resolve differences in implementation methodologies; and to seek standardisation of technologies and equipment. Further, similar functions have been established in Guatemala and in Panama with the support of UNICEF..

UNICEF has been less successful in forging strategic alliances with national governments and bilateral and multilateral institutions at the central and policy levels. This higher level activist role, which is closely linked to advocacy, is essential for generating productive dialogue, reflection and appropriate action towards reformation of the sector.

The Social Investment Funds, which go by various different names (FIS/El Salvador, FHIS/Honduras, FISE/Nicaragua), are allocating enormous amounts of funds to water and sanitation programmes in the region. The FIS focus is on quantity rather than quality, and experience show how limited the success of these efforts can be<sup>44</sup>. It is therefore disappointing to see how confined UNICEF has been in influencing the policy framework and programme strategies of the Social Adjustment Programmes in the region.

The Social Investment Funds are generally more concerned with short term employment generation and poverty alleviation than with empowerment and sustainability. Consequently they can significantly undermine the developmentally sound programme strategies of the UNICEF-supported counterpart programmes. UNICEF has demonstrated several distinct behaviours in its relationship with the social adjustment programmes, e.g.:

- In Guatemala, UNICEF is the holder of government funds as well as funds from other sources (World Bank, Japanese loan). This was introduced because of last year's government instability, lack of credibility in local institutions and prevailing corruption.
- In Nicaragua the tactic of the UNICEF counterpart has been to try to negotiate a territorial separation of their programme with the FISE latrine project in order to avoid a

Box 6 Voices from the Evaluation Workshop – Key sector and development principles that the FISes don't usually follow:

"Community involvement in considerations of technology choice and cost from the pre-feasibility phase of a project will result in: Sustainability!"

"The community should participate in the identification of service level criteria and what they are prepared to pay."

"One must adapt to the socio-economic situation, and particularly the cultural aspects, of the community. In our culture, Water is basically a gift from God. Therefore, there, almost always, will be a rejection, when the cultural aspects are ignored."

"We will continue to strengthen community participation by presenting appropriate technology options, together with the social as well as cost implications."

"It has been demonstrated that costs in UNICEF programmes are significantly lower than those of other organisations."

"Decentralisation requires planning, monitoring and evaluation at different levels, which implies human development at the different levels at which the Programme could play a more dynamic (pro-active) role."

<sup>44</sup>Fondo de Inversión social de El Salvador/Gerencia de promoción y evaluación. *Diagnostico y recomendaciones proyecto de letrinas aboneras operaciones BID I y II*, 1995

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clash of approaches within specific communities.

- In Honduras, UNICEF has collaborated in the development of training materials that are being used by the FHIS. Unfortunately this has had the unfortunate effect of seeming to endorse the false assumption that the "right" sanitation message is all that is required to improve the misguided social adjustment programmes.
- In El Salvador, on the other hand, UNICEF, in addition to providing technical assistance, will co-ordinate the implementation of the FIS project. In doing so their objective is to demonstrate to the funding agency (IDB) that hygiene education is important and that impact can be obtained if a clear strategy is developed. It also seeks to demonstrate that community involvement and participation are crucial for the success of the project.

The above examples help to illustrate the present lack of regional consensus on the appropriate criteria for entering into partnership relations, as well as the importance of approaching partnerships from an integrated strategic perspective.

#### 4.1.5 ADVOCACY

The Water and Environmental Sanitation section of UNICEF has identified Advocacy as being among the main principles that will be used to guide UNICEF strategy formulation, particularly at country level.

*"highlighting the needs and rights of children and the poor and building political and public commitment to the adoption of appropriate policies and accelerated action"*<sup>45</sup>.

Advocacy in the Central American WES Programme is being exercised, as in most other UNICEF WES Programmes, by: selecting beneficiaries among underprivileged groups, supporting the government authorities and NGOs in areas where they are weak (e.g. health and hygiene education), providing examples and moving other stake-holders to work for the improvement of the living conditions of the poor. Yet, another way is the choice of partners committed to the same goal as UNICEF. However, the Programme has been less active at high-level interventions with governments.

The Central American countries are going through a process of institutional reform, and UNICEF has not adequately assumed the very important strategic role that it could potentially play as an advocate for more rational and equitable sanitation and water policies, funding mechanisms and institutional arrangements. As the most significant Programme that

<p>Box 7 Voices from the Evaluation Workshop — Advocacy</p> <p>"Increase advocacy at the policy and decision making level for the development of appropriate sector policies."</p> <p>"The state should assume part of the responsibility, given that it continues to raise taxes."</p> <p>"There should be a tariff policy. If the same rate is charged to every one, it would not be fair to those persons who have a low income."</p> <p>"The social, economic and judicial structures of some countries limits the natural development of local organisations."</p> <p>"Advocacy is an important criteria for the identification of government counterpart agencies, but the primary criteria for NGOs is social mobilisation."</p>
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<sup>45</sup>UNICEF, *Waterfront*, 1995:7



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UNICEF has in Central America, the Swedish and Swiss funded WES Programme is certainly perceived by UNICEF as a potentially valuable instrument for advocating child rights and regional integration. Yet, there has been no clear analysis of how advocacy can play a role in improving the strength and effectiveness of the WES Programme itself and the ultimate impact on the children who are the main target group of UNICEF.

## **4.2 Institutional development and support**

Rather than being strategic, the UNICEF approach to institutional development and capacity building can best be described as subsidiary — providing timely support to supplement and fill in institutional programming gaps as needs arise and — catalytic — stimulating development in new areas. Given the generally ad hoc and unplanned nature of this support, more often than not the approach could be described as "pick a good horse and hang on for the ride".

Even though the capacity building role of the Programme has been weak, the results from an activity analysis<sup>46</sup> clearly indicate UNICEF's success in involving their counterparts. The analysis covered all stages in the project cycle, from identification of the project to possible extension of the service. The responsibility for all activities but "buying material" were shared between UNICEF and counterparts. The WES programmes are by no means just implementing agents.

Among the principal tools used by the UNICEF programme offices to support and develop the capacity of national counterpart institutions are:

- special technical studies, such as the development of cost analysis procedures and systems to monitor project investment;
- designing, testing and promoting development and institutional models such as the Municipal Planning concept;
- the development of data bases and monitoring systems, such as MUNIAGUA;
- training workshops, in both hardware and software subjects;
- the development of training guides and materials;
- supplementary funding; and
- management support.

Areas of particular concern, involving the use of various tools, have been the development of low-cost technologies (e.g. the LASF latrine, the Rower and Camisa hand pumps, and small bore rotary drilling); participatory environmental sanitation education and monitoring; gender awareness; costing system and financial models; and municipal and participatory planning. Although all of these supports are useful and have gradually been systematised and repeated once their effectiveness has been assessed, the UNICEF Central America institutional development process seems to lack a coherent strategic vision of the sorts of institutions that are most desirable as well as a systematic plan of how to get there. Having said this it is encouraging to note that there has recently been an effort to synthesise the more successful experiences such as the "Tegucigalpa Model" in order to isolate the key components and to develop and test strategies for replication.

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<sup>46</sup>Questionnaires 9 and 10 were filled out by the WATSAN Officer and their counterparts

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#### 4.2.1 HUMAN RESOURCE DEVELOPMENT

Human resource development through training and the systematic exchange of experiences and information have been a primary strategy to increase the UNICEF Central America WES Programme capacity.

**Box 8 Voices from the Evaluation Workshop**

"There should not be an imbalance between water and sanitation. No matter how good it is to manage water and sanitation in parallel, seldom is adequate importance given to the educational aspects. The focus on health is very important and sometimes it isn't taken into account — even in the educational activities."

In the Appraisal of the Proposal in 1991 one of the criticisms pointed out was that the software component was considered to be the weakness of the Programme. Efforts have been made to strengthen this component at country level. The Team experienced that the quality of the environmental sanitation education varies a great deal. For example:

- The programme in El Salvador has developed a gender focused sanitary education strategy based on household visits. Three core modules promote personal hygiene habits, usage of the LASF latrine and treatment and storage of drinking water. An incentive system includes community-based monitoring and a prize for the best family performance, as well as a small income for the *visitadora*.
- In Honduras the sanitation and hygiene education in the community has been conducted by a team of social-work students from the university which raises important questions regarding the longer term sustainability and replicability of the approach. Furthermore, the messages to the community are conventional and are not integrated with the project planning.
- In Nicaragua UNICEF worked with *Instituto Nicaraguense de Fomento Municipal* in order to support the hygiene sanitation promotion which was missing in the *Instituto Nicaraguense de Acueductos y Alcantarillados* programme. Although the approach has been integrated, the lack of effective co-ordination between the two organisations significantly reduces the potential impact of the educational component.
- In Costa Rica there was little sign of awareness of the need for an environmental sanitation education component.
- In Guatemala the projects are integrated and seem to manage both the physical output and the "software" aspect of the project. The "basic services" programme in the Colonia El Mezquital, Guatemala City, begins with a community request for support, generally towards the solution of a specific problem and continues with a participatory problem-based methodology. Sanitary education begins parallel with the needs assessment and is considered to be a permanent learning process.
- In Panama the "software" component of the projects at community level includes community participation and sanitary education through women's and children's groups.

Considerable work has been done and the trend is clearly in the right direction, yet an enormous gap still exists between the broadly accepted theory and the current practice within the programme.

Although it is not clearly reflected in the subregional documents, the Subregional Component appears to have developed a special relationship with the International Water and Sanitation Centre (IRC) in Hague. They have played a key role in defining and guiding the content and direction of the software component of the WES

**Box 9 Voice from the Evaluation Workshop**

"The relationship between the countries is directly with the UNICEF Country WES Officers. The majority of the countries (counterparts) are unaware of the Work Plan of the Subregional Component."

Programme. A specialist from the IRC together with the Subregional Component and other regional resource persons have organised a series of workshops at country-level (Panama), subregional (rural and peri-urban focus) and regional levels. The main purpose of the workshops was to contribute to the development of gender sensitive sanitary education based on the change of hygiene behaviour and practices; and to incorporate community-based monitoring systems. The workshops have been particularly useful in assisting the participants (UNICEF staff and counterparts primarily) to gain first hand exposure to the state of the art in terms of sanitation promotion theory<sup>47</sup>, to document and systematise their work, and to develop plans for further improvement.

It is too early to assess the full impact of the IRC-assisted training, it is at least clear that many of the UNICEF counterparts are beginning to address the elements of an integrated approach to empowerment — community participation with promotion of a learner-centred, concept-based approach to hygiene and sanitation education and gender orientation in programme planning and management. There seems to exist a remarkable degree of consensus within the WES Programme in regards to the basic concepts and principles of empowerment, as well as the elements that are most essential in order to put it into practice.

#### 4.2.2 EXCHANGE OF KNOWLEDGE AND EXPERIENCES

The subregional programme has excellent potential as a forum for the exchange of ideas and experiences. Each country has acquired positive experience in the development of innovative approaches to the provision of low cost sanitation and water services, as well as participatory hygiene and sanitation promotion. Yet the Subregional Component seems to have paid much more attention to developing and promoting its own models than facilitating an exchange of experiences between and among the other programmes. Although subregional meetings have been held twice a year, they have generally been of a very short duration (two or three days) and of fairly limited impact. Where inter-country exchanges have taken place, it appears to have been much more incidental than strategic. For example the TECHO foundation model promoted by UNICEF/Panama was copied from the Co-operative Housing Foundation Programme in Tegucigalpa, following the transfer of the Honduras WES Officer to Panama — which only serves to illustrate the enormous value of cross fertilisation.

During the Evaluation Workshop there were numerous statements indicating that horizontal exchanges have not been taking place as they should. In particular it was noted that experience exchanges are necessary *"to provide feedback for programme follow-up, to*

<sup>47</sup>E.g. many of the definitions and concepts related to sanitation promotion directly reflect the work of the Working Group on Sanitation Promotion of the Collaborative Council, 1994.

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overcome weaknesses and to make necessary adjustments". Furthermore the participants recommended that the Subregional Component should do more to facilitate the exchange of experiences:

- within the region, particularly among key decision-making bodies;
- between counterpart institutions; and
- at community levels.

It was also strongly emphasised that the Programme should intensify the promotion of culturally and socio-economically appropriate research on alternative technologies of water, sanitation, and the conservation of watersheds, for subsequent dissemination in the region.

There does not seem to be a significant exchange of experience between projects implemented in the peri-urban and the rural areas. The UNICEF WES Programme in Guatemala can be mentioned as an example where little cross-fertilisation between the UNICEF officers in charge of the rural, the urban and the subregional programme seems to exist.

Many of the strengths of the programmes could be shared beyond Latin America. One of the WES officers expressed the need to produce documents in English to be able to get the attention of other countries. Conversely, UNICEF would do well to stimulate more exchange with other regions.

### **4.3 Empowerment**

In UNICEF's Medium Term Plan for the Period 1992-95, UNICEF had defined empowerment as related to women to mean:

*"This involves knowledge, information and skills, the ability to organise to defend their interests and demand their rightful share of development resources and benefits; and the capacity to participate effectively in all societal processes and decisions that establish values, control access, allocate resources and responsibilities and award benefits within the family, community and nation."*

Although the IRC-supported training has clearly been based upon this set of values, it has also added a more gender sensitive perspective. Nevertheless, training by itself cannot have the full desired impact if the other elements of the system are not in place. As indicated in earlier sections, considerable attention has to be focused on creating an appropriate enabling institutional and policy environment at local, national and regional levels.

#### **4.3.1 COMMUNITY MANAGEMENT/HYGIENE AND SANITATION PROMOTION**

A variety of approaches to community management and hygiene and sanitation promotion have evolved within the region. Examples are briefly identified in section 4.2.1. Although they are gradually assuming a common set of guiding principles which are both developmentally sound and oriented towards community empowerment, in practice, the community promotion models tend to be fairly vertical.

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Since the WES Programme's principal counterpart almost invariably has been the national water and sewerage utility, they have generally demonstrated poor capacity in regard to social mobilisation, hygiene education and often sanitation. Their overall educational strategy is frequently flawed, principally because promotion and education activities are handled as separate activities, rather than as one integrated component — together with gender concerns. On the one hand, committee or organisational structures are designed to suit the needs of the programmes rather than adapting the programmes to already existing local decision making mechanisms and leadership patterns. By the same token, educational processes tend to be message-focused, ignoring the enormous amount of information that local communities already manage.

Furthermore, the educational strategies usually focus on a limited set of messages that many — if not most — of the community members have already heard over and over again, instead of providing them with a dynamic learning context in which they would share and apply their already considerable knowledge towards implementing desired change.

The promotional materials available to the social promotion staff are limited and tend to be message-focused, reinforcing the conventional "do's" and "don't's" of hygiene and sanitation behaviour — rather than process-oriented, in order to strengthen the analytical, planning and organisational skills of the community groups. In light of the above, it is very encouraging to note the process-oriented approach that the Guatemala Office is applying with a clear understanding that external "messages" should not be the core content of an effective sanitation and water promotion programme. Field-testing of a set of brochures have been carried out to help to facilitate a community-based planning process in which the people's needs are at the centre. It is intended that this community-based methodology, which integrates water-as-an-entry-point with health education, nutrition and gender-focus, should be a component of the PARLACEN Municipal Planning system.

#### 4.3.2 INVOLVEMENT OF COMMUNITY MEMBERS

The degree of community participation in the WES Programme is dependent on the choice of technology as well as the strategy applied by each country programme. Community participation is significantly limited when projects are "technology driven". In some of the rural programmes the specific technical arrangements tend to dictate programme strategies. In the case of INAA/DAR in Nicaragua, the drilling rig has determined the pace of the programme and significantly inhibited the quality of community participation before and during construction. In Tegucigalpa, the UEBD programme has, until recently, focused almost exclusively on the provision of water, providing the community with very little choice regarding the appropriate technology and service level.

However, during the implementation phase a high level of community participation is found in the Programme, and cost calculations show that the community contributes with almost 90 percent of total labour costs for certain types of projects. The post-construction community involvement has been limited to the operation and maintenance of the pumps and the collection of fees. The full user involvement in the problem identification, planning and the choice of appropriate options has been limited. Consequently the *de facto* control of the process has remained in the hands of the Programme rather than in the

community.

There is, however, a consensus within the WES Programme in terms of where the development process should be headed. Nevertheless, the UNICEF counterpart staff still lack the adequate tools to facilitate more meaningful levels of participation.

**Box 10 Voice from a Community member**

"When anything is wrong with the pump we just call the authority to come and fix it. So you can see, we have no power at all".

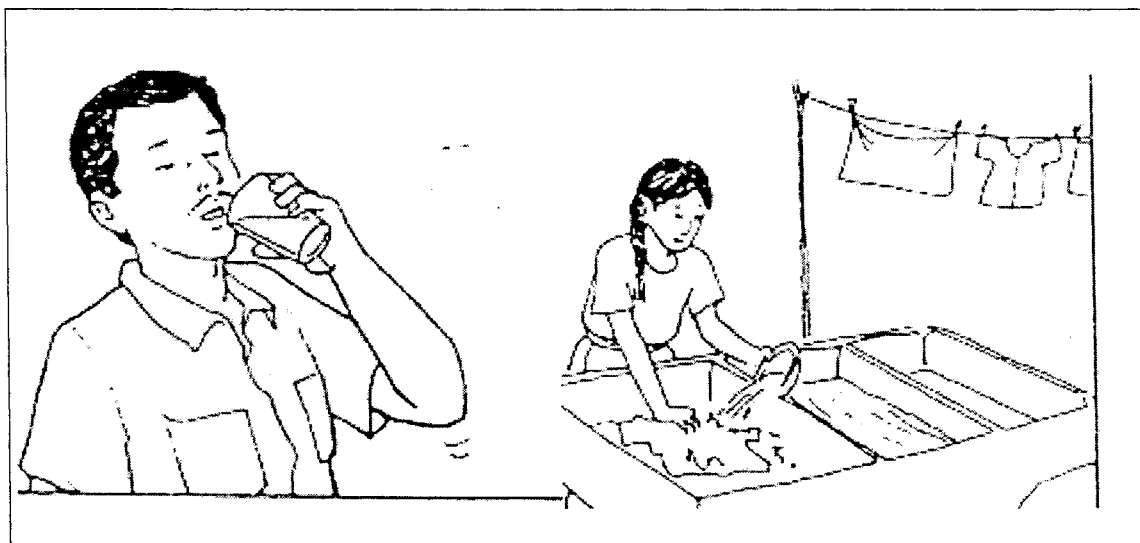
### 4.3.3 GENDER AND ETHNIC FOCUS

In spite of the regional gender-based hygiene and sanitation training (cf. section 4.2.1), the Country Programmes continue to have a strong gender bias in favour of men, and women's participation is frequently token and very much within stereotypical roles. Women are generally represented within the local committees, and most frequently assigned the more "female" functions such as health hygiene education, responsibility for the cleanliness and upkeep of the water or sanitary facilities. Moreover, women are often assigned the responsibility for overseeing the finances.

A not uncommon way of handling the hygiene and sanitation promotion is to delegate this to a separate unit or organisation (e.g. university social work students in Honduras; INIFOM in Nicaragua). The unfortunate consequence of this latter delegation of responsibilities is that, along with the women, the entire hygiene and sanitation promotion function is marginalised — "out of sight out of mind".

A few activities has taken place in the Subregional Component to explore the different effects of sanitary education on indigenous and non-indigenous populations in order to design more cultural appropriate tools and strategies.

Notwithstanding the imbalance between women and men in the Programme, comparison between different training materials shows a positive evolution of gender and ethnic representations within the Programme (cf. figures 1 and 2).



**Fig. 1. Artwork in a UNICEF/Guatemala training brochure**



Fig. 2. Artwork in a training brochure of the Subregional Component

But as much as changing the traditional attitudes of men and women as portrayed in pictures might be a useful exercise, it is certainly far more important and meaningful to directly work to change the male dominance in the WES programmes.

#### 4.4 Technology

Generally speaking, the Programme builds on UNICEF's long track record in appropriate technology, and this evaluation will not review in depth its technology choices. However, special credit must be given to UNICEF for its role in the dissemination of appropriate technology (MAYA and other pumps, compost latrines, community water schemes, etc.). UNICEF has also been a key facilitator for the development of innovative technology (fibreglass toilet slab and pan factory in Panama).

The quality of technical implementation is subject to discussion: while perfectionism and exaggerated concern for detail is not conducive to sustainability and cost-effectiveness, self-help solutions are bound to have technical flaws. The Evaluation Team saw for instance at several locations that PVC pipes were not buried (as at Sequila II in Alta Verapaz, Guatemala), but held above ground with wooden poles on a hillside. In such cases, there is a need to *monitor the technical quality* achieved in projects. A monitoring, follow-up and upgrading concept should be part of the strategy from the start.

To achieve effective and correct use of infrastructure it is essential to co-ordinate the construction activities with the "software side". Technical improvements in sanitation are

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only sustainable if they are accompanied by behavioural changes. The difficulty to co-ordinate these activities can be illustrated with an example from Nicaragua, where the introduction of down-the-hole-hammer drilling rigs has accelerated service delivery but reduced the time spent by the social promotion teams in each community.

The compost latrines (LASF) is another delicate matter, and requires considerable promotion, introduction and follow-up to achieve desired impact.<sup>48</sup> In El Salvador the success of the LASF can be attributed to the intensive promotion and training activities taking place simultaneously with the construction phase.

#### 4.5 Costing systems and cost recovery

Cost recovery has been discussed in the water and sanitation sector throughout the International Drinking Water Supply and Sanitation Decade (1981 - 1990). Cost recovery is an issue of concern to donors because of its influence on sustainability. The costs to be recovered may refer to the capital cost and/or to the costs of administration, operation and maintenance. One of the priority activities of the Subregional Component is the development of costing systems. Questions in focus are:

- *What are costs?* Does local material and community labour contribution have a price, and should this be included in the overall cost calculation?
- *What portion of the costs should be recovered?* Investments made until inauguration and administration, operation and maintenance or just the latter?

The objective is to assist sector stakeholders by providing them with a reliable tool for costing estimates. The methodology makes it possible to assess the direct as well as the indirect costs of a project, taking into consideration pre-investment, investment and other costs (e.g. management, monitoring and evaluation, supervision, promotion).

For investment costs, the methodology starts from an elementary costs breakdown of bags of cement, wooden pools, gravel etc. A price tag is put on community contribution such as labour and local building materials. The labour contribution is based on the minimum wage and the number of hours put into the project. As most people are not employed but involved in agricultural production with small cash revenues, the minimum wage does not reflect the opportunity cost.

The model for a costing system, worked out by the Subregional Component, has been tried in Honduras and El Salvador, and is anticipated to be tested in Nicaragua. A computer software programme has been developed by UNICEF to support the methodology<sup>49</sup>; Credit should be given for this effort, but maybe most of all for its capacity building effect with the UNICEF partners.

Whenever discussing the recovery of costs, a distinction has to be made between the two target groups of the Programme, peri-urban and rural population, as their income opportunities differ considerably. The peri-urban population is part of the monetary economy,

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<sup>48</sup> Medina et al., *Water and Sanitation in Central America — Mid-term review of UNICEF's Programme*, 1993.

<sup>49</sup> *Sistema Computarizado para Análisis de Costos, manual del Usuario*, UNICEF, Guatemala Area Office, 1994.



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which is not the case of the rural population. For dwellers in peri-urban areas, the introduction of piped water systems with a tariff pays off, as compared to earlier alternative with water vendors' services delivered by truck. In the rural areas, on the other hand, the situation is distinct: cash is short and there is a tradition of not paying for water.

There is no clear strategy for cost recovery and most projects are financially subsidised in the sense that a total recovery of investments is not possible. The Programme has little expectations of recovering the total cost of projects in the rural areas. The opinion is that the recovery of costs ought to concentrate on administration, operation and maintenance. In the urban programmes the idea is to recover total investment cost (nominal) of the project, leaving a subsidy also in this case.

#### 4.5.1 COMMUNITY CONTRIBUTION

The contribution from the community is either in cash or in kind. Generally, there is almost no financial contribution from the rural community for the investment costs. However, in the peri-urban projects in Panama (glass fibre latrines), Honduras (the Sanitary Unit of CHF) and in Guatemala City large parts are recovered. The contribution from the rural communities in the non-cash category is, however, substantial. According to information from the WES officers the contributions from the community, on average, are the following<sup>50</sup>:

- In a latrine project, it is estimated that the labour contribution is approximately 50%. The community's share of the total cost for material is around 40%.
- In water projects, there are significant differences in the community contribution, depending on the applied technology. In the case of a hand-dug well the labour contribution is limited to unskilled labour, and is estimated to be around 90% of total labour cost. Drilled wells demand greater attention from UNICEF and the counterpart and the estimated labour contribution from the community is significantly lower. In projects implementing gravity fed water systems the labour contribution from the community is estimated at 60%. The community's share of total cost for material in water projects is marginal.

Likewise, the degree of involvement of the beneficiaries after inauguration, varies with technology. Where hand pumps are installed in hand-dug wells the community cares for 95% of the costs of administration, operation and maintenance, whereas hand pumps installed in drilled wells requires the government's/counterpart's resources to a higher degree. The latrine, being a family project, is the responsibility of each household.

Water committees are formed during the implementation phase of the project and continue to manage the project after inauguration, e.g. maintenance of the system and collection of fees. The degree to which these water committees function varies and so does the possibility to manage possible faults. Two alternative ways are found for handling future costs, either a monthly fee from the beneficiaries is put into a fund or a financial contribution is collected from the community members whenever needed.

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<sup>50</sup> Questionnaire 1, WATSAN officer

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## 4.6 Assessment of past performance in terms of impact and outputs

This section starts with a short discussion about the relation between certain Programme outputs (coverage) and water and sanitation related diseases. This brings light on the relevance of the outputs for the impact on the overall health objective of the Programme.

### 4.6.1 COVERAGE AND HEALTH IMPACT

For the assessment of achievements of Programme objectives it is necessary to have data on the impact of the Programme on health and reduction of burden for women. Indicators on such impacts have been suggested, as was mentioned in section 1, in the various Programme documents. Indicators are also part of standard project implementation procedures in UNICEF's new WES strategy.

KAP and Sentinental sites have been carried out in some countries on which future impact studies can be based. currently, however, there are no particular base-line studies that have been related to impact studies. The various institutions working in the area have developed their own indicators, which leaves us a system that is not unified. Yet another obstacle are the limited funds available to engage in these activities. UNICEF has not until recently explicitly addressed the question of monitoring and follow-up. However, indicators have been established and the intention is that they will be operational in the future.

Although, an empirical correlation exists between WES coverage and mortality rates due to diarrhoeal diseases or incidence of cholera<sup>51</sup>. On the other hand, we know that other factors are just as important, often themselves related to improved coverage, and that usage rates and maintenance must be studied before conclusions are drawn for a particular project area.

In a 1991 review of a large number of previous studies on the health effects of increased coverage of sanitation and water, it was concluded that the health benefits vary widely<sup>52</sup>. A follow-up of various research projects by the same author arrived at interesting findings: effects of service levels of water and sanitation were stronger and more consistent on nutritional status than on diarrhoea. Among the conclusions we quote:

- Health effects from sanitation were much higher than effects from improved water supplies, and effects from improved water supplies were not always established.
- Flush toilets provided significantly higher health benefits than pit latrines, which in turn were significantly better than no improved sanitation.
- Water supplies via yard or house connections were usually associated with better health, compared to unimproved water or public supplies. Public supplies provided only marginal benefits.
- Shorter water collection time was associated with better child health and particularly nutritional status.

These results imply that improvements in sanitation services are very important; we would add that they also underscore the importance of health and environmental sanitation

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<sup>51</sup> PAHO, *Condiciones de Salud en las Americas*, 1994. Vol. 1.

<sup>52</sup> A study by S. A., Esrey quoted in *IRC Water Newsletter*, No. 227.

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education (cf. conclusions and recommendations in section 5). Increased water supply without sanitation has also been correlated to increased incidence of malaria<sup>53</sup>.

#### 4.6.2 COUNTRY PROGRAMME PERFORMANCE

The assessment of the Country Programme performance presented in this section is done country by country. In the following section a summary of the Programme's performance in terms of outputs is presented. As mentioned in the previous section there are rarely any base-line or impact studies made in the countries, which restricts the assessment on past performance to the physical outputs, as no other indicators have been established. The impact of the WATSAN activities on the overall objective of improved health and reduction of work burden for women can only be assumed from the relationship between the output and the impact as mentioned above.

In the third progress report of the Programme, achievements are sometimes presented in relation to targets that are not defined and set at zero. The peri-urban water systems, for example, have a total target of three with a reported output of 22, leaving the reader with the false impression that the output achieved is 700%. In fact there was no defined goal for Honduras, that accounted for 14 of the constructed systems. In summary, the difficulties in assessing past performance are:

- the lack of base-line studies and indicators relating to the overall objectives of the programme;
- very few impact studies and of restricted relevance or applicability; and
- several outputs are compared to a zero target.

The WATSAN activities are in many cases implemented and financed by more than one agent. Thus, the output achieved can by no means be isolated to UNICEF's Swedish support. In the previous evaluations of 1991 and 1993, it was requested that the reported progress should be on the overall programme, and not only related to Swedish funds.

To be able to assess the goal attainment of the Country Programmes, the output from the three progress reports has been accumulated. The accumulated figures are doomed to include errors for several reasons: it is difficult to compile the data over the years due to the insufficient way of reporting; the definitions of activities have changed over the years; the beneficiaries are not always stated in the progress reports, leading to a smaller number than it should rightly have been. Moreover, to assess past performance of a component, e.g. health/hygiene education, which is of a qualitative nature rather than quantitative, is not possible. In the countries a diversity of descriptions of the health and hygiene education component exists and it is not possible to penetrate the actual content of activities like "sessions", "workshops", "talks". We have therefore chosen not to report the achievements of the environmental sanitation and hygiene education component in the tables. In order to partly overcome some of these difficulties a questionnaire on outputs was distributed to the WES officers.

The original targets of the 1991 proposal have been revised in May 1995. The revised targets for the period of 1992-1994 were based on the budget accepted by SIDA. For example, in cases where the budget was reduced by 20%, so were the targets. In the pro-

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<sup>53</sup> PAHO, op. cit.

posals for additional funding UNICEF re-oriented the funds: the accumulated targets for 1992-96 are based on the revised 1992-94 targets as well as on the new target for 1995 and 1996 of the January 1995 proposal. In the following tables we present the 1992-1996 targets for information purposes, but our conclusions on past performance are based only on the 1992-1994 period.

The adjusted targets for 1992-1994 have been compared to the results reported from each WES officer. Moreover, cumulated outputs from the results reported in the three progress reports are used for comparisons. When comparing the two sources, results are quite ambiguous at times. In some cases the discrepancies between the two identified achievements are great enough to make us revert to the conclusion that the officers have not been aware of the actual outputs. A possible explanation could be that some of the WES officers are fairly new in the position. Although, if this is the case, it clearly indicates that the system for keeping track of results is not sufficiently well maintained. It is clear that there are cases where double reporting, as well as reporting on outputs that have actually not been produced<sup>54</sup>. However, one has to keep in mind that the results in the progress reports are the products of the reporting from seven different countries and officers.

The following tables present:

- Adjusted targets for 1992-1994<sup>55</sup> (labelled *Target 92-94*).
- Accumulated original targets from progress reports I, II and III are given in parenthesis for some of the physical targets.
- Adjusted targets for 1992-96<sup>56</sup>, taking into consideration the reorientation of funds (labelled *Target 92-96*).
- Achievements for 1992-1994 according to questionnaire 2 (labelled *Questionnaire*).
- Accumulated achievements for the water supply and sanitation component from progress reports I, II and III for 1992-1994 (labelled *Accumulated PR*).

The assessment is based on the 1992-1994 outputs compared to the adjusted targets for 1992-1994. The adjusted targets for 1992-1996 are presented for information only.

**Table 14: Belize outputs 1992-94**

Belize	Target (92-94)	Target (92-96)	Achievements 1992-1994	
			Questionnaire	Accumulated PR
<b>Water Supply</b>				
Piped water systems		2		
Hand pumps, drilled	34 (102)	64		85
Beneficiaries	1 644	3 924		5 421
Trained water committees				8
<b>Sanitation</b>				
Latrines	822 (2 225)	1 512		724
Beneficiaries	4 932	9 072		5 232

Note: Achievements for Belize from the WES officer were not available.

The construction component of the Belize programme has been successful. The number of drilled wells equipped with hand pumps is significantly above target. The latrine construction has accomplished approximately 90% of the set target.

<sup>54</sup> Working papers for Guatemala and Panama

<sup>55</sup> UNICEF, Targets to be reached at the end of the cycle (1991-1996)

<sup>56</sup> Ibid

UNICEF Belize has experienced difficulties in getting the government's attention to health education. This is reflected in their fairly low achievement in the area. The first two years the activities in health education were very poor. In 1994, the education component of the programme has increased its rate of progress: village health committees were formed and environmental sanitation education was conducted. In the proposal of May 1991 the target for health education was to train a total of 4932 trainers (at different levels). The information that the Team has to rely on is from the three progress reports, where the actual amount of people trained is not given. Nevertheless, it is rather clear that Belize has not been able to achieve the target set for health education.

**Table 15: Costa Rica outputs 1992-1994**

Costa Rica	Target (92-94)	Target (92-96)	Achievements 1992 - 1994	
			Questionnaire	Accumulated PR
<b>Water supply</b>				
Piped systems	62	79		11
Hand pumps, drilled	26	33		
Hand pumps, hand dug	370	475		249
School water supply		90	81	81
Other			29	
Beneficiaries	53 676	77 028	38 789	11 475
<b>Sanitation</b>				
Latrines	8 800	11 300	851	912
Beneficiaries	48 398	62 148	9 574	1 555

The piped water supply target for Costa Rica was to install 62 schemes in 1992. The output reported from the WES officer is zero<sup>57</sup>, while the accumulated results from the progress reports are 11 systems. Output of piped water supply services falls far below target as well as the installation of hand pumps. However, the Costa Rica programme has supplied schools with water and in the third progress report 81 water supply systems are reported. Although the water supply component has not reached its original targets the overall impression is that the water component has been more or less successful.

Latrine construction falls far below the set target at 8800. The reported results from the officer indicate a 10% achievement. The accumulated outputs from the progress reports show similar results.

The environmental sanitation education component seems to be weak. The target for 92-94 was set at training 48 400 trainers, while the amount reported by the WES officer is 241 at institutional level and 1072 at community level. The accumulated achievements from the progress report indicate similar results.

<sup>57</sup> It has been explained to the team that the statement in the questionnaire was incorrect, however, no other figures have been presented.

**Table 16: El Salvador outputs 1992-1994**

El Salvador: country	Target (92-94)	Target (92-96)	Achievements 1992-1994	
programme and ex-conflict			Questionnaire	Accumulated PR
<b>Water Supply</b>				
Piped systems	21 (60, 30-40) <sup>1</sup>	62	29	36
Hand pumps, improved or constructed	516 (1500, 400) <sup>1</sup>	1 545	488	436
Beneficiaries	37 152	112 952	44 843	
Trained Water Committees			5	
<b>Sanitation</b>				
Latrines	8 600 (25 000) <sup>1</sup>	17 220	3 593	3 054
Beneficiaries	47 300	64 102	20 558	
Promoters			60	

<sup>1</sup> The target is given as "main objectives" for the 1992-96 programme and the special ex-conflict programme in the third progress report.

The results for the two programmes in El Salvador are treated together as one unit. The objectives in the progress reports do not explicitly state any target for environmental sanitation education. The original proposal, though, had a target of 276 workshops on health education and gender training. The results from the WES officer indicate that this most certainly has been achieved. A total of 325 people at institutional level and a high number of people at community level have been trained, like for example community leaders and sanitation promoters. Moreover, the education has included a gender focus. The progress reports show similar results. The health component has successfully been emphasised in the programme.

The infrastructure component also shows favourable results. The target of 21 piped water systems has been accomplished, while the installation of hand pumps has more or less reached the target. The latrine construction, on the other hand, has not accomplished 50% of the target set for the period.

**Table 17: Guatemala outputs 1992-1994**

Guatemala	Target (92-94)	Target (92-96)	Achievements	
			Questionnaire	Accumulated PR
<b>Water supply</b>				
Piped systems	210 (290) <sup>1</sup>	366	234	234
Hand pumps, wells	350 (550) <sup>1</sup>	586	283	289
Bulk water supply			5	
Peri-urban systems		2		
Beneficiaries	80 500	170 599	141 100	
Water Committees trained			182	
<b>Sanitation and environment</b>				
Latrines	12 250 (26 000) <sup>1</sup>	16100	12 115	12 644
Beneficiaries	73 500	99 840	59 514	
Peri-urban systems	175	230		
Promoters			625	
Waste water			26	
Beneficiaries			50 420	
Alternative stoves			160	
Number of planted trees	70 290	128 322	21 700	
Bio-digestion				
Protection of environment			324	
Spring conservation		99		
Sewage				

<sup>1</sup> The targets in the third progress report have been revised.

The targets for water systems have been more or less accomplished: installed hand pumps fall below target, while piped systems are above. Latrine construction has also been successful and the target of constructing 12250 latrines between 1992 and 1994 is met. However, in the adjusted targets for the sanitation component it is stated that 175 peri-urban systems should be constructed. Neither in the progress reports nor in the results reported from the WES officer was there any evidence of this activity.

The target for health and hygiene education for the period was to train 615 trainers at various levels. This target has been met according to both sources.

**Table 18: Honduras outputs 1992-1994**

Honduras	Target (92-94)	Target (92-96)	Achievements	
			Questionnaire	Accumulated PR
<b>Water supply</b>				
Hand pumps: hand dug and drilled	227	321	7	149
Peri-urban	8	61	27	26
Beneficiaries	28 140	96 498	55 499	52 165
<b>Sanitation</b>				
Latrines	2 520	4 149		3 299
Beneficiaries	13 860	23 112		1 800
Peri-urban systems	840	1 188		
Beneficiaries	4 620	6 534		

The target to install 227 hand pumps has not been met: the WES officer reports 7 hand pumps, while the accumulated output reports show the installation of almost 150 hand pumps. The WES officer reports a total of 27 installed peri-urban systems, to be compared with a target of 8. The surpassing of the peri-urban systems can be explained by the

effects of the success of the revolving fund and the campaign of "Agua para Todos". The overall impression is that the water component of the programme has been successful.

The target to construct 2 500 latrines has been met.

The officer reports that hygiene and health education has been given to over 60 000 people at community level. No training has taken place at the institutional level, according to these reports. The progress reports show that the environmental health education component did not accomplish much in the first year, but has since increased its activities. The relatively weak health component can be explained by the fact that there were no targets established from the very beginning. The adjusted targets for Honduras do not contain one single target connected with hygiene and health education. Whether the software component of the programme has been successful or not is therefore impossible to say.

**Table 19: Nicaragua outputs 1992-1994**

Nicaragua	Target (92-94)	Target (92-96)	Achievements	
			Questionnaire	Accumulated PR
<b>Water supply</b>				
Piped systems	19	30	181	28
Hand pumps, drilled	572 (1500) <sup>1</sup>	836	395	drilled, hand dug 506
Hand pumps, hand dug	52 (120) <sup>1</sup>	77	253	
Other			6	
Rainwater harvesting		45		
School water supply	77	88		
Beneficiaries	93 192	147 424	122 613	
<b>Sanitation</b>				
Latrines	6 105 (16000) <sup>1</sup>	9 260	9 496	8 109
Beneficiaries	42 732	62 389	44 998	48 680
Promoters			50	

<sup>1</sup> The overall target for the 5 years stated in progress report one

According to the results reported by the officer in charge 181 piped water systems have been constructed. The target was set at 19 for the period. The cumulated progress reports add up to 28 piped water systems installed. The discrepancy in the reported output can be a result of reporting errors. The number of hand pumps installed has, according to the officer's response in the questionnaire, been reached, while the results from the progress report show an accomplishment of approximately 80% (hand-dug and drilled wells fitted with hand pumps are reported mutually).

The officer in charge reports 9496 latrines constructed over the period. The target was set at 6105 latrines. The sanitation construction component has been successful.

The software component had a target of training 763 people at institutional level. The progress report indicates that the health component has been active in certain aspects, although the target of the number of people trained included in this category may not have been met.



**Table 20: Panama outputs 1992-1994**

Panama	Target (92-94)	Target (92-96)	Achievements	
			Questionnaire	Accumulated PR
<b>Water supply</b>				
Piped schemes	4 (10)	4	6	8
Hand pumps, hand dug	34	38	5	
Beneficiaries	3 796	3 995	1 122	
<b>Sanitation</b>				
Latrines	96 (350)	9 108	283	440
Beneficiaries	531	50 095	1 821	300
Sewage			2	
Beneficiaries			1 655	
Promoters			20	

With eight installed piped systems the target has been reached. The installation of hand pumps, on the other hand, has been below target. The officer reports an output of five installed hand pumps, compared to a target of 34. The sanitation component has been successful: 283 and 440 latrines are reported from the officer and the progress report, respectively. The target was 96 latrines.

The weak point of the programme seems to be the software. There were no goals set for the health education component in the proposal of May 1991.

#### 4.6.3 OVERALL ACHIEVEMENTS OF THE CENTRAL AMERICAN PROGRAMME

The previous section looked at past outputs by countries. In the following section an overall assessment of the past performance is made of the three components: water, sanitation and environmental sanitation and hygiene education. The level of water services delivery has been higher than anticipated, even if the targets set have not always been met. In such cases, the failing output has been compensated by other, not planned, water supply projects. In the majority of cases the achieved output is greater than the target.

The sanitation component of the Programme shows a varying degree of success. Some countries have been able to accomplish significantly more than the set targets, others have fallen far below the expected output. Sanitation certainly needs to be considered more carefully in some countries.

The environmental sanitation and hygiene education has been less performing than other components of the Programme. The results of the Programme reflect that the emphasis so far has been on water and sanitation service delivery, rather than on the promotional and capacity building parts. The targets for these soft components of the Programme are not always defined in the plans. This is a severe restriction, not only for assessment of performance, but also for management of the Programme.

One of the constraints on performance of the health education component mentioned in the Progress Reports is the reluctance of governments to pay attention to this area. Apparently it has not been that easy to convince all counterparts of the benefits of an integrated approach. The lack of a clear understanding of strategies has hindered progress in many cases. The budgeting and the planning process is yet another area of concern. As the targets have been adjusted to the decided budget, however, this should not be con-

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sidered as a constraint to reach the targets.

#### **4.7 Programme management**

The Programme is to the larger part managed on country level: the seven country programmes and the special programme in El Salvador are managed by the UNICEF offices in the respective countries. The Programme Co-ordinator at the Guatemala Area Office (GAO) has a role for all countries, with the difference that the GAO formally cannot interfere in the country offices with Representatives.

In a similar manner the Subregional Component is managed by the team in the GAO, which cannot interfere into the country programmes. The Subregional Component has the role of reporting to donors for all programmes.

The Area Office is aware of the problems caused by the past and present management structure. The country programmes remain the basis for the WES Programme and it is not easy for anybody to fulfil the objectives of the Subregional Component without the voluntary co-operation of the country offices. The Subregional Component has so far been a component with a trial character — compared to the well established country programmes — and has had to live within this management structure. It is now time to give the Subregional Component an even more important role in integrating the country programmes and the Subregional Component into one specific WES Programme. This will require management changes. The monitoring of the country programmes is handled at country level, but the donor reporting is co-ordinated and delivered by the Subregional Component.

In the Team's opinion the management and the co-ordination of the Programme could benefit from increased participation in decision-making in between the involved units: Subregional Component and the countries, within the regional group, at the country offices and within the counterpart institutions. This should probably be a major focus of the programme in the future.

#### **4.8 Programme support**

In the 1991 Programme review it was pointed out that the budgeting principles were different between countries. This made it hard to analyse relations between costs and activities, outputs and objectives and it reduced transparency. The recommendations from that review were not accommodated before the Programme was financed. The same review also pointed at the administrative costs of the Programme. In the agreement with the donors, there are two fixed items for UNICEF costs:

- *UNICEF NYHQ* charges 6% of supplementary funds for general costs for administration and back-up services.
- *UNICEF Programme Support*, 11%, is deducted from the supplementary funds in each Country Programme and in the Subregional Component. This is used for the salary of the Project Officer, secretary, office equipment, consultants within UNICEF, UNICEF car, UNICEF driver etc. The 11% from the supplementary funds is not

enough to cover the costs of administration and/or the salary of the Project Officer<sup>58</sup>.

Apart from the 11% of supplementary funds a Non-UNICEF Programme Support is found in the budget. This includes: institutional development, which covers costs for salaries and cars to counterpart institutions; social mobilisation and advocacy; monitoring and evaluation; and development of appropriate technology. The size of the Non-UNICEF Programme Support varies as well as the utilisation of the funds. The following table displays the total Programme Support in the WES Programmes:

**Table 21: Programme Support 1992-1997 (Supplementary Funds)**

USD (000)	Belize	Costa Rica	El Salvador	Guatemala	Honduras <sup>2</sup>	Nicaragua	Panama
Programme Support	203.5 <sup>1</sup>	160.6	653.8	1 150.4	105.5	372.6	227.8
% of total budget	27%	35%	22%	20%	24%	12%	43%

Source: Information provided by the Guatemala Area Office

1) 23.6 is from General Resources

2) The figures for Honduras represent the planned budget for 1995

A variety of ways of treating Programme Support in the budget is found in the Country Programmes. In Belize, for example, Programme Support can be found under each of the components: Sanitation and Environment; Health Education and Training; and Programme Support. Programme Support has a budget line making up 24% of the total WES budget; when adding the Project Support under each component the total Programme Support makes up 27%.

In the El Salvador WES Programme there is a distinction between "UNICEF Programme Support", made up of the 11% mentioned above, on the one hand, and "Programme Support" on the other hand, being about 5% of the total budget (1995). The total Programme Support budget in El Salvador includes:

- Monitoring and evaluation
- Social mobilisation and advocacy
- UNICEF Programme support
- Logistical support
- Institutional development
- Programme final assessment
- Contingency

As the two examples from El Salvador and Belize illustrate, there is a need for increased transparency before it will be possible to estimate administrative costs of the Programme as well as to assess the sustainability with regard to the financial contributions to counterparts.

<sup>58</sup> On the basis of this it was agreed in the annual meeting UNICEF — Sweden of November 1994 that the 11% flat rate would be maintained in the present 5 year programme till 1996.

#### 4.8.1 ESTIMATES OF ADMINISTRATIVE COSTS

The Programme Support item cannot be said to be composed of administrative costs only, nor can it be claimed that it does not include administrative costs. Institutional development contains for example salaries to NGO and government employees as well as experts hired to the UNICEF office. It is a matter of study to define the amount of administration involved in these inputs. Such a study is outside the scope of this evaluation.

The costs for administration and direct technical assistance in the total programme budgets were calculated by UNICEF for El Salvador, Guatemala and Honduras in 1994<sup>59</sup>. To reflect the administrative costs of the WES Programmes two adjustments were made. The relative size of the WES budget to the total budget was used to reach the cost that can be allocated to the WES Programme. Secondly, the activities of the WES Programme were identified, and the time and cost of technical assistance were deducted. These figures should not be treated as a fixed amount of the administrative costs over time; as the estimate was based on a single observation, the amount may deviate significantly in another study.

**Table 22: Administration and direct TA in Guatemala, 1994**

Item	Annual cost	Guatemala share		WES share <sup>1</sup>	Direct TA	
	USD	%	USD	USD	(%)	USD
<b>Technical assistance:</b>						
Project officer total cost (Guatemala)	33 120	100%	33 120	33 120	25 %	8 280
Management Subregional	628 720	30%	188 616	109 125		
Management Guatemala	146 200	100%	146 200	84 585		
<b>Administrative support:</b>						
Personnel (subregional and Guatemala)						
Financial personnel	37 700	67%	25 259	14 614		
Supply assistant	73 560	67%	49 285	28 514		
Programme assistant	37 440	67%	25 085	14 513		
Programme assistant (Guatemala)	18 720	100%	18 720	10 831		
Support staff (operation and maintenance)	44 686	67%	29 940	17 322		
Receptionist	23 040	67%	15 437	8 931		
Secretary (Guatemala water)	15 800	100%	15 800	15 800		
Drivers	39 580	67%	26 519	15 342	75%	11 507
Other costs						
Office furniture	24 195	67%	16 211	9 379		
Office equipment including computers	14 333	67%	9 603	5 556		
Vehicles	9 000	67%	6 030	3 489	75%	2 617
Rent, water and electricity	217 425	67%	145 675	84 281		
<b>Documents and correspondence:</b>						
Stationary	20 950	67%	14 037	8 121		
Telephone, fax and telex	158 655	50%	79 328	45 895		
Photocopies	41 900	67%	28 073	16 242		
<b>Total</b>	<b>1 585 024</b>		<b>872 936</b>	<b>525 659</b>		<b>22 403</b>

1) The share of the WES Programme in Guatemala was approximately 58 percent of the total programme budget at the time of the study.

The administrative cost was estimated in the following way.

<sup>59</sup> A UNICEF study for DANIDA, 1994.

<i>Calculation of administrative cost:</i>	
Administrative costs (525 659 - 22 403)	503 255
Total funds WES Programme 1994	3 455 472
Percentage administrative costs	15 %

For Honduras and El Salvador the administrative costs in 1994 are 12 percent. The cost of the Subregional Component is not included and has to be added in order to become comparable with the Guatemala example.

Yet another way of assessing the administrative costs is a break-down of total expenditures. The expenditures by object is divided into three general categories: Project Inputs; Project Staff Costs; and Project General Operating Expenses. These groups are further broken down in more detail.

*Project inputs* covers the costs of supplies and materials such as vaccines, equipment, freight, transport and inspection charges as well as cash assistance to counterparts and government institutions. It further covers costs for materials, publications, information etc. *Project Staff Costs* covers the costs of salaries and allowances for project staff. It also includes the costs of travel when taking up assignments. *Project General Operating Costs* covers all those costs which are not related to staff, but essential for the functioning of the project or activity. It includes for example: travel, rental and maintenance of premises and equipment, computer rental, transport equipment, furniture, office supplies, communication.

The following expenditures are reported by UNICEF<sup>60</sup>.

<sup>60</sup> Due to small objects of expenditure which have been excluded because of its marginal importance in total expenditure, the totals do not add up to hundred percent. UNICEF, *Expenditure by Object of Expenditure*, January-August 1995.

**Table 23: Expenditure by Object (% of total), January to August 1995**

Item	Subregional	Belize	Costa Rica	El Salvador	Guatemala	Panama
<b>Project inputs</b>						
Supply assistance	13			62	71	39
Other						
Cash assistance to counterparts	17	16	22	18	17	38
Materials, publications		38				
<b>Sub-total</b>	<b>30</b>	<b>54</b>	<b>22</b>	<b>80</b>	<b>88</b>	<b>77</b>
<b>Project staff costs</b>						
International professionals	12			6		
International consultants	13	19				22
Temporary auxiliary staff						
National professionals					3	
National consultants	14	17	60	6	3	
General service staff	11			3	3	
Volunteers	4					
<b>Sub-total</b>	<b>54</b>	<b>36</b>	<b>60</b>	<b>15</b>	<b>9</b>	<b>22</b>
<b>Project general operating expenses</b>						
Travel for training						
Travel for project planning & monitoring	1	9	17			
Various	6		1		1	
<b>Sub-total</b>	<b>7</b>	<b>9</b>	<b>18</b>	<b>—</b>	<b>1</b>	<b>—</b>
<b>TOTAL</b>	<b>91</b>	<b>99</b>	<b>90</b>	<b>95</b>	<b>98</b>	<b>99</b>

It is not possible to estimate the administrative costs of the WES Programme from the above data. The only way to do so, would require a study of the staff usage of time. Therefore, the best available estimates are those presented above.

UNICEF offices receive an administrative contribution from UNICEF General Resources to cover general costs of operation. Supplementary funds are not used for this. In reality this may imply in a given case that the WES Programme supported by SIDA can be subsidised for parts of its administrative cost; the extent of the subsidy depends on the relative size of the WES Programme in comparison with other UNICEF activities.

The administrative cost of the counterparts and the community for implementing the projects has not been possible to assess.

From the recommendations in the 1991 review and basing our conclusions on the cases of Belize and El Salvador, it seemed necessary to recommend significant changes in the budgeting system in order to increase UNICEF budget transparency for the benefit of donors and recipients. In Phase Three of the study, the Team received the NYHQ *Budget guidelines for offices preparing country programme recommendations to the 1996 Executive Board*. Basically, these guidelines involve steps towards integration of administrative budgets and programme budgets for country offices. The new model will be used in the next country programme cycle. The Team has studied the guidelines and found that there is no reason to go into depth of the old system: the new system will increase transparency and accountability. This is to us the important matter for the next programming phase.

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## 4.9 Recurrent costs and topping-up

A dilemma in many countries is the large parts of government budgets consumed by staff remuneration, leaving little resources for implementation activities. The Ministry of Natural Resources, UNICEF's counterpart in Belize, is an example where recurrent costs make up approximately 80% of the total budget. As a consequence funds from donors are often not only used for technical assistance and capital costs, but also for recurrent costs such as wages and per diems to certain personnel.

The low salary scale of government employees forces government staff to engage in other income-generating activities. Topping-up becomes an incentive to stimulate staff to exclusively engage in programme activities. As topping-up may also include other fringe benefits, e.g. usage of car, it is hard to correctly assess its cost.

In the present study, available data do not permit any fair estimate of the extent of topping-up expenditures in the WES Programme: it would necessitate that the Team had access to each contract in each country, which we do not. Without the contracts we are not in a position to say precisely which expenditures involve topping-up and which do not.

However, "Cash Assistance" (cf. table 23) containing salaries and other financial contributions to governmental institutions and active partners gives an indication of the amount and usage of funds to personnel. The following objects may be found in the "Cash Assistance":

- Code 31: "training of government staff / NGOs" represents the costs of conduction and attending training programmes by the government or NGO partners that UNICEF provide support to.
- Code 32: "travel of government staff / NGOs" covers all travel by government and NGOs which is carried out with UNICEF project funds.
- Code 55: "meetings and conferences" covers all costs from programme funds for meetings and conferences including MTRs, previews and annual reviews.
- Code 56: "salary and support costs" represents funds that UNICEF provides their implementing partners to support salaries, allowances or incentives.
- Code 57: "acquisition of project premises" includes the utilisation of UNICEF funds by government or other implementing partners to purchase or build project premises. It includes project offices, housing, clinics or schools. In this case the government carries all the contractual responsibilities.
- Code 58: "other cash assistance".

**Table 24: Cash assistance January to August 1995 (USD)**

Item	Subregional	Belize	Costa Rica	El Salvador	Guatemala	Panama
Code 31	1 184	522	2 570	12 752	8 789	10 000
Code 32	15 742	2 839	469	2 722	34 383	750
Code 55	5 038		67	348	2 393	
Code 56	16 027		3 382	52 813	102 491	10 000
Code 57						
Code 58	11 363		—	24 218	—	
<b>Total</b>	<b>49 354</b>	<b>3 361</b>	<b>6 488</b>	<b>92 853</b>	<b>148 056</b>	<b>20 750</b>
<b>Total expenditure</b>	<b>291 408</b>	<b>20 944</b>	<b>29 014</b>	<b>518 511</b>	<b>848 582</b>	<b>55 057</b>
<b>% of total</b>	<b>17 %</b>	<b>16 %</b>	<b>22 %</b>	<b>18 %</b>	<b>17 %</b>	<b>38 %</b>

Note: information was not available from Honduras and Nicaragua.

The share of cash assistance in the above table may be taken as a fair estimate of the share of recurrent cost of total expenditure (as code 57 is zero). The recurrent cost share is actually more interesting for an assessment of sustainability and development impact than topping-up as such.

When breaking out "code 56" containing salary and support costs for the implementing partners and comparing them with the overall total expenditure the following figures are attained: Subregional (5,5%); Costa Rica (13,5%); El Salvador (10,2%); Guatemala (12,2%) and Panama (18,2%). With a lot of hesitation, we could assume that this item reflects at least a proxy of the topping-up share of expenditures.

These expenditures cannot be treated as recurrent costs only, as they may include technical assistance that could be seen as investments, e.g. salaries to consultants working directly with the counterpart institutions with technical assistance, though under contract with UNICEF. Neither can it be considered as topping-up only. To be able to assess this, the activities undertaken by each individual who receives salary, allowances or other fringe-benefits from UNICEF would have to be studied in detail. It has been beyond the scope of this evaluation to acquire such insight.

#### 4.9.1 OTHER FINANCIAL ASPECTS

The monitoring system of the Programme does not produce data on cost-effectiveness in terms of any objectives. This was not part of the plans of the Programme. There is no way to produce an analysis of cost-effectiveness from the data generated in the present study<sup>61</sup>. As mentioned previously, monitoring of objectives does not even allow measurement.

The Team has therefore concluded that cost-effectiveness cannot be assessed in this evaluation study. Comparisons of unit costs could be a way to roughly compare costs in general between the Programme and other programmes. Apart from our presentation of the comparison with average investment costs in Africa above, we have not produced such comparisons<sup>62</sup>.

<sup>61</sup> There never is in a study of this budget magnitude. Anybody familiar with SIDA's conceptual work on cost-effectiveness should be aware of this. Simplifications must be sought.

<sup>62</sup> This Team has not analysed the work of the Programme in the area of unit costs.



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#### 4.10 Public relations

The overall picture of the Programme is that little public credit has been given by UNICEF to SIDA or SDC in the past. However, it is not until just recently that SIDA has started to request to be visible in the countries. This request is now gradually being met. In El Salvador, for example, the newly developed model for hygiene and sanitation education includes the logo of SIDA in all training material at both institutional and community level. The Subregional Component has started to produce material for communication where the Swedish and Swiss contributions are exposed.

#### 4.11 The El Salvador Programme in former conflict areas

The Swedish support to the UNICEF programme in El Salvador is formally consisting of two different parts: one part with an overall health objective and one part with an explicit objective of contribution to the reconciliation process. This corresponds to a split between two modalities for the UNICEF programme. After the peace accords some areas, the so-called former conflict areas, were not accessible to the government and not served by the social delivery of the government. Such areas were accessible to the respective political movements and originally served only by them — or rather their NGOs — in terms of deliveries of social services. Thus, two organisational models have emerged for the UNICEF programme — one governmental and one non-governmental — but the technical assistance and the methods applied are otherwise the same in the two co-operation modes. It should, however, be noted that our field visits demonstrated that the government and the NGOs as of today were both present in all visited areas. The co-operation between the government and the NGOs depends on the situation at the local level. At the central level, such collaboration is rather restricted. Possibly, some of the local co-operation witnessed by the Team could be taken as an indicator of a certain success — albeit shared with many others — of the programme's objective of contributing to the reconciliation process.

Absence of secure land tenure is often a problem for investment in rural infrastructure in El Salvador. Especially in the former conflict areas, people may be settled in areas without knowing their future land tenure situation. People have been moved from one area to another and communities have not been stable. In the 1994 review<sup>63</sup> this factor was observed and the recommendation to the UNICEF and the NGOs was to carefully consider land tenure issues before implementing projects. The Team's field visits confirmed the uncertainty attached to land tenure, but they also pointed at a conscious selection of project sites, trying to minimise the risks of losing the investment.

The UNICEF co-operation with NGOs in former conflict areas covers the former factions of the FMLN and is organised under two agreements. One agreement is with *Concertación Salud* (CONSALUD), a group of NGOs, consisting of ASPS (*Asociación para la Promoción de la Salud Integral*), CPAS (*Centro Coordinador de Programas Alternativos de Salud*), CODECOSTA (*Coordinación Cooperativas y Comunidades para el Desarrollo Integral de la Costa*), FUNSALPRODESE (*Fundación para la Promoción del Desarrollo Social y Económico*) and Socorro Luterano. An agreement with a single, larger NGO completes the list of UNICEF NGO counterparts: PRO-VIDA (*Asociación Salvadoreña de Ayuda Humanitaria Pro-Vida*).

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<sup>63</sup> Winblad et al, 1994.

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The present UNICEF counterparts all suffer from similar weaknesses, although to different degrees. They are all operating in a context of no government sector policy framework and of no clear delimitation of roles and responsibilities. Further, they are under severe budget constraints, generating no income from the investments in the sector, which make them dependent on external finance and thus vulnerable to external changes. Sustainability of the counterparts seems to be far away.

None of the important counterparts has a special capacity and experience in WATSAN. The NGOs used to be engaged in health activities during the armed conflict and for all of them the water projects with the UNICEF are the first ones they have implemented. The capacity is stronger in sanitation and health education than in water.

A further complication of the present counterparts derives from the armed conflict and the continued political struggle, albeit in democratic forms, between the government and the opposition. Water is an extremely politicised resource in most countries. The government, and the MSPAS at the central level, as well as the opposition parties, and their NGOs, are aware of the importance of grassroots support not only for the reconstruction of the country but also for the next elections. The Team visited communities where neither the NGOs nor the government could work with the entire lot of the people living there. The consequence, then, is that for example the latrine and the health education project will not encompass all the inhabitants of a community. The implications for the health impact of the sanitation projects are negative in such cases.

The health impact consequences of the political division of communities may be even less important than the possible implications for the overall objective of contributing to the reconciliation process in the country: it has certainly been relevant to support the NGO initiatives in the former conflict areas, but what should be the next step of reconciliation? There is also a need for a next phase of contribution to the reconciliation process: is the NGO input for certain areas still necessary or should the distinction between areas now be abandoned?

None of the above comments on possible difficulties with the NGO co-operation should be taken as a justification to neglect, however, the engagement and commitment given to the programme by the NGOs. Their role has been very important for the programme.

The NGOs in El Salvador did not have any earlier experience in water supply activities and are now implementing integrated projects. Although some strategies for the development of counterpart institutions are found, the Team considers that this component could and needs to be strengthened. The El Salvador development of counterpart institutions may not be seen as achieved in terms of replicability and sustainability of the programme. As has been noted elsewhere, the counterpart issue may be crucial for the future development of the programme in El Salvador.

Our conclusion is that UNICEF is in need of stronger counterparts in El Salvador. To create such partners for development is of course beyond the powers of UNICEF, but rather dependent on the sector development in El Salvador. On the other hand, the institutional development component of the programme should contribute to the strengthening of the counterparts. The present Programme has not had more than two years of co-operation with the NGOs and it may thus be premature to question the methods used for institutional development. Starting from a very low level of experience of, e.g. water sup-

plies, it takes longer than a couple of years, however, to create a sustainable capacity with a new counterpart. Still, it may be justified to point at the clouded prospects of sustainability in the present set-up.

The Team has not been able to identify any possible alternative channels and has no such proposal. All alternatives have been rejected by our assessment.

#### 4.12 Follow-up of previous recommendations

In this section previous recommendations are checked against action taken by the Programme. Moreover, an analysis of the impact of SIDA's recommendations and dialogue on the Programme is carried out.

##### *Lewin et. al., Appraisal of the UNICEF's proposal 91-95, 1991:*

<b>Recommendations:</b>	<b>Results:</b>
• The proposed budget has an inconsistent structure which makes it impossible to make a comparative analysis of the seven country budgets. The team recommended SIDA to request a better structured budget and more consistent budget from UNICEF to serve as a base for analysis and decision making:	Not done
• The programme proposal does not contain Plans of Operation, neither does it outline in any detail the strategies for the various components. This documentation should be available to donors before they take a decision:	Not done
• Demand the development of strategies in the weak areas of the programme, as sanitation and sanitary education, and the involvement of women in projects in rural areas:	Done to some degree
• A set of indicators need to be developed for routine monitoring (e.g. use the sentinel site methodology):	Done to a limited degree <sup>64</sup>
• The reporting should include results for the whole programme irrespective of where the funding comes from:	Done

##### *Medina et. al., Mid-term Review, 1993:*

<b>Recommendations:</b>	<b>Results:</b>
• Commission an external management study with the specific aim of improving the efficiency and effectiveness of the Area Office and the national offices:	Not done
• The above mentioned study should also scrutinise the administrative overheads:	Not done
• The strategy for the development of counterpart institutions:	Not done
• To develop effective strategies for the implementation of hygiene and sanitation promotion and for the introduction of a gender perspective:	Various results
• Carry out a financial analysis of the Tegucigalpa model:	Done
• Carry out an appraisal of the Trifinio subregional pilot project:	Done
• Discontinue the "Lifsource Project" (Subregional Component):	Done
• Pay more attention to the potential role of primary schools in the WES programme:	Done <sup>65</sup>

<sup>64</sup> E.g. MUNIAGUA software programme, the WASAMS database

<sup>65</sup> UNICEF — CENTROAMÉRICA, *Guia de Estratégias para Agua y Saneamiento*, December 1993

Recommendations:	Results:
• Improve / streamline UNICEF purchase and supply mechanisms:	Not done
• Continue strengthening the technical and managerial competence of the co-operating NGOs and provide a UNICEF back-up team as envisaged in the project document:	More needs to be done
• Strengthen the community organisation before implementing projects:	Done
• UNICEF and involved NGOs carry out aggressive lobbying to government's institutions to expedite the issuance of land tenure:	Not done
• Reconsider the use of the Maya pump for shallow wells and check the applicability of simpler technologies like the windlass bucket or the rope pump:	Not in use
• Introduce safe water supply and hygiene education with or before introducing latrines:	Done
• Where the LASF system is introduced, train promoters to link the use of the LASF to home gardening and nutrition; and arrange study visits for village promoters and health/water committee members to the LASF latrines in <i>Hermosa Provincia</i> :	Done
• Prepare a proposal for a continuation and expansion of the project:	Not done

When analysing how the recommendations from previous evaluations have been handled by UNICEF, two general conclusions may be drawn. Firstly, the recommendations regarding methods and strategies to improve project performance seem to have been followed by UNICEF during the project cycle. For example, the appraisal of the proposal in 1991 pointed out the importance to focus on weak areas of the Programme; the sanitation and the health and hygiene training components as well as increasing the involvement of women in projects. Even if the success is not applicable to all the Country Programmes, it is clear that efforts have been made to strengthen performance in these areas.

On the other hand, the recommendations focusing on administration and management of the Programme seem to have had little, or no, impact. In the appraisal of the UNICEF's proposal 1991-95, recommendations were given in order to better plan and manage the Programme. Recommendations were also given to facilitate the follow-up of the progress. The team recommended a better structured budget as well as to develop the strategies for the three components: water; sanitation; and health and hygiene training. None of this was done. Further, no indicators for continuous monitoring have been established. As a consequence, the instruments available within the Programme to follow the progress of the activities, as well as the information on which future plans should be based, are seriously limited. The base for decision making is weak which decreases UNICEF's capacity to effectively plan the Programme.

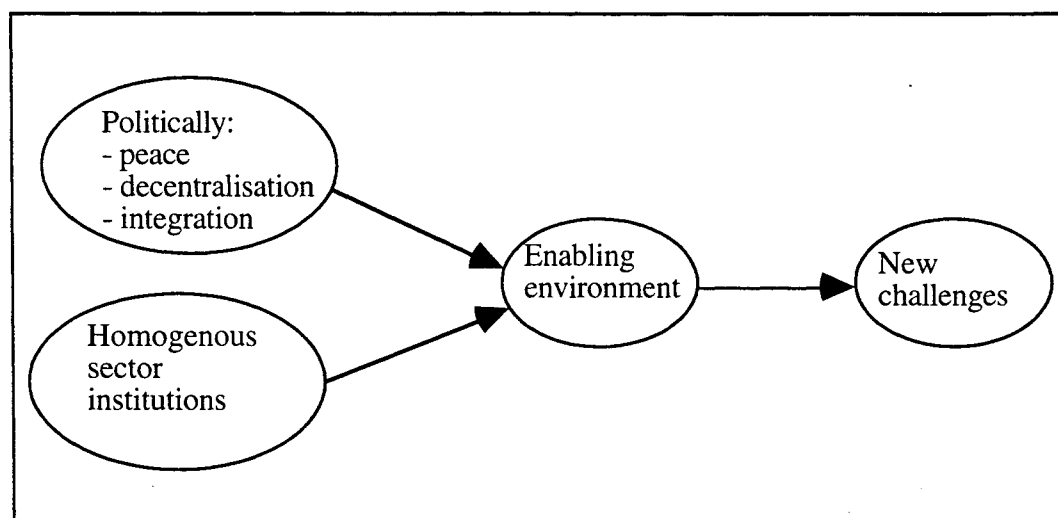
The collaboration between UNICEF's WES Programme and SIDA has turned out to be smooth without any significant obstacles. Comparing the SIDA strategy on water supply and environmental hygiene with the Central American WES Programme, the two organisations' ways of designing projects, the choice of target groups and the selection of activities coincides, and it is apparent that the two organisations have much in common (cf. section 3.2.1). It should be kept in mind that UNICEF considers themselves, with the full right, to be experts in water and environmental sanitation. Moreover, UNICEF is an independent organisation and SIDA can not expect to entirely influence the UNICEF working methodology.

It may be concluded that the recommendations in the appraisal and the mid-term reviews, as well as the continuous dialogue between UNICEF and SIDA have influenced the Programme and have been utilised by UNICEF when dealing with programme implementation as opposed to recommendations focusing on improvements of programme planning. Ultimately, recommendations cannot be seen as strict guidelines for future work, but have to carefully be explored in the Programme context.

## 5 CONCLUSIONS

The first part of this section outlines the context of the future programme, as the Evaluation Team has perceived it. Our presentation of the WES Programme context starts with the ongoing political changes. It then goes on to the sector changes and the particular new challenges for the Programme (fig. 3). Having laid out the context, we present our conclusions and recommendations on the future programme in the second part of this section.

**Fig. 3. Enabling environment for new challenges to UNICEF**



### 5.1 Political context: opportunities and constraints

The predominant political ongoing changes are the peace process, the trend towards decentralisation and the regional integration process.

#### 5.1.1 PEACE: NEW PROSPECTS

The present situation in Central America has many causes, but a major aggravating factor in the 1980s was that countries were suffering, directly or indirectly, from war and/or undemocratic regimes. This situation is now practically over and new avenues seem to be open:

- *Economic recovery* is at the doorstep, now that the wars are over;
- *Access to remote areas* is open to the governments for the provision of social services;
- *"Peace funds"*<sup>66</sup> can provide resources for these social services; and
- *A halt to rural-urban migration* may occur and alleviate the crowding of peri-urban areas.

On the negative side, donors have *reduced external support*, claiming that it is not that much needed any more, and the trend could continue.

<sup>66</sup> Such as the *Fondo Nacional para la Paz (FONAPAZ)* in Guatemala.

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### 5.1.2 DECENTRALISATION: A FAVOURABLE INSTITUTIONAL EVOLUTION

***Planning and monitoring of water and sanitation development at the lowest possible administrative level.*** The decentralisation trend currently taking place is a step in the direction of this important policy principle. Resources, authority and responsibilities are to be transferred to the municipalities (in Guatemala, 10% of the national revenue is made available to municipalities for investment in the social sectors). The Regional Programme has already seized this opportunity (e.g. the Municipal Plans carried out in the Trifinio area by the Subregional Component).

### 5.1.3 REGIONAL INTEGRATION

The regional integration taking place, formally with PARLACEN and SICA (cf. section 1), and informally simply thanks to peace, presents opportunities also to the WES sector:

- ***Interdependency*** (currently dramatically revealed by the Dengue epidemics) is easier to address.
- ***Economies of scale*** can be achieved (e.g. bulk purchase of chemicals for water treatment by CAPRE).
- ***Complementarities*** can be fully exploited (e.g.: ERIS).

Integration will also have effects on migration: while the war-time refugee movements will be reverted, there might be new migrations under economic motives.

### 5.1.4 CONSTRAINTS

***Inequity and poverty*** are still permanent features of the Central American climate (cf. section 1) apparently not affected by the promising developments just mentioned.

### 5.1.5 IMPLICATIONS FOR DONORS

This is a context in which ***donors can expect higher results for their support*** (in terms of cost effectiveness and sustainability), and should not, as the Evaluation Team sees it, reduce their support at this stage, under the guise that the major hurdles are over.

## 5.2 Sector context: opportunities and need for reforms

Most Central American countries have structured the water and sanitation institutions according to one of the following models (cf. section 1.2.1):

- ***Comprehensive utility*** responsible for water and sewerage systems throughout the country. The authority may have a considerable autonomy, but is in many cases *under the Ministry of Health* (example: SANAA in Honduras).
- ***Urban utility*** responsible for water supply and sewerage in urban areas (communities of more than 2,500 inhabitants) and the *Ministry of Health* responsible for water supply in rural areas, and of on-site sanitation throughout the country (example: Panama).

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As these arrangements show, *collaboration with the Ministry of Health presents strong opportunities*, and the Ministry of Health is a privileged partner of UNICEF anyway.

In spite of this, the need for sector reforms is undisputed (cf. section 3.1). None of the seven countries have a rural water institution at the same footing as the urban water companies.

UNICEF is sending the right signals when it favours institutions like SANAA in its programme geared to the peri-urban poor.

### 5.3 New challenges

As discussed in section 3.1, the problems that justified the programme in 1991 are still existing today. In addition, new challenges are posed by:

- *Marginal urban areas* subject to a demographic explosion, while the rural population (and that of the traditional urban centres) will stay pretty stable; and
- *Deterioration of the environment*: depletion and contamination of fresh water resources, sillage, pollution of streams, lakes and coasts by untreated waste water, uncontrolled garbage dumps, to name only areas directly concerned by the WES sector (cf. section. 3.2.4).

### 5.4 Strategic options for UNICEF WES in Central America

Having presented the context, we now discuss the major strategic options available for UNICEF in Central America.

#### 5.4.1 PRELIMINARY REMARKS

A multi-donor global evaluation of UNICEF carried out in 1992 pointed that UNICEF can rely on three basic strategies to carry out its development programmes<sup>67</sup>:

- *Service delivery* through well-defined technical interventions;
- *Capacity building* for sustained programme delivery; and
- *Empowerment* of the target groups through the promotion of community participation, advocacy and co-operation with a diversity of organisations of the civil society.

The options presented in sections 5.4.2 and 5.4.3 and illustrated in fig. 4 build partly on the proposals of the 1992 multi-donor evaluation and are otherwise based on the findings of the present evaluation.

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<sup>67</sup> Vesth-Hansen, K., and Engberg-Pedersen, P.: *Evaluation of UNICEF, Sector Report, Water and Environmental Sanitation*, December 1992.

**Figure 4: Strategic options for UNICEF in Central America**

<i>Strategy and activity</i>	<i>Prime mover</i>	<i>Role of UNICEF</i>	<i>Opportunities</i>	<i>Risks and obstacles</i>
<b>SERVICE DELIVERY</b>				
Extension of coverage	Government SIFs Development Banks	"Catalyst" Promotion of appropriate technology Advocacy	Availability of funds	"More for some, rather than some for all"
<b>CAPACITY BUILDING</b>				
Dissemination of low-cost technology	Networks: CAPRE, ERIS, RRAS-CA	Case studies Facilitator Advocacy	Growing acceptance of appropriate technology	UNICEF needs new staff
Linking water, sanitation, and health	Governments NGOs media	Promotion Co-ordination	Awareness may grow (sadly, due to epidemics)	UNICEF lacks capacity
Planning at decentral level	PARLACEN INFOM municipalities	Models Training Follow-up	Official support to decentralisation	UNICEF may focus on "doing" rather than "promoting"
<b>EMPOWERMENT</b>				
WES as entry-point for other support	MOH municipalities NGOs communities	Promotion Co-ordination	Fits into UNICEF's mandate	UNICEF needs new staff

#### 5.4.2 SERVICE DELIVERY

##### *Extension of coverage*

The achievement of full water supply and sanitation coverage by the Year 2000 are two of UNICEF's Global Goals. To reach them, the involvement of the governments, the SIFs, and the development banks will be essential. There will be a strong competition for these funds, especially from the urban utilities interested in extending their services to affluent groups. If the slogan coined at the end of the International Drinking Water Supply and Sanitation Decade, *Some for all, rather than more for some*, is to be applied, UNICEF should continue playing its "catalyst" role, and promote services based on appropriate and low-cost technology. UNICEF advocacy should be expressed by priority selection of counterparts working at grassroots level in the urban fringe and the rural areas.

#### 5.4.3 CAPACITY BUILDING AND EMPOWERMENT

##### *Dissemination of low-cost technology*

The economies of scale and the complementarity mentioned in section 5.1.3 above make a strong case for the dissemination of low-cost technology in the region. UNICEF should seek complementarity rather than competition with the existing networks of CAPRE, ERIS and RRAS-CA<sup>68</sup>. With its mass of relevant experience, UNICEF could be a prime

<sup>68</sup> Training and dissemination of information on appropriate technology could benefit from world-wide experi-



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provider of case studies and models, and, again, can play a role of facilitator and advocate.

### *Integration of water, sanitation and health*

The potential presented by the dominant role of the Central American Ministries of Health in the sector has been mentioned in section 5.2. Other important roles in the integration of the sector can be played by NGOs and, for specific operations, by the media. UNICEF can play an important, but difficult (again, "catalytic") role of facilitator in the necessary co-ordination. The obstacle to overcome in addressing this complex capacity-building exercise is that UNICEF in Central America currently has itself insufficient capacity for this.

### *Planning at decentralised level*

Planning at the municipal level would be closer to the beneficiaries. There is no culture for decentralisation in Central America at the moment, but decentralisation is part of the rhetoric of PARLACEN, and most governments have Municipal Support Institutes (INFOM in Guatemala, INIFOM in Nicaragua, etc.). UNICEF can build on the experience it has already acquired in municipal planning, but must avoid the risk of becoming a "doer" rather than a "promoter" and focus on providing models, training and follow-up.

### *WES as entry point*

The challenge, corresponding precisely to UNICEF's mandate, is to extend integration beyond WES and bring the full range of UNICEF services (health, education, nutrition, etc.) to the target groups, working with the Ministry of Health, the municipalities, NGOs, and the communities themselves. Some encouraging experiences have already been noted (e.g. the Basic Urban Services Programme in Guatemala). The key problems for UNICEF are the need for new staff qualifications and the need to give the objective of immediately going-to-scale second priority.

## **5.5 Evaluation criteria**

In this last part of section 5, we discuss the evaluation findings, broken down into *evaluation criteria* (cf. section 5.5), *programme planning* (cf. section 5.6), and *programme implementation* (cf. section 5.7).

In terms of the SIDA general evaluation criteria, the Team arrives at the following conclusions and recommendations (fig. 5).

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ence if one of these networks would join the *International Network for Water and Waste Management (ITN)*, promoted by the UNDP-World Bank Water and Sanitation Programme with the support of bilateral donors, among which SDC.

**Figure 5. Findings and recommendations on the main evaluation criteria**

<i>Findings</i>	<i>Recommendations</i>
<b>RELEVANCE</b> The Programme was at inception and still is relevant to the problems of the target groups.	A gradual priority shift towards peri-urban groups should be considered.
<b>GOAL ATTAINMENT</b> The targets set for service delivery; water supply and at times also sanitation have been achieved. The software component has improved in some countries, but is still considered the weakest.	Health and hygiene education, capacity building and empowerment require enhanced attention.
<b>SUSTAINABILITY</b> See remark below.	Focus of attention must become the institutional capacity of partners.
<b>COST EFFECTIVENESS</b> Cannot be assessed with the data at hand.	

*Remark on sustainability:* The Programme's sustainability cannot be assessed based on an abstract level. Due to the weakness in capacity building and institutional development, the Team raises some doubts as to the sustainability of the UNICEF partners, financially as well as organisationally.

On the basis of the above general conclusions in terms of the evaluation criteria, *the Team recommends that:*

- *the Programme be supported during the next programming phase; and*
- *the support include all the seven countries and a subregional component.*

*An appropriate indicator system for progress monitoring should be developed (see below).*

## 5.6 Conclusions and recommendations on programme planning

The original "Project Document" consists of eight separate documents with little or no systematic relationship between them. The recommendations of the 1991 Appraisal were not implemented and therefore many weak points followed the programme into implementation. Partly due to these factors the programme has gradually changed objectives, emphasis and output targets, making the assessment in relation to the original objectives difficult. In general, however, the Evaluation Team sees relevance in the changes in strategy and directions made.

The Programme is extremely complex, it contains in fact nine different programmes.

Neither the counterparts, nor the donors have actively participated in planning; the programme design does not reflect a consensus, and the extent to which it meets the priorities of counterparts is uncertain.

- **Complex Programme**
- **No participatory planning**
- **No basis for monitoring**

The absence of quantities for a sizeable number of targets, as well as the absence of a system of indicators, make objective monitoring and evaluation difficult.

The programme was not planned with the Logical Framework Approach or any similar

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method. No monitoring system based on objectives, outputs and indicators for impact was established.

The programme started with a great lack of integrated community-based planning, but has been changing in the right direction, i.e. from a vertical programme to a more integrated one. There is still room for much improvement.

... unify the Programme ... use a planning tool like the LFA
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*The Team recommends that the new programme phase be based on integrated community-based planning and designed within a planning model like the Logical Framework Approach or similar concepts, whereby a strict management and monitoring system is established for the implementation. An aim should be to link the different parts of the programme in a systematic way so that the unified project document reflects the objectives of each part.*

The budgeting system remains non-unified in the present phase. The Team has studied the new budget guide lines that will be applied by UNICEF and believes that this will enhance transparency and management capacity.

The main justification for the *additional funding and the reorientation* <sup>69</sup>of the Country Programmes in terms of planning is the concept of being "extra effective in turning the main role for service delivery to the Governments of Central America" in the new situation of "sharply increasing funds for the social sector" which are only to be used for construction. It is claimed that the maintained or increased funding level would enable the programme to support "better institutional capacities to manage the programme and to ensure hygiene education" in an "unprecedented way". The reorientation reflects a shift of UNICEF support towards "hygiene education, community participation and pre-investment". Further the document states that: "More technical assistance to capacity building and strengthening capacity of infrastructure institutions in the sector is required".

*The Team fully support the efforts towards the proposed reorientation.*

## **5.7 Conclusions and recommendations on Programme implementation**

### **5.7.1 UNICEF'S PARTNERS: SELECTING THEM AND ADDRESSING THEIR NEEDS**

The outcome of the Programme is dependent on the quality of counterparts. UNICEF has been successful in finding a number of committed and competent counterparts. Selecting counterparts is an expression of advocacy, which raises the question whether more diversity would not be desirable for the future. The advocacy value of some counterpart selection may be questioned.

Most counterparts have their weaknesses and expect support from UNICEF. The achieved capacity building in general is not sufficient. In some instances the Programme even adopted a by-pass approach rather than an institution building strategy.

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<sup>69</sup> UNICEF, *Proposal to the Government of Sweden for Reorientation and Additional Funding for the Water, Sanitation and Environmental Education Programme in the seven countries of Central America, Period 1995-1996*, Area Office for Central America, January 1995

UNICEF's participation in sector reforms — another important advocacy role — is limited. This reflects in part a lack of relevant experience and skills: UNICEF is so far not well organised for sector reform advocacy and should improve in this respect, it should leave it to others).

**A gap between potential and outputs:**

- Institution building strategy
- A wealth of experience not shared
- Strong on water, not so on sanitation and health
- Cost recovery still ahead
- Catalytic impact: a deficit

*The Team recommends that UNICEF develop a mechanism to make the choice of counterparts strategically. We also recommend that the methods for capacity building in the counterpart institutions be improved.*

### 5.7.2 SHARING THE EXPERIENCE: MANAGEMENT AND PRIORITIES

The WES Programme has generated a great diversity of much positive experience; UNICEF's experience with low-cost technologies and community-based approaches give it a "leading edge," but also a responsibility. In relation to this rich base of experience the *learning and interchange* has not been adequate: The Programme lacks examples of effective participatory community-based training *methodologies and tools*.

The Subregional Component has initiated and implemented a variety of activities, but has not been able to stimulate an effective participatory action-learning system which must be the basis for a sustainable community-based development process (Box 11). *Page 26*

There is much more to be learned from each other than from the Subregional Component. So far the exchange of experiences within the Programme has been more accidental than strategic. Management and decision-making arrangements within UNICEF have not encouraged the development of learning relationships within and between the programme partners.

Decentralisation and participation are concepts that need to be understood in order to be effectively promoted; and lived in order to be understood. Broader ownership of the Programme requires a sharing and wider participation in the development of Sub-regional work plan. The Evaluation Team strongly endorses the idea that a workshop be organised to consider mechanisms for "decentralisation" of the Programme and for identifying mechanisms for a more horizontal, collegial, management than exists at the moment.

While various regional and country workshops have helped establish the appropriate principles and ideological framework for an approach to empowerment, programme planning and field staff seem to lack a coherent grasp of the participatory tools and methodologies for implementing a participatory development process at the community level. Staff structure and professional profiles are not appropriate for implementing a facilitated learning-oriented development model: In addition to the obvious lack of "software" people in key positions, there is also a need that the entire decision-making process, in the Subregional Component and the country programmes, be "feminised."

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*Horizontal exchanges and opportunities for cross-fertilisation between countries and projects should be more actively promoted.*

*The centre of the Programme should be moved outward and downwards: an Advisory Board composed of resource persons from the region — but external to UNICEF — should be convened at regular intervals to review progress and work programs.*

### 5.7.3 WATER, SANITATION AND HEALTH: TIME FOR A PRIORITY SHIFT

The Programme is weaker in sanitation than in water: The Team considers the present sanitation and hygiene concept of the Programme to be too narrow in general, in spite of exceptions to the contrary.

There is a tendency to delegate the sanitation and hygiene components to marginal units: sanitation and health become therefore themselves marginalised. The Programme must find an appropriate balance between water, sanitation and environmental hygiene education. Again, we have noted an on-going movement in the right direction also in this respect. By building on the integrated software strategy available to the Programme, this movement could gain momentum.

One reason for this marginalisation is that the UNICEF staff focuses on priorities other than health and is not committed to integration of health with the other components.

Of particular concern to this evaluation is the significant gap that continues to exist between the variety of software inputs — related to hygiene education, empowerment and gender — that have been initiated and promoted by the Subregional Component, and the seemingly very slow rate of improvement in the quality of the programme implementation at country level. For whatever reasons the Programme has not been effective in creating the necessary synergy and in transferring the locus of the programme to field levels.

*The Team recommends that UNICEF change its staffing policy for the Programme with the aim of having more balanced resources in terms of the different Programme components.*

### 5.7.4 COST RECOVERY: ALSO A MATTER OF SECTOR REFORM

Cost recovery of investment is limited to peri-urban projects. The idea is to recover hundred percent of the investment cost (nominal), thus the projects are still subsidised. In UNICEF's rural projects there are little expectations to recover costs from the investment phase. However, the community contribution in the form of non-cash, i.e. labour and local material has proven to be substantial in certain types of projects (cf. section 4.7). The Programme lacks a clear policy for cost recovery that can be applied to all Country Programmes, i.e. when, how and why apply cost recovery.

The willingness to pay for a better level of service (home connection instead of public hand pump) needs to be studied.

*The Team recommends that UNICEF for the next programming phase develop a strictly applied policy for cost recovery.*

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### 5.7.5 THE IMPACT DEFICIT

The UNICEF funds in the Programme are very small in relation to the sector investments and needs in the region, but have still played an important role (the "catalytic" role of UNICEF).

However, the findings discussed in this section lead the Evaluation Team to conclude that the development impact of the Programme does not match the potential provided by the range of quality resources at its disposal.

*The Team recommends that strategic and catalytic means of using the limited funds are sought for maximum impact. This implies that UNICEF should strive to get to know the sector even better by participatory means and by creating a large constituency.*

### 5.8 Possible future Swedish support

The Evaluation Team recommends future support to a Programme covering all the countries. One implication of this is that the Team has assessed possible options for alternative channels and opted for continued support through UNICEF.

Another implication is that Sweden must analyse the proposal from UNICEF before deciding on future support. This Team of course recommends Sida to support a future Programme on condition that the recommendations from this evaluation are followed.

It is not the task of the Evaluation Team, however, once we have recommended future support to the Programme, to design the Swedish support to the Programme.

We recommend Sida not to repeat the mistake of the last phase when a study team's strong recommendations on the future support were not met before the support was given.

Further, but beyond the scope of this study we recommend Sida to insist on time limits for support to components of the Programme and to condition disbursements by benchmarks of progress.

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## 6 LESSONS LEARNED

The dialogue between the Team and the actors involved at different levels in the Programme was the starting-point of the evaluation of the UNICEF WES Programme in Central America. The evaluation process, involving the Evaluation Team, UNICEF staff and their counterparts, as well as community members, has brought about shared experience that is of great value for future work. This final section presents lessons learned by the Evaluation Team as well as lessons learned expressed during the Evaluation Workshop in Antigua, Guatemala.

UNICEF has adopted a "catalytic role" which aims at mobilising resources and promoting appropriate low-cost technology. Needs are analysed and missing elements are provided, enabling other stakeholders to join forces for the extension of coverage. With careful planning in collaboration with the various partners, the risk of becoming a "fire fighter" can be eluded. External support agencies should avoid becoming doers rather than promoters.

The UNICEF's intervention model of "catalytic inputs" has brought about immediate results. After five years, however, and after the establishment of a Subregional Component, the time has come for more remote action, with focus on capacity building and an analytical rather than an operational bias. UNICEF's current staffing structure is inadequate to address this development. To address the strategic options for the near future, enhanced skills in the social, economic and sanitary fields are required. Water supply and sanitation, however, remain engineering fields and the challenge is not to remove engineers, but to add "social engineers" with the capability and the motivation to collaborate with others for sustainable development.

The involvement of the beneficiaries of the project is not only a way of lowering costs, but the foremost important means to achieve sustainability. The Programme has developed a costing system where the direct costs of a project is included as well as the indirect costs of technical assistance and administration. Experience shows that the community's contribution is substantial in projects where unqualified labour and local material make up large parts of the total project cost. Making the costs and the relative size of each agent's contribution visible has increased the counterparts' consciousness concerning costs.

There are few expectations on recovering the total costs of projects, at least in the rural areas, where the population's participation in the monetary economy is limited. With the existing approach to cost recovery, with no financial contribution for the investment from rural communities and just partial recovery of costs for investments in peri-urban projects, the insight of the willingness to pay for services is sufficient. If UNICEF wishes to change its policy on cost recovery, it would be of importance to better use indications of the willingness to pay. Experience of communities willing to pay the additional difference for a higher level of service (home connection instead of public hand pumps) points at the importance of adopting a demand-driven approach.

The only way to guarantee acceptance and usage is to promote technologies that responds to the community's wishes, needs and possibilities. This shows once again the very important methodological lessons learned: communities are protagonists when it comes to solutions of their problems; and community participation ought to be the foundation of any project from the very beginning. Social mobilisation and empowerment can best be

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achieved through the active participation of the beneficiaries.

With a growing urban population, the peri-urban communities will certainly require attention and support in the future. As UNICEF traditionally has seen the rural poor as its target group, the urban components will have a more pioneering role. The urban situation differs from the rural in many aspects: the socio-cultural structure, the economic potential, the available technologies, the administrative arrangements, and the political situation. For UNICEF this is a challenge that needs to be looked upon in the light of earlier experiences and already acquired capacity.

An additional challenge is the bias for water which is found in the Central American Programme, as in most other WES Programmes. The attitude and learning process of hygiene and health has to take place simultaneously with the construction phase. To be successful the hygiene and health training should not be delegated to a separate unit of the project, but has to be recognised as an integral part of the project. Education does not have an immediate impact, and at times it can be difficult to convince the community of the benefits of the "software" component. Therefore, even more effort and patience have to be put into training and awareness-raising activities of projects.

Experience from the Programme demonstrates that the lack of common techniques puts limits to sector development. A standardisation of technologies would give incentives to start production within the region, reducing the problem of spare parts and delivery delays, which to some extent is counteracted by the fact that a wide variety of technologies is applied.

The recommendations from previous evaluations have been handled differently within the Programme. Recommendations dealing with programme implementation have had an impact, whereas recommendations focusing on administration and management of the Programme have had less influence on UNICEF's work. The dialogue between the donor and the Programme is essential if donors wish to influence the applied design, methods and strategies. Communication ought not be limited to evaluations, but be a continuous process.

It should be kept in mind that influencing a UN organisation like UNICEF is a demanding task: the donor would have to put greater pressure on the organisation before agreeing on financial support. The relationship between SIDA and the UNICEF WES Programme in Central America did not involve sufficient pressure, as the support started without implementation of the recommendations of the SIDA-sponsored pre-review. For Sida, this must be an important lesson for future support to UNICEF programmes in terms of the implementation of the new Sida planning framework.

Finally, Sida should also learn from the experience of the currency devaluation and the reduced support budget of the Programme. This was another occasion when the donor should have re-negotiated finance and objectives — and consequently output targets, etc. — as one package and not let the supported Programme decide its own targets. The devaluation has led Sida to seek co-finance with other donors in critical areas. But a remaining problem with the new budgeting system, whose solution would also include the results of currency changes, is the lack of an interface between result based budgeting and the recipient's planning.



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## 7 RECOMMENDATIONS

This final section presents the sum of recommendations from previous sections.

First of all, the Team made conclusions in terms of the general evaluation criteria and arrived at the following overall recommendations:

- **the Programme should be supported during the next programming phase; and**
- **the support should include all the seven countries and a subregional component.**

The general evaluation criteria conclusions also led to the following recommendations:

- **A gradual priority shift towards peri-urban groups should be considered.**
- **Health and hygiene education, capacity building and empowerment require enhanced attention.**
- **Focus of attention must become the institutional capacity of partners.**
- **An appropriate indicator system for progress monitoring should be developed**

In terms of the assessment of programme planning and programme implementation, the following recommendations are provided:

- **The Team recommends that the new programme phase be based on integrated community-based planning and designed within a planning model like the Logical Framework Approach or similar concepts, whereby a strict management and monitoring system is established for the implementation. An aim should be to link the different parts of the programme in a systematic way so that the unified project document reflects the objectives of each part.**
- **The Team recommends that UNICEF develop a mechanism to make the choice of counterparts strategically. We also recommend that the methods for capacity building in the counterpart institutions be improved.**
- **Horizontal exchanges and opportunities for cross-fertilisation between countries and projects should be more actively promoted.**
- **The centre of the Programme should be moved outward and downwards: an Advisory Board composed of resource persons from the region — but external to UNICEF — should be convened at regular intervals to review progress and work programs.**
- **The Team recommends that UNICEF change its staffing policy for the Programme with the aim of having more balanced resources in**

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terms of the different Programme components.

- The Team recommends that UNICEF for the next programming phase develop a strictly applied policy for cost recovery.
- The Team recommends that strategic and catalytic means of using the limited funds are sought for maximum impact. This implies that UNICEF should strive to get to know the sector even better by participatory means and by creating a large constituency.

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## **ANNEX 1 Terms of Reference**



TERMS OF REFERENCE FOR AN EVALUATION OF UNICEF'S  
PROGRAMME FOR WATER AND SANITATION IN CENTRAL  
AMERICA, BELIZE AND PANAMA

1. BACKGROUND

Sweden, through the Swedish International Development Authority (SIDA), initiated regional development cooperation with Central America in 1987. The aim was to support the emerging peace process in the region as it is defined in the Esquipulas II declaration of August 1987. A central part of the peace process is to carry out programmes/projects to alleviate poverty in the region.

In order to support poverty alleviation SIDA entered into a specific agreement with UNICEF 1987 regarding its regional programme on water and sanitation. The agreement expired in June 1991.

A request was received from UNICEF to support the same programme from 1991-07-01 to 1996-06-30. The request included support to country programmes in each of the seven countries and a sub-regional component for exchange of experiences etc. After an independent evaluation was made of the first agreement, SIDA proposed to the Swedish Government that continued support should be given with SEK 15 million per year for five years, i.e. SEK 75 million in total. The Government accepted this proposal and an agreement was entered into between UNICEF and SIDA late 1991 for the above mentioned time-period. A Mid-Term Review of the programme was carried out in March/April 1993 to follow up certain aspects of the programme.

The Swedish contribution cover approximately 50-60% of the original defined five year programme. UNICEF has tried to involve other donors in the funding of the programme, especially Denmark and Switzerland. In 1993 the Swiss Government agreed to fund the sub-regional component through Swiss Development Cooperation, SDC.

Late 1992 UNICEF requested support to a special programme to improve water and sanitation in the former conflicts areas in El Salvador. The programme was defined for a two year period and the support would be channelled through NGO's established in the area. An agreement was signed at the beginning of 1993 with an amount of SEK 14.8 million. Due to some delay in the initiation of the programme the agreement was prolonged with one year (1995).

During the annual consultations between UNICEF and SIDA in November/December 1993 the parties discussed an extension and reorientation of the Swedish support to programme. At the beginning of 1995 an amendment to the five-year agreement will be signed. The amendment will include an increased budget for all seven countries, totally SEK 28 million for the period January 1, 1995 to December 31, 1996, and a one year extension of the special programme in the former conflicts areas in El Salvador with an amount of SEK 4 million.

In the original five-year agreement a final evaluation of the support was envisaged. This document forms the Terms of Reference for such an evaluation.

## 2. REASON FOR THE EVALUATION

The present agreement on cooperation in the water sector in Central America between Sweden and UNICEF will expire at the end of December 1996. In order to prepare a possible new agreement period from January, 1997 this evaluation will form part of SIDA's consideration.

UNICEF and its national counterparts will, during 1995, start the preparation of new five-year country programmes in the different countries in Central America for the period 1997-2001. The conclusions and recommendations of the evaluation will form part of the input for said preparation.

## 3. OBJECTIVES OF THE EVALUATION

The purpose of the evaluation is to assess the relevance, goal attainment, cost effectiveness, sustainability and lessons learnt as well as to consider alternative or supplementary procedures for channelling possible future Swedish funds to the water sector in Central America.

## 4. SCOPE AND FOCUS OF THE EVALUATION

The Evaluation shall cover the regional programme during the present agreement period (1991-07-01 - 1996-12-31) and the support to the programme in ex-conflict areas in El Salvador since its initiation.

The Evaluation shall concentrate on, but not necessarily be limited to, the following issues;

### a. Assessment of past performance

- Assess the overall progress of the programme.
- Assess the results and possible impact of the programme in relation to the overall objective of the Swedish and Swiss assistance to the region; contribute to the peace process and support the poverty alleviation in the region.
- Assess whether the project results and objectives were achieved as planned. Explain the reasons for their variances and comment on their validity and causes.
- Follow-up on recommendations made in previous studies on choice of technology, health training strategies and maintenance and how these recommendations were handled and utilized by UNICEF.
- Comment on UNICEF's efforts to present the programme as a programme supported by the Swiss and Swedish government.

### b. Assessment of particular aspects of the programme;

#### I. UNICEF's role in the programme

With focus on the probability for long term sustainability of the activities supported by UNICEF assess;

- UNICEF's role and strength in advocating for sector reforms as a prerequisite for sound management of the sector including influencing the national government to giving higher priorities to services to the poorer strata of the population.
- UNICEF's role and strength in influencing policies for water supply and sanitation and water resources management.
- The priority given to local capacity building including the strengthening of national counterpart institutions versus working with the implementation of projects and the implications for long-term sustainability.
- UNICEF's strategy for alliance building with other actors such as the national governments, social investment funds, development banks, regional networks and bilateral donors

## II. Institutional development including capacity building and empowerment at different levels

- Strategies and activities to strengthen the national institutions in their efforts to improve the sector performance both regarding the structure of the sector and the capacity to improve actual services in the countries.
- Community participation; including the development of strategies adapted to different cultural settings and to involve the women in the rural and peri-urban communities as well as the development of gender strategies. Methods and strategies to develop systems for cost recovery and maintenance of facilities based on a community approach. Comment on the need for baseline studies.
- Topping-up; including making a summary of and assess different types of allowances and other benefits paid to government staff within the different projects and a comparison with prevailing policies applied by the government and other donors.
- Government contributions; including the action taken by the different government to give higher priority to poor and under-served groups.

## III. Financial aspects of the programme

- Make a summary of the investment costs and costs for operation and maintenance (when applicable) of different parts of the programme i.e. various types of improved water supplies, latrines, hygiene education, health training etc including community, national government and foreign contributions. The summary should be based on available reports and studies and unit-costs shall be presented when possible.
- Cost recovery; including a description and assessment of different financial systems utilized within the projects to organize and administer the collection and handling of funds to cover future costs; for replacement, operation and maintenance. Study policies for pricing

of water etc including the roles of different actors as well as comment on the potential for consumers to cover not only operation and maintenance costs but also the whole of part of the initial investment cost (based on loans, revolving funds or other appropriate system).

- Comment on the dependence between the implementation of local cost recovery schemes and the need for an overall sector reform for pricing of water.
- Comment on the implications of the relatively unclear situation regarding ownership of land in some countries in the region for the sustainability of cost recovery systems.
- Comment on the probability of sustainability of the programme if funding would be national governments and the communities sole responsibility.

#### IV. Regional focus

- Sub-regional component; including relevance, countries involved, size and system and mechanisms for exchange of information, experience and training and comment on the appropriateness of a sub-regional component in the future and its relative size and content in future.
- Assess to what extent the component has contributed to the improved regional cooperation and exchange of experiences, especially between national institutions responsible for the sector.
- Comment on the methodology used for the implementation of municipal plans and these plans possible importance in increasing the capacity and coverage in the sector.
- Comment on the interchange of experiences between projects in rural and peri- urban areas between and within different countries.

#### c. Organizational aspects including procedures for reporting and follow-up

- Assess UNICEF's
  - o internal systems for planning, monitoring and reporting.
  - o procedures for reporting results and the utilization of indicators of impact and if they are appropriate as an internal management tool as well as for external reporting.
  - o reporting to SIDA especially the reporting of results and their appropriateness as indicators of cost effectiveness.
- Comment on systems for planning, monitoring and reporting for the different country programmes and if it is consistent with each other. Assess if the planning system used by UNICEF is compatible with the Logical Framework Approach used by SIDA and make recommendations on possible need for modifications in UNICEF's planning and monitoring of the programmes.



#### d. Lessons learned

- Summarize the lessons learned in the programmes. Elaborate on the difficulties met, the results achieved, the cooperation between different parties and the steps taken to solve the problems.
- In light of the findings of the evaluation, review and comment on the preparatory documents produced by the UNICEF offices in the region on the programme for water and sanitation sector in Central America for the period 1997-2001.

#### e. Possible future Swedish support to the sector

- Present and comment on the administrative costs of the projects divided into different components such as expatriate personnel, local employees, transports, office facilities, running costs, NGO-overhead, topping-up etc and recovery costs at headquarter level and assess the justification of the volume.
- Assess the appropriateness of continuing to channel possible future support to the sector via UNICEF based on the above analysis taking into consideration the objectives of support to the sector as formulated in the SIDA strategy for water supply and guide-lines on environmental hygiene.
- Identify and recommend other possible procedures to channel all or parts of the Swedish funds to the sector.

### 5. METHODOLOGY

The evaluation shall be carried out based on a gender perspective i.e. analysis made and findings presented shall consider both potential for involvement of men as well as women and the impact and consequences for men and women and their respective roles and responsibilities.

The evaluation shall consider the main objective for the Swedish and support to UNICEF in the water sector; to improve the water supply and environmental hygiene, as defined in the SIDA strategy for water supply and guide-lines on environmental hygiene. The evaluation shall also consider possible environmental consequences of the programme.

The evaluation shall include an analysis of relevant documents produced by the projects, including feasibility studies, plans of operation, monitoring reports and evaluation reports or any other report deemed necessary by the team. A list of general document to be reviewed is enclosed, annex 1.

The evaluation shall be especially focused on the four issues under 4b above.

It is further envisaged that a pre-study with mainly local consultants is carried out prior to the main evaluation. The pre-study should be concentrated on the four issues above and form an input to the main evaluation.

The main study shall include visits to projects in a selected countries, tentatively El Salvador, Guatemala, Honduras and Nicaragua, and

include interviews with representatives of local communities in project areas, representatives of national authorities, NGO's and other actors involved in the water sector in respective country.

## 6. CONDUCT OF THE EVALUATION

The evaluation shall be carried out by a team of consultants (hereinafter called the Consultant) covering relevant technical, economic, sociological and organizational aspects. It is assumed that local consultants are involved in a pre-study to collect field data. The Consultant shall contract and coordinate referred local consultants. The evaluation shall be made in close cooperation with the project personnel and the authorities in the countries visited.

One of the members of the consultant team shall be appointed as a team leader and will be responsible for the planning and reporting process.

The consultant shall present a time-schedule with a proposal on detailed method, people to be met and interviewed, type of information requested etc. The above shall be presented to UNICEF in Guatemala not later than 3 weeks before the commencement of the field visits in the region.

It is estimated that approximately 20 consultant weeks, including time for preparation and reporting, will be required by 2-4 consultants to carry out the evaluation.

## 7. REPORTING

The report is to be the product and responsibility of all the team members, each one contributing certain sections as agreed within the team and in addition, offering professional views on all sections of the plan.

The team leader shall be responsible for the planning and co-ordination of the mission, the distribution of work and responsibilities among the team members and the finalization and presentation of the report to SIDA.

Draft written conclusions shall be presented to and discussed with personnel responsible within UNICEF and representatives from the Swedish Embassy in Guatemala prior to departure from the region.

The Consultant shall present seven copies of the Draft Report in English to SIDA and SDC not later than two weeks after finalizing the field-visits.

The Consultant shall present a Final Report in English in ten copies to SIDA and SDC not later than two weeks after receiving SIDA's comments on the Draft Report.

The Consultant shall, on request, be prepared to translate the reports to the Spanish language. In all cases an abstract of the report shall be presented in the Spanish language.

The reports shall follow SIDA's standardized format (Annex 2).

## 8. TIME-SCHEDULE

The evaluation is planned to be carried out during August 1995.

### Annexes:

1. List of general documents
2. SIDA evaluation reports - a standardized format



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## ANNEX 2 Itinerary and list of people met

### SIDA

During the preparatory work for the field mission discussions were held at SIDA, Stockholm with Ingvar Andersson, then Head of the Water Section, Division of Infrastructure and Bengt Johansson, Senior Programme Officer at the Water Section.

During the first week of the field mission the Team also met with Göran Holmqvist, First Secretary at the Swedish Embassy in Guatemala.

### UNICEF Guatemala Area Office

The field mission started at UNICEF Guatemala Area Office, where also the last two weeks of the field mission were spent. Two days of the last week were allocated to a Regional Workshop in Antigua with participants from all countries. At the Guatemala Area Office, the Team had frequent contacts with the following staff and several others:

Paolo Basurto, Area Representative  
Orlando Lugo, Programme co-ordinator  
Stephanie Luttmann, Operations officer  
Hans D. Spruijt, Project Officer, Central American Water and Sanitation Programme  
Nathalie Vesco, Programme Assistant  
Joram Gil Laroj, Consultant  
Leticia Velazquez, Consultant  
Edith Marull, Consultant

### BELIZE

#### Wednesday 26/7

##### *Meeting with:*

Lorraine Thompson, Programme Officer  
Health/Water and sanitation

##### *Meeting with:*

Arend Van de Kerk, Country Engineer, Pan-American Health Organisation, PAHO

#### Thursday 27/7

*Meeting with Rural Water Supply and Sanitation Programme, RWSSP:*  
Roland Rivers, Programme Manager

**Friday 28/7** (Accompanied by Lorraine Thompson)

##### *Field Visit to Santa Elena, Toledo District :*

(water and sanitation project)  
Valerie Ariola, Public Health Inspector, Toledo district

Carmen Chávez, Peace Corps Volunteer, Toledo district

Basilio Choc, Village Chairman, San Elena village, Toledo district

Community members

##### *Field Visit to Crique Jute, Toledo District:*

(water and sanitation project)

Cherry May Avilec, Toledo District Health Promoter

People met in the Villlage Health Committee(VHC):

Tomas Tzac, Chairman of VHC

Eraristo Cho, Secretary

Pofilio Cho, member of the Village Council

Teresa Bol, Treasury

Irene Tzac, member of the Village Council

Patricia Alcalha, Village President

Community members

##### *Meeting with:*

Mr Skeen, Coordinator in Toledo District, Rural Water Supply and Sanitation Programme, RWSSP

#### Monday 31/7

##### *Meeting with Health Education and Community Participation Bureau (HECOPAB):*

Anthony Nicasio, Director

##### *Meeting with Water and Sewage Authority (WASA):*

Winston Michael, Chief Executive Officer

Glenn Sigery, Financial Controller

##### *Meeting with Public Health Bureau:*

Sylburn Arthurs, Principle Public Health Inspector

#### Tuesday 1/8

Debriefing with Lorraine Thompson, Programme Officer Health/Water and Sanitation

### COSTA RICA

#### Monday 7/8

##### *Meeting with UNICEF:*

Mrs. Rhea Saab, UNICEF Country Programme Officer

Rodolfo Osorio, Programme Coordinator (Sociologist)

Fernando Carrera, in charge of planning for the next period (Sociologist)

Carmen Rodríguez, Programme Officer, Water and Sanitation (Economist)

Raúl Sánchez, former Programme Officer, Water and Sanitation (Pediatrician)

Mauricio González, in charge of Education Component in Talamanca

##### *Field visit to Talamanca, Southern indigenous communities:*

Ramiro Herrera, in charge of the indigenous education population, Ministry of Education

Ing. Leslie Mora, Head of the Department of Sani-

tation, Ministry of Health  
Arthur Bennet, Sanitary technician, Department of Sanitation, Ministry of Health  
Dr. Rodrigo Sumbado, Head of the District of Talamanca  
T.S. Rosa Díaz, Social Worker and Adult Educator, Health District of Talamanca

## **Tuesday 8/8**

*Field visit to Olivia - Community and Primary School:*  
Water Committee

*Field visit to La Comadre:*  
Mrs. Indra, Leader  
Water Committee

*Field visit to San Rafael de Bordon:*  
Roberto Salinas, leader  
Isabel Alfaro, leader  
Water Committee

## **Wednesday 9/8**

Rommel Calvo, Director of, Comité Coordinado Regional de Instituciones de Agua Potable y Saneamiento de Centro América, CAPRE

*Field visit to the Tugurio (Fabela), "Healthy School Programme":*  
Sonia Rodríguez  
Dra. Rosanna García, Director of Health, Ministry of Health

## **Thursday 10/8**

Dr. Darner Mora, Director of Quality Control Division in Tres Ríos County, Instituto Costarricense de Acueductos y Alcantarillados, ICAA  
Dr. William Brenes, Coordinator of Programme Development, National University  
Klaus J. Kresse, Coordinator of the Central America region, Cooperación Técnica Alumna, GTZ

## **EL SALVADOR**

### **Thursday 20/7**

*Meeting with UNICEF:*  
Jean Gough, Programme Officer, Water and Sanitation  
Dr. Fernando Lazcano, Project Officer, Acting Representative  
Marina Morales, UNICEF Consultant (Sociologist)  
Rigoberto Cruz Monje, UNICEF Consultant (Engineer)

*Meeting with Concertación de Salud:*  
Dr. Luis Boigues, Socorro Luterano and Coordinator of Concertación de Salud  
Rolando Carrillo, Project Supervisor, Socorro Luterano  
Maria Elena Alvarado, Regional Coordinator, CPAS  
Hector Hernandez, Coordinator, CODECOSTA

Elena de Hurtado, FUNSALPRODESE  
Jorge Olivares, in charge of Water and Sanitation, FUNSALPRODESE  
Dr. Miguel Orellana, Director, ASPS

*Meeting with PRO-VIDA:*  
Danilo Ramirez, Director, PRO-VIDA  
Dr. Veronica Villalta, Coordinator for UNICEF activities, PRO-VIDA  
Dr. Tomas Chavez, Regional Coordinator, PRO-VIDA

### **Friday 21/7 (accompanied by Jean Gough)**

*Meeting with Ministry of Health:*  
Patricia Rodezno de Segurado, Director, Department of Environmental Sanitation, MSPAS  
Herbert Aparicio, Central Sanitation Inspector, MSPAS  
Gonzales Hidalgo, Director, Basic Sanitation Programme, MSPAS  
Luis Alberto Guerrero, Project Coordinator, MSPAS

*Field visit to Obrajuelo Lempa, Department of San Vicente:*  
(water and sanitation project)  
Patricia Rodezno de Segurado, Director, MSPAS  
Luis Alberto Guerrero, Project Coordinator, MSPAS  
Gonzales Hidalgo, Director, Basic Sanitation Programme, MSPAS  
Joaquin Cornejo, PLANSABAR (Region paracentral)  
Dheming, PLANSABAR (Region paracentral)  
John McPhail, Peace Corps Volunteer  
Water Committee  
Visitadoras (CVF Comité de Visita Familiar)  
Community members

### **Saturday 22/7 (accompanied by Jean Gough)**

*Field visit to Ciudad Romero, Department of Usulután:*  
(sanitation project)  
Maria Elena Alvarado, Coordinator, CPAS  
Sanitation Promoter, CPAS  
Hygiene Education Coordinator, CPAS  
Community President  
Visitadoras (CVF Comité de Visita Familiar)  
Community members

*Field visit to Health Clinic in Zanmorán:*  
Hector Hernandez, Coordinator, CODECOSTA  
Sanitation Promoter  
Visitadoras (CVF Comité de Visita Familiar) from different communities

*Field visit to Valle Seco, Department of Usulután:*  
(water project including three communities; Valle Seco, El Planon Colonia and El Escondido)  
Luis Boigues, Coordinator, Socorro Luterano  
Community Board, representing all three different communities  
Community members

Community members from Valle Seco, El Planon  
Colonia and El Escondido  
Treasury, community La Ringlera  
Board member, community La Ringlera

**Sunday 23/7** (accompanied by Jean Gough)

*Field visit to La Chacarra, Department of San Miguel:*

(water and sanitation project)

Omar Quintanilla, Infrastructure, FUNSAL-PRODESE

Margarita Lopez, Health and Sanitation Education, FUNSALPRODESE

Hermano Sorto, Project Supervisor

Dr. Luis Boigues, Socorro Luterano

Atilio, Community Secretary

Water Committee

Visitadoras

Community members

**Monday 24/7** (accompanied by Jean Gough)

*Field visit to San Carlos II, Department of La Paz:*

Dr. Tomas Ramirez, Regional Coordinator, PROVIDA

Lindor Arevalo, Secretary of the Community Development Board

Reina Isabel Reyes, Community Health Promoter

María Ofelia Chicas, Community Health Promoter

Anival Campos, Community President

Visitadoras

*Field visit to Hato de Reyes, Department of La Paz:*

Santiago de Jesus Rodriguez, Community health promoter

Angel Saravia, Community Health Promoter

Visitadoras

*Workshop on exchange of experiences on hygiene education with gender perspectives:*

attended by ASPS, CARE, CPAS, CODECOSTA, FIS, FUNSALPRODESE, FUSAL, Ministerio de Salud Publica, PIC, PRO-VIDA and Socorro Luterano.

**Tuesday 25/7**

*Meeting with FIS:*

Carlos Mauricio Duque, Promotion and Evaluation, FIS

Alfonso Salazar Galeano, Project Coordinator, FIS

*Debriefing at UNICEF:*

Jean Gough, Programme Officer, Water and Sanitation

Dr. Fernando Lazcano, Project Officer, Acting Representative

## GUATEMALA

**Wednesday 26/7**

*Meeting with UNICEF:*

Jorge Mario Molina, Programme Officer, Water and Sanitation

*Meeting at the Water Resources Secretariat:*

Julio Mario de la Riva Lafargue, Secretary

Alfredo Vidal, Director del Uso Sectorial del Agua, Member of the Technical Committee of Agua Fuente de Paz

Marco Tullio Guzman Oballe, FONAPAZ, Director of the Supervision Unit, Member of the Technical Committee of Agua Fuente de Paz

Estuardo Velasquez Vasquez, Head, Supervision, Monitoring and Evaluation Unit of Agua Fuente de Paz

*Meeting at Empresa Municipal de Agua de la Ciudad Guatemala, EMPAGUA:*

Carlo Francisco Querada Vega, Manager

Marco Caranza, Unidad de atención para las áreas precarias

Lair Espinosa, Programme Officer, Urban Basic Services Programme (UNICEF)

*Meeting at Unidad Ejecutora del Programa de Acueductos Rurales, UNEPAR:*

Jorge Lau Ramos, Programme Manager

Miguel António Guardado G, Deputy Director General

*Meeting at the Environmental Sanitation Division, DSM (Ministry of Health):*

Guillermo Garcia, Director, DSM

**Thursday 27/7** (accompanied by Jorge Mario Molina)

*Field visit to Alta Verapaz:*

Guillermo Duarte, UNICEF Consultant for Sanitation

Fredy Góngora, Sanitation Technician, UNEPAR-UNICEF

Oscar Leal, Water and Sanitation Technician, UNEPAR-UNICEF, Alta Verapaz

Juan José Balsello, Mayor of Tucuru

Luis Alvarado, Head of the Tucuru Health District, MoH

José Moran, Environmental Health Inspector, Tucuru

Jesus Francisco Vasquez, Rural Sanitation Technician, Panzos

Elmer Garcia, Environmental Health Inspector, Panzos

Community members of Tuxilá Sacsuxá

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**Friday 28/7***Field visit to Alta and Baja Verapaz:*

José António Caal, Environmental Health Inspector, Senahu  
José Victor Caal Pop, Rural Sanitation Technician, Senahu  
Américo López, Head of the Baja Verapaz Health Area, Salama  
Cesar Reyes, Head of Environmental Health Supervisors, MoH, Salama  
Rosita Alfaro, Assistant for the Social Component of Agua Fuente de Paz, Salama  
Community members of San Juan

**Monday 31/7***Meeting at UNICEF:*

Jorge Mario Molina, Programme Officer, Water and Sanitation (UNICEF)

**Tuesday 1/8** (accompanied by Lair Espinosa)*Meeting at the El Esfuerzo Community, El Mezquital:*

Doris de Conde, President, Cooperativa Integral de Vivienda Esfuerzo y Esperanza, COIVIEES  
Members of the Cooperative Committee, COIVIEES

*Meeting at UNICEF:*

Lair Espinosa, Project Officer (Urban Basic Services Programme)  
Fernando Garcia, Director, Direccion de Asentamientos Humanos y Vivienda, DAHVI  
Gustavo Adolfo Martinez, Finance and Administration Coordinator, DAHVI  
Marco Caranza, Unidade de Atención para las Areas Precárias, EMPAGUA  
Arlette de Garcia, Médecins sans Frontière, Francia  
Benjamin Vasquez, Director, Asociación para la Atención de Población en Riesgo, APRI  
Emilio Quevedo, COINAP  
Vitória Salazar, Representante del Programa Integrado de Salud, REPROINSA  
Elvira Sanchez, Coordinator, Instituto para la Superacion de la Miseria Urbana, ISMU

**HONDURAS****Thursday 20/7***Meeting at UNICEF:*

Bernado Cameratti, Representative  
Luis Eveline, Programme Officer, Water and Sanitation  
Juana Vasquez, Programme Coordinator

*Meeting at Red Regional de Agua y Saneamiento para Centro América, RRAS-CA:*

Antony Brand, Coordinator

**Friday 21/7***Meeting at Unidad Ejecutora de Barrios en Desarrollo, UEBD:*

Pedro Ortiz, Director  
Santos A. Hernandez, Counsellor, Rotating funds  
Brenda Martinez, Social Worker  
Geraldina Romero, Social Worker  
Argentina Martinez, Social Worker  
Andrea Diaz Garcia, Social Worker  
Edith Martinez, Lic. in Pedagogy  
Jorge Avila, Construction Engineer  
Rigo Morales, Construction Engineer

*Meeting at Agua Para Todos:*

Eduardo Facusse, President in the Executive Committee  
Mario Canaca, Coordinator

*Meeting at FHIS:*

Hilda Caldera, Coordinator of Social Participation  
Kiko Schlesinger, Engineer

**Saturday 22/7***Field visit to Barrios en Desarrollo, (UEBD):*

Community leaders  
Water committee

**Monday 24/7***Meeting at Division Municipal de Aguas de San Pedro Sula, DIMA:*

Roberto Ovido, Financial Manager

*Meeting at Agua Para Todos:*

Mario Canaca, Coordinator

*Meeting at Unidad Ejecutora de Barrios en Desarrollo, UEBD:*

Pedro Ortiz, Director

*Meeting at Cooperative Housing Foundation, CHF:*

Teresa A. Kilbane, Manger in Honduras  
Herta Neves, Programme Coordinator

**NICARAGUA****Wednesday 26/7***Meeting at UNICEF:*

Rafael Diaz, Programme Officer, Water and Sanitation  
Rosela Moreli, Project Officer  
Cipriano Sequeria, Consultant

*Meeting at Instituto Nicaraguense de Acueductos y Alcantarilladis, INAA:*

Gregorio Herrero, General Secretary  
Carmen Pong, Director, Dirección Acueductos Rurales, DAR (central level)



Flor Maria Blandino, in charge of monitoring and evaluation of investment programmes

*Meeting at Ayuda Obrera Suiza, AOS:*  
Carmen Ayon, Representative in Nicaragua

*Meeting at Comision Internacional de Apoyo y Verificación de la Organización de Estados Americanos, CIAV - OEA:*  
Alejandro Ortega, Health Director

*Meeting at Instituto Nicaraguense de Fomento Municipal, INIFOM:*  
Adelina Sequeria, in charge of education  
Carlos Zelaya

#### **Thursday 27/7**

*Meeting at Cooperacion Americana de Remesas al Exterior, CARE:*  
Jean-Bernard Lindor, Project Manager, Director of the regional office in Matagalpa

*Meeting at Accion Medica Cristiana, AMC:*  
Nathlia Berrios, Health Educator

*Meeting at INAA:*  
Mario Mayorga, in charge of the social sector  
Oscar Tablada, Planning

#### **Friday 28/7**

*Meeting with the Board of Directors for Rural Aquaducts, DAR in Matagalpa, Region VI:*  
Francisco Baltodano, Director, DAR  
Mario Cajina, in charge of INAA-UNICEF  
Ramon Ivan Lira, in charge of the unit for operation and maintenance  
Orlando Escoria, in charge of supervision and promotion  
Enrique Lopez, in charge of training

*Field visit in Region VI:*  
Community leaders  
Water committee

#### **Saturday 29/7**

*Meeting with the Board of Directors for Rural Aquaducts, DAR in Esteli, Region I:*  
Agenor Udiel, Director, DAR  
Francisco Ruiz, in charge of promotion and education  
Oscar Chavarria, in charge of the technical department  
Jaime Sequeira, Hydrologist  
Eli Escoria, in charge of the sub-headquarters, Somoto  
Ramon Diaz, Social Promoter, sub-headquarters, Somoto

*Field visit in region I:*  
Community leaders  
Water committee

#### **Monday 31/7**

*Meeting with the Swedish Embassy:*  
Anders Hagwall, Counselor

*Meeting with SDC/COSUDE:*  
Marco Rossi, Coordinator for Central American

#### **PANAMA**

#### **Thursday 20/7**

*Meeting with UNICEF:*  
Bernt Aasen, Delegate Representative, UNICEF  
Miguel Cuellar, Country Programme Officer

*Meeting with TECHO Foundation:*  
David Samudio Jr, President, TECHO Foundation  
Gioconda Palacios, in charge of community participation and health education, San Miguelito

#### **Friday 21/7**

*Meeting with Ministry of Health:*  
Dario Delgado, Deputy Director of Environmental Health  
Emma C. de Crovari, Head of the Social Communications Unit  
Vicente Gonzalez, Head of the Water Resources Division

#### **Saturday 22/7**

*Field visit to San Miguelito District Sanitation Project:*  
Community leaders  
Children groups in Vila Milagres, El Esfuerzo, Sinai, and Samaria  
Max Ulloa, UNICEF consultant for fibreglass latrine manufacture

#### **Monday 24/7**

*Field visit to Chiriqui Rural Water and Sanitation Project:*  
Jauanita de Guerra, Regional Coordinator for health education, MINSA  
Luis Ceballos, Medical Director, Eastern Area, Chiriqui, MINSA  
Samuel Gonzalez, Environmental Health Inspector  
Guillermo Rivero, Technician  
Edilberto Perez, District Sanitation Inspector  
Franco Rodriguez, Health Promoter, Oma Community  
Water Committee, Oma Community  
Water Committee, Juli Community  
Alberto Moctezuma, President of the Chiriqui Regional Congress (traditional Guaymi authority)

#### **Tuesday 25/7**

*Meeting with Instituto de Acueductos y Alcantarillados Nacionales, IDAAN:*  
Luis de Leon, Head of the Community Development Department

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*Debriefing at UNICEF:*

Bernt Aasen, Delegate Representative, UNICEF  
Miguel Cuellar, Country Programme Officer

**SUBREGIONAL COMPONENT**

**Monday 7/8**

*Meeting with UNICEF:*

Hans D. Spruijt, Project Officer, Central American  
WATSAN Programme  
Nathalie Vesco, Programme Assistant, UNICEF

**Wednesday 9/8**

*Meeting at COPECAS:*

Hans D. Spruijt, Project Officer, Central American  
WATSAN Programme  
Jorám M. Gil, Civil and Sanitary Engineer,  
UNICEF Consultant  
Edith Marull, Civil Engineer, UNICEF Consultant  
José Araneda, Civil Engineer, UNICEF Consultant  
Gustavo Leal, Manager, Instituto de Fomento Mu-  
nicipal, INFOM  
Walter, DSM

*Meeting with UNICEF:*

Hans D. Spruijt, Project Officer, Central American  
WATSAN Programme

**Thursday 10/8**

*Field visit to Trifinio:*

Jorám M. Gil, Civil and Sanitary Engineer,  
UNICEF Consultant  
Juventino Antonio Morales, Mayor of San Jacinto  
Samuel Monterroso, Head of Chiquimula Health  
Area  
Osvaldo Ramirez, Environmental Health Inspector,  
Chiquimula  
Oscar Humberto Guevara, Mayor of Olopa  
Guillermo Alfaro, Mayor of Agua Blanca

**Friday 11/8**

*Meeting at UNICEF:*

François Münger, Water and Sanitation Officer,  
COSUDE

**Monday 14/8**

*Field visit to Quiché:*

Hans D. Spruijt, Project Officer, Central American  
WATSAN Programme  
Edith Marull, Civil Engineer, UNICEF Consultant  
Ursulo López, Programmer, UNICEF Consultant  
Rogelio Alpires Fuentes, Public Health Supervisor,  
Health Area, Sta Cruz de Quiché  
António Alfonso de Paz Girón, Governor of Quiché  
Department

**Tuesday 15/8**

*Meeting at UNICEF:*

Hans D. Spruijt, Project Officer, Central American  
WATSAN Programme

**Wednesday 16/8**

*Meeting at the Swiss Embassy:*

Markus-Alexander Antoniotti, Councillor

**Thursday 17/8**

*Meeting at UNICEF:*

Leticia Velasquez, Medical Doctor, UNICEF Con-  
sultant

**Saturday 19/8**

*Meeting at UNICEF:*

Per Engebak, Chief, Americas Section, UNICEF  
NYHQ  
Paolo Basurto, Area Representative, UNICEF

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## **ANNEX 3 Documents reviewed**

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## General

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- COSUDE, *Agua Potable y Saneamiento Basico, Lineamientos de COSUDE para América Central*, Oficina de Coordinación, Managua, 1995
- Engberg-Pedersen, P. and Vesth-Hansen K., *Evaluation of UNICEF — Water and Sanitation*, Working Paper, Copenhagen, 1992
- Gubler, D. & Perreten & Milleret SA, *Human Development Profile — Central America*, July 1995
- Lewin E., Medina M., Sevilla M. and Skaiaa O., *Water and Sanitation in Central America — Appraisal of UNICEF's Proposal for 1991-1995*, a study commissioned by SIDA, Stockholm, 1991
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- Medina M., Vargas J., Winblad U., *Water and Sanitation in Central America — Mid-Term Review of UNICEF's Programme*, a study commissioned by SIDA, Stockholm, 1993
- PAHO, *Las Condiciones de Salud en las Américas*, 1994
- SDC, *SDC Sector Policy on Water Supply and Sanitation*, Bern, 1993
- SIDA, *Water Strategy — Water Supply Programmes for Rural Areas: Domestic Water Supply, Health Education, Environmental Hygiene* (2nd edition), Stockholm, 1987
- SIDA, *SIDA Guidelines on Environmental Hygiene*, Stockholm, 1991
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- SIDA, *Decision Memo*, Rela 29/95 (for additional funds to the regional programme and to the ex-conflict areas in El Salvador), April 1995
- UNDP, *Human Development Report 1994*, New York, 1994
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- UNICEF, *First Progress/Utilisation Report for the Government of Sweden — Water, Sanitation and Environmental Education Programme in Central America*, Area Office for Central America, June 1993
- UNICEF, *Annexes — First Progress/Utilisation Report for the Government of Sweden — Water, Sanitation and Environmental Education Programme in Central America*, Area Office for Central America, June 1993
- UNICEF, *Second Progress/Utilization Report for the Government of Sweden — Water, Sanitation and Environmental Education Programme in Central America*, Area Office for Central America, 1994
- UNICEF, *Proposal to the Government of Sweden for Reorientation and Additional Funding for the Water, Sanitation and Environmental Education Programme in the seven Countries of Central America, Period 1995-1996*, Area Office for Central America, January 1995
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- UNICEF, *Third Progress/Utilization Report to the Government of Sweden for Unicef-Assisted Water, Sanitation and Environmental Education Programme*, Area Office for Central America, 1995
- UNICEF, *Annexes — Third Progress /Utilization Report to the Government of Sweden for Unicef-Assisted Water, Sanitation and Environmental Education Programme*, Area Office for Central America, 1995
- UNICEF, *Guía para el análisis de situación de mujeres y niños con respecto a servicios de agua y saneamiento ambiental*, Area Office for Central America, 1995
- UNICEF, *Revised targets to be reached at the end of the cycle 91-96* (draft), Area Office for Central America, May 1995

## Subregional Component

- PARLACEN and UNICEF, *Convenio entre PARLACEN y UNICEF — Plan a Gran Escala de Agua y Saneamiento a Nivel Rural para dar Cobertura Total de Servicio para el Año 2000*, PARLACEN/UNICEF, Guatemala, 1995
- PARLACEN and UNICEF, *Convenio entre PARLACEN y UNICEF — Plan para el Desarrollo Social del Area Trifinio*, Guatemala, 1992
- COSUDE, *Programa Subregional de Agua, Saneamiento y Educacion Ambiental para Centroamérica*, Oficina de Coordinación, Managua, 1995
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UNICEF and the National Committee for Families and Children, *The Right to a Future — A Situation Analysis of Children in Belize*, Belize, April 1995

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Department for Natural Resources and the Environment







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