



Regional Water Sector Programme  
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# Institutional Linkages *in Local-Level IWRM* 2009



Global Water  
Partnership  
Southern Africa

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“..... failure to match responsibilities, authority and capacities for action are all major sources of difficulty with implementing IWRM.”

*Source: Global Water Partnership. Integrated Water Resources Management.  
TAC Background Papers No. 4. 2000. p44*

## 1. INTRODUCTION

As a concept, Integrated Water Resource Management (IWRM) is most often envisaged as being at the basin or catchment level. However, an examination of the roots of the concept would show that the principles are also applicable at village or community level and are particularly useful as an anti-poverty strategy<sup>1</sup>. This study draws on two of the programmes in the Southern African Development Community (SADC) region that have taken up the challenge of demonstrating that IWRM works at community level. Both these programmes undertook demonstration projects that in themselves achieved a number of notable successes in improving the lives of participating communities and have led to guidelines for implementing similar projects.

SADC, through Danida, contracted the Global Water Partnership-Southern Africa (GWP-SA) to carry out an additional assessment of lessons learnt regarding institutional linkages

## 2. PURPOSE

The purpose of this report is to draw lessons from the demonstration projects noted above on how hierarchal institutional linkages influence implementation and improve the prospects for sustainability of community-based IWRM projects. By hierarchal institutional linkages is meant the relationships of the project with all institutions beyond the community level, mostly the higher levels of government, that are role-players and which create the environment for or have a mandate to support such projects.

## 3. THE CASE STUDIES

This section provides key detail on the nature and scope of the cases.

### 3.1. The Lower Manyame Case

The Lower Manyame Sub-catchment in Zimbabwe covers an area of over 26000 square kilometers within which are represented commercial and subsistence agriculture, mining and tourism activities as the principal economic activities. The Lower Manyame Sub-catchment Council (LMSCC) was required in terms of the Zimbabwe Water Act to prepare a Basin Outline Plan. GWP-SA with others assisted in this process and commissioned the evaluation report that

<sup>1</sup> Global Water Partnership. Poverty Reduction and IWRM. TEC Background Paper No 8. 2003

forms the source of material for the purpose of this study. The project was funded to the extent of USD 60 000 by SIDA. The project was completed in December 2004.

## **3.2. The SADC/DANIDA Cases**

The SADC Regional Water Sector Programme: Environmental Assistance to the Southern Africa Region on Integrated Water Resources Management, supported by Danida, commenced in February 2005. The main objective of Component 4 of the Programme is to support fast-track activities, e.g. minor projects that potentially may lead to larger interventions under the Programme. **“The main thrust of the projects was to use IWRM for improving livelihoods by better food security and health and thereby contribute to the attainment of the respective MDGs”<sup>2</sup>**. Project funding varied from USD250 000 to USD 315 000 apiece.

The case studies on community level IWRM that were available for this study are contained in country reports (see Annexure 2), which the reader requiring more detail should consult. Implementation of the projects (largely completed in 2008) and the preparation of the reports were guided by IWMI. All these projects had high levels of community participation and progressed through the phases of project planning, community mobilisation, visioning, designing and construction. Brief descriptions of the cases are:

### **3.2.1. Dzimphutsi Village, Chikwawa District, Malawi**

This IWRM and Rural Livelihoods Project consisted of five components:

- Irrigation scheme development for 10.5ha including water distribution canals;
- Two masonry dams for water conservation;
- Revitalisation of fish farming;
- Hygiene and sanitation interventions including demonstration and construction; and
- Capacity building at community level.

### **3.2.2. Ndonga, Guijá District, Mozambique**

This project was titled “Sustainable Land and Water Utilization Project”. It consisted of the planning and implementation of a cattle reservoir, 250ha of irrigation scheme and 5 boreholes. Ndonga has a population of 4500 in 772 households. At the time of writing this report the project was still under implementation and it was unclear what would finally be built and how many community members would be beneficiaries.

### **3.2.3. Maplotini community, Lavumisa Irrigation Development Project, Swaziland**

The Maplotini project was initiated by the Ministry of Agriculture and Cooperatives as part of a broader initiative of the Swaziland Government to utilise the water of the Lavumisa Project for multiple uses. The Maplotini community consists of an historical core of 72 households to which more were added during the project. On this project the Swaziland government provided counter-funding.

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<sup>2</sup> Carl Bro a/s. Identification and Mobilization of Activities under the Local Grant Authority Facility for Local Initiatives in the Southern African Development Community. Final Technical Report. Danida. 1 February 2006

### 3.2.4. **Katuba, Chibombo District and Mukobela and Mungaila, Namwala District, Zambia**

This project was named “The Integrated Water Resource Management and Food Security Demonstration for the Kafue Basin” and took place in two project sites namely, Katuba and Namwala. It consisted of rehabilitating and creating water infrastructure that would contribute to the availability of water for domestic and productive use in the community.

The project in Mukobela and Mungaila involved the sinking of 11 boreholes and the installation of pumps, the installation of ground water tanks with pumps for irrigation, construction of water troughs for animal watering and the rehabilitation of two dams, three wells and a dambo. Through a selection process, 40 beneficiaries were to benefit “materially” and from training while 60 would benefit from training alone.

The project in Katuba involved the construction of five new wells including installation of pumps, the sinking of two new boreholes and the rehabilitation of 15 wells with associated pumps, eight boreholes, a spring well and four dams.

### 3.2.5. **Omaruru Basin Management, Namibia**

The project consisted of the establishment of the Omaruru Basin Management Committee and two small pilot projects the #Eseb Prosopis Harvesting Project and the Hakahana Women Gardening Project. The Omaruru Basin is 19,625 km<sup>2</sup> in extent with a population of 55,700. The two small pilot projects, which were mainly conceived as capacity building opportunities for committee members, had 16 and 20 beneficiaries respectively.

## 4. **METHODOLOGY**

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The methodology is set out in Annexure 1. In summary, a case-by-case analysis of reported institutional arrangements, challenges and lessons was carried out. Existing reports (listed in Annexure 2) were used and no new field work or verification was carried out.

In the Zimbabwe case the report was written by an independent evaluator. In the Zambian case, which had two project sites, an “Impact Assessment Report” was available. In the other cases the reports were written by project staff. It is a limitation of this study that while the reports note successful arrangements and a few challenges, they do not provide any comprehensive or objective assessment of the effectiveness of the institutional arrangements.

*A “Guidelines for Community-Driven Water Resource Management” and “Lessons Learnt” document based on the SADC/Danida cases has been separately prepared by IWMI.*

## 5. **INSTITUTIONAL ARRANGEMENTS IN THE CASE STUDIES**

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The purpose of this section is to provide sufficient information on the institutional arrangements of the cases to facilitate understanding of the lessons drawn in subsequent paragraphs of this report.

## 5.1. Project Structure

### 5.1.1. Project Initiation

In the SADC/Danida cases, following international cooperation protocol, the modus operandi was for programme officials to approach the national water ministries, describe the programme and its objectives and request the identification of possible sites for demonstration projects. A preliminary assessment was made of identified sites to determine whether they were suitable for the demonstration. IWMI was appointed to provide technical advice and to guide the monitoring and reporting processes. An implementing agent was then appointed for each site, in some cases using the procurement procedures of the national government. The Namibia case differed in that the Ministry had already initiated a statutory process to establish a basin management committee in terms of the National Water Act. The demonstration project interacted firstly with the Stakeholders Forum which was an interim step towards the BMC and secondly with two small pilot projects implemented under the auspices of the Forum.

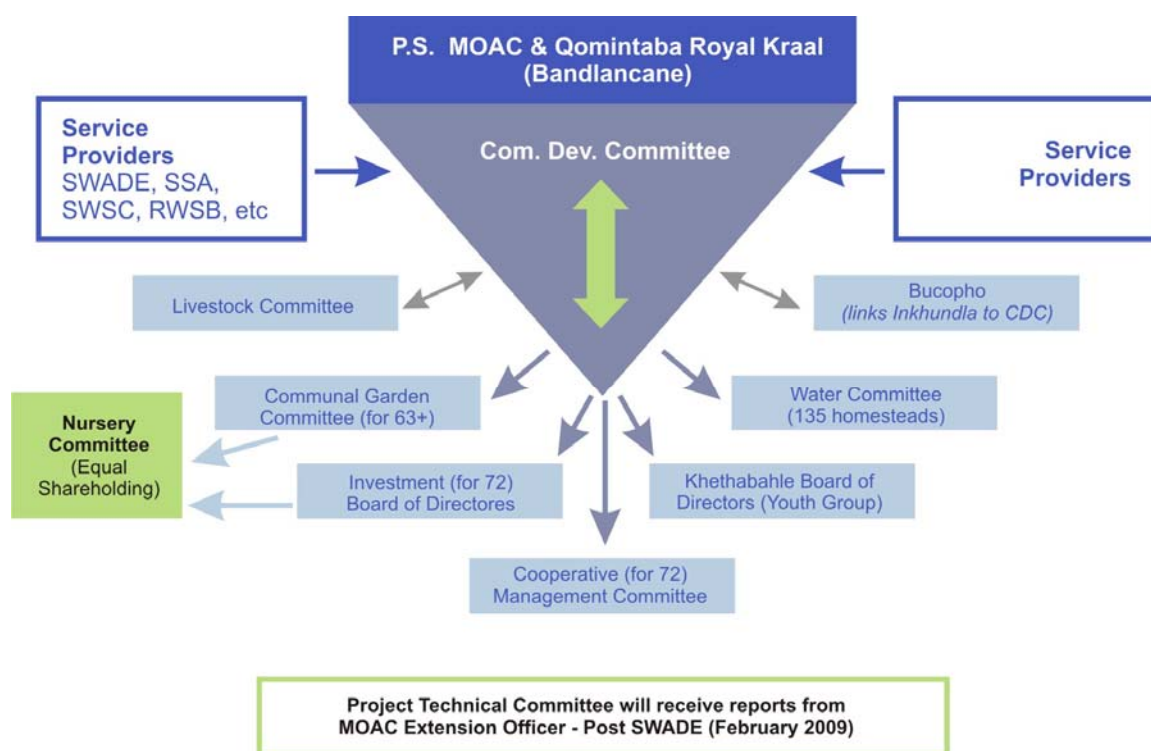
In the Lower Manyame case study, the Sub-catchment Council was statutorily mandated to carry out the task, subject to supervision by the Catchment Council and the National Water Authority. GWP-SA offered to support this function and provided guidance and logistical resources. The Sub-catchment Council established a system of water user boards and water point committees as a channel to reach the community level.

### 5.1.2. Steering Committees

In each case a steering committee was appointed to further guide implementation. The level at which the SC was appointed and its functions varied across the cases as follows:

- **The Dzimphutsi Project in Malawi** was managed by a three-tier committee structure:
  - Four Project management committees (Irrigation Management Committee, Dam /Fish Pond Committee, Health Committee, and Water Point Committee) consisting of community representatives, coordinated all activities at community level;
  - The Project Technical Committee, chaired by the district Department of Water Development and consisting of technical personnel from other district departments and project participants, was responsible for reviewing the project design, work plans, and budgets before making recommendations to the Project Steering Committee; and
  - The Project Steering Committee, chaired by MoIWD and consisting of representatives of all stakeholders from community to national government and the Programme, was responsible for policy and guiding the implementation of the project.
  
- At the **Ndonga project in Mozambique** a Project Steering Committee (Conselho Directivo) was established. It consisted of the Mozambican support agencies plus representatives of the Ndonga community to oversee the implementation of the project and ensure its integration into district planning. A “vertical” Project Steering Committee consisting of representatives of communities, district and provincial government, DNA, AraSul, UDEBA, IUCN, the Program Support Facility and IWMI was also established.

- The **Maplotini component of the Lavumisa Irrigation Development Project in Swaziland** was implemented by the Swaziland Water and Agricultural Development Enterprise (Swade), a parastatal development agency. Swade did this through the already statutorily-established Maplotini Farmer Cooperative, which had an elected management committee structure. In order to link the Maplotini project into national organizations, SWADE created a National Project Steering Committee to guide and oversee the implementation. SWADE senior management and the Maplotini project management were members of the Project Steering Committee which also included the Ministry of Agriculture and Cooperatives (MOAC), the Ministry of Natural Resources and Energy, the Local Member of Parliament, representatives of the Maplotini Farmer Cooperative, the Swaziland Development Finance Corporation (FINCORP) and representatives from the Project Support Facility (donor). These arrangements are depicted in the diagram below (from the Completion Report, May 2009):



- The **Katuba, Mukobela and Mungaila projects in Zambia** were overseen by the National Integrated Water Resource Management Steering Committee, which consists of heads of government departments, the implementing agent and representatives from the Project Support Facility (donor). On the Mungaila project a “field coordination committee” was established. Members were mainly officials from the district government. This committee actively participated in the implementation process of the project, including providing technical and professional inputs, facilitating some of the capacity building programmes and conflict resolution. There was no such committee on the Katuba project. A further arrangement is that each District Commissioner presides over a District Development Coordinating Committee (DDCC) that ensures that development programmes comply with government policies.



- On the **Omaruru River Basin Project in Namibia**, the Stakeholders Forum, which was an interim step towards establishing a basin management committee, consisted of some 80 different stakeholders that attended the forum meetings and workshops. These included municipalities, mining sector, local authority, line ministries, traditional leaders, farming community, conservancies, regional council, village council, water points committees and others. For each of the small **pilot projects** selected by the Forum for committee capacity-building and demonstration purposes, a project committee was elected by the participants to represent them. Towards the end of the project the Omaruru Basin Management Committee (OmBMC) was established. The OmBMC has a constitution and an executive committee. Some 13 local institutions are represented in the OmBMC.
- The **Lower Manyame Project in Zimbabwe** for preparing a catchment outline plan was implemented by the statutorily-established Lower Manyame Sub-catchment Council (LMSCC). An Integrated Technical Review Committee (ITRC) was established to facilitate involvement of a wider range of stakeholders and to provide technical advisory services to the process. The ITRC included government (primarily), research institutions, financial management entities and institutions representing community interests. The LMSCC decided to further institutionalise the project by establishing community-level institutions including water user boards and water point committees.

## 5.2. Statutory Water Planning Institutions

Some of the projects used for demonstration were implemented by institutions established by the legislated framework in the respective countries. This paragraph provides a brief review to enhance understanding of the institutional arrangements.

In **Zimbabwe** the Water Act provides for the establishment of catchment **and sub-council councils** and sets out their powers and functions. Specifically relevant to the Lower Manyame case study is a requirement for the catchment council, or on its delegation, a sub-catchment council, to prepare a catchment outline plan. The Act also prescribes the content and process, inter alia that the catchment outline plan must “have regard to any relevant regional plan prepared in terms of the Regional, Town and Country Planning Act”. Once the Secretary has approved the plan and published it, the plan becomes a statutory instrument and the catchment council must implement the plan to the extent of available resources. Moreover, all state institutions are required by law to be compliant with and take account of the plan in their own activities.

In **Namibia**, the Water Resources Management Act (WRMA) was enacted in 2004 although it has not yet been brought into force. It provides for **water point user associations, local water user associations and basin management committees**. It spells out the powers and functions of each. In the case study, the Omaruru River Basin Stakeholder’s Forum was established with about eighty representatives (national, regional, local authorities, traditional councils, private sector, NGO’s and the project staff). Its task was to prepare for the establishment, in terms of the yet to be promulgated legislation, the Omaruru River Basin Committee (OmBMC) by agreeing a constitution, as well as reviewing implementation plans and schedules, budgets and management structures and identify community-driven pilot projects, all as part of the functions of a future OmBMC. A project steering committee and a project management team were also established. Although the OmBMC could not be formally

established by the Minister because the WRMA has not come into force, the two small pilot projects for committee capacity building and for demonstrating IWRM at community level nevertheless proceeded.

In **Mozambique**, the 1991 Water Law assigns overall national responsibility for water to the *Ministério das Obras Públicas e Habitação* (MOPH), the operational unit being the *Direcção Nacional de Águas* (DNA). At river basin level the administrative unit is one of five *administracoes regionais de aguas* (ARAs). In a relatively centralised administrative setup the water interests of local government are served by representation on the council of the ARA. Although participation is mostly at the consultation level, it is DNA policy that the stakeholders should play a greater role in the ARAs<sup>3</sup>. For rural water supplies, provincial directorates of public works and housing have a lead role, supported by provincial health directorates and other government departments.

In **Swaziland** the Water Act (No7 of 2003) provides for the establishment of a National Water Authority whose functions are essentially the management, planning and development of water resources and the Water Apportionment Board whose function is to issue permits for the use of water (water for “primary use” does not require a permit). The Act further provides for Ministerial establishment of river basin authorities which when operational will assume the powers of the Water Apportionment Board. There are no prescriptions on representation. When all five river basin authorities are established the Board will be dissolved.

In addition, the Act provides for the Minister to establish “Irrigation Districts” the function of which is, within its district, to exercise control over the operation and maintenance of works and the distribution of permitted volumes of water in accordance with permits issued by the Water Apportionment Board. The Act also provides for permit holders, with the approval of the Water Apportionment Board, to form “water user associations”. Neither of these institutions has legislated planning functions. They are subject to the authority of the river basin authority.

In **Malawi**, the Water Resources Board constituted under the Water Resources Act, 1969, regulates the abstraction of water for all purposes. In rural areas, the Government assumes the responsibility for the supply of water to communities and generally constructs borehole and well schemes. It has implemented capacity building strategies which are centred on empowering the communities with organisational skills and technology developments to own, operate, maintain and manage their water supply and sanitation systems<sup>4</sup>. Among its strategic objectives for the sector are:

- *“Ensure that all persons have convenient access to sufficient quantities of water of acceptable quality and the associated water-related public health and sanitation services at any time and within convenient distance; and*
- *Promote the empowerment of user communities to own, manage and invest in water resources development”<sup>5</sup>*

<sup>3</sup> Earle A, Lungu G and Malzbender D. Mapping of Integrity and Accountability in Water Activities and Relevant Capacities in the SADC-Region. Report commissioned by UNDP Water Governance Facility at SIWI, WaterNet and Cap-Net. April 2008. p17

<sup>4</sup> Kampata J. Malawi Water Policy Review. RSAP Projects 9&10SADC Water Sector. June 2003

<sup>5</sup> Official Malawi Government webpage. <http://www.malawi.gov.mw/water/Home%20%20Water.htm>

## 6. KEY ISSUES AND CHALLENGES IN THE CASES

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This section notes the issues and challenges that are recorded in the project reports and which although not necessarily “lessons” in themselves offer some explanation of why the lessons that are described in the next section, emerge from the cases.

### 6.1. Preliminary Notes

The cases differ widely in scope and subject matter. For example the Lower Manyame case in **Zimbabwe** concerned a statutory basin outline plan affecting an area of 26 000km<sup>2</sup> while in **Namibia**, the Hakahana Women Garden Project, a pilot project in the wider Omaruru River Basin project, provided a borehole for the benefit of 16 gardeners.

The cases were specifically selected for the purposes of the demonstration. In the Omaruru River Basin Committee case and the Lower Manyame case the project supported statutory processes that were about to begin. In the remaining cases the project area was specifically selected based on the requirements of the demonstration and based on the opportunity to improve livelihoods through better water resources management. For example, regarding selection, the Zambia reporter states that “*the community in Katuba were engaged in Dambo agriculture, a characteristic likely to work well in the demonstration of IWRM*”. This pre-selection suggests that the generalisation of lessons made be problematical.

Following development protocol, in each case, the national government was approached to identify potential project areas. It was assumed that the planning processes were consistent and that the projects selected were also priorities of the local planning processes. However, at Omaruru, where national government identified the basin, the Stakeholders Forum selected the small pilot projects and the report writer is prompted to make a recommendation that implies that even the Stakeholder Forum was involved at a too detailed level.

The cases are recent so that an assessment of sustainability is premature. In the Omaruru and Lower Manyame cases the fact that the statutory bodies each had an office with staff and were increasingly collecting revenues were taken as positive signs that the institutions were well established. In the Malawi case, a post project impact report was prepared that indicates the projects are well established. The evaluator of Lower Manyame however notes that the LMSCC had not yet been able to collect sufficient revenue to implement infrastructure which is part of the mandate given to it. The question of inadequate revenue sources for long term sustainability is mentioned in most of the other cases.

### 6.2. The Positioning of the Implementing Agency

The positioning of the implementing agency *i.e. the institution charged with organising, managing and generally causing the project to become a reality*, differed in the two programmes. In the Lower Manyame case the LMSCC implemented the preparation of the basin outline plan according to their normal mandate but with close support from GWP-SA seconded staff and other institutions. In the SADC/DANIDA project design, an outside implementing agency *i.e. an institution not normally responsible for development support in the area*, was procured, in some cases via a bidding process. It was the function of this agency to

implement the project rather than the institution that would normally be responsible for providing the service.

The **Mozambique** case is perhaps the one in which local or district government was most directly involved, at least in the initial stages. In this case, the report, while stating that *“local authorities and communities should be in the driving seat”*, goes on to largely describe the functions performed by the implementing agency. The Guijá District Council is reported to have agreed that the demonstration project fitted in with their planning priorities and went on to identify two villages in need of support. Officials of the Guijá District Council, including the District Council Permanent Secretary, participated actively in the planning workshops. Unfortunately, subsequently, a miss-match of expectations occurred about the scope of the project and delays were experienced. This project also presents the anomaly that ARA-SUL, which is the water sector institution responsible for water resource planning in the area, is only mentioned in the report as having been “contacted” by the implementing agency and as having attended meetings.

### 6.3. The Responsibility for Planning – water in the bigger picture

The institutional structure in the countries of the case studies varied considerably and appears to have influenced which planning processes dominated. As discussed above, in **Mozambique’s** case the prominent government institution involved was the district council from the local government “line” of planning, while the water resource planning institution (ARA-SUL), which presumably would be more focussed on IWRM issues, was very much in the background. By contrast in the **Zambia** case the National IWRM Steering Committee took on the steering committee role for the community project. In **Zimbabwe**, a basin outline plan must “have regard to any relevant regional plan prepared in terms of the Regional, Town and Country Planning Act”. In **Malawi**, the national water ministry is responsible for planning and implementing rural water supplies. In the **Swaziland** case, the project was part of a national programme. The parastatal SWADE played a dominant role in the project but in the process seems to have “crowded out” the regional government’s role in development planning.

### 6.4. Financial Management

The financial management of the projects resorted with the implementing agencies. In this aspect the case studies did not test mechanisms for financial management of community level IWRM projects although it was a requirement that communities approved all financial decisions. There were several issues such as the community demanding more control over finances, unwillingness to provide in-kind services and the creation of expectations beyond which the budget could possibly address. However these were of insufficient substance for this report to draw lessons on financial management or financial sustainability.

### 6.5. The Role of Local Government

The international organisation, Local Governments for Sustainability (ICLEI)<sup>6</sup> has investigated the role of local government in IWRM. They find that local government is seldom represented in the institutions that are responsible for the development of the policy, legislation and institutional framework within which IWRM is undertaken. Nevertheless local government is in a

<sup>6</sup> Cox, D. et al. Local Government and Integrated Water Resources Management (IWRM). Part I Reaping the Benefits – How Local Governments Gain from IWRM. ICLEI. 2008

unique position because it is responsible for many mandates that are directly and indirectly related to water resources and water services. The principal of these is the provision of water and sanitation services. A second is planning for local social and economic development. An example of these two roles for a district council is in the **Zambia** case. Irrigated agriculture is often excluded from local government mandates even although there are strong linkages, even competition, with domestic water users.

This difficulty in the role of local governments is also reflected in the case studies. The outside agencies sought the approval and cooperation of the institutions responsible for the water sector. Local government was included as a stakeholder and appears to have played a significant role in most cases but in others very little. When the projects were complete and water supply assets were to be handed over it was unclear which institution should be responsible and local government was belatedly identified as the appropriate institution.

In the **Malawi** case it is reported that local government played an administrative and advisory role on the selection criteria for the beneficiary community but at the same time it is reported that the role of local government in finance (presumably of the project) was not very clear.

In the **Zambia** case, when the project was to be handed over, the community apparently resisted local government's role. Community and traditional leaders preferred to work with national government. This notwithstanding that, in the reporter's view, the community still needed support with management of the water resources and local government was the only potential source of such support.

In the Maplotini case in **Swaziland**, although national and regional government had made development interventions in the past, local planning processes led by the regional government are reported to have played a minor role compared to that of the traditional authorities.

## 6.6. The Exit Strategy

The case studies were required to develop and execute an exit strategy. A formal hand over of the projects was emphasised in the project design. In the **Zambia** case, this was complicated by late-stage uncertainty around who was to own the assets and by implication to operate and maintain them. The **Malawi** case notes that: *"As an exit strategy, the roles and responsibilities of communities, local government and others for 'after-care' were clearly defined"*.

## 6.7. The Value of Demonstration Projects

The value of a demonstration project should lie therein that it shows that the institution normally charged with performing the function can improve its service provision by adopting a particular approach albeit with outside assistance. There is much less value in demonstrating that an empowered implementing agency from outside the normal development support arrangements, can implement the approach albeit with positive results.

The institutional structuring for a pilot or demonstration project is inevitably more complex than that for routinely implementing an approach. However, in the context of replication, not every community project in a country can be guided by a national steering committee as was the case study in Zambia. The institutional capacity is simply not available. The case studies have demonstrated in terms of their objectives that a capacitated institution can come in from the

outside and successfully implement IWRM projects in a manner that improves livelihoods and delivers other tangible benefits to the community. What has not been convincingly shown is that local government itself, or for that matter a community, with its characteristically limited capacity, could implement and maintain the same projects.

## 7. INSTITUTIONAL LESSONS LEARNT

1

The mandate of institutions on all levels of the project planning and implementation framework should be taken up in the community-level IWRM project design or stakeholder analysis.

The case studies show that there were considerable differences in the institutions that may have had an influence on the project. For example in **Malawi**, national government is responsible for irrigation development but at the same time there is a policy of decentralisation. In **Swaziland**, although there are regional government planning processes, traditional leadership played a stronger role in the pilot project. In the **Zambia** case the involvement, roles and responsibilities of different stakeholders were spelt out in the initiation phase (*"This encompassed all players who in one way or another had something to do with the project either by way of institutional mandate and regulatory function or by way of operating in the same area or having control over the target resources"*). However, in one of the Zambia pilot projects, the impact assessor reports that civic leadership was absent from the project while reflecting on the importance of their presence for sustainability. In the Zimbabwe case, the evaluation report attributes the smooth implementation of activities to the fact that the project correctly and clearly defined institutional roles and mandates. It further concludes that institutional collaboration is needed to advance the goals of such projects.

2

IWRM is usually initiated in the water sector but effective management of water supply services mostly depends on the local government sector.

This is the point made in the above reference to the findings of ICLEI. In the **Mozambique** case, ARA-Sul was the water sector institution charged with IWRM but the district council was far more active in project implementation. This has implications for the entry point of project proposers and they need to understand which institution is most likely to influence project success. In the **Zambia** case, the impact assessor suggests that the implementing agent (a contractor) and the donor should return to complete some of the works, which leads this writer to imply that the local capacity to resolve this had not been created during the implementation of the project or that local government had not taken up this role.

3

Any outside initiative (i.e. one that is initiated by an institution that is not part of routine local development support) should support one of the existing programmes or projects of the institution that is responsible for the function.

In the **Swaziland** case the Lavumisa Project was a priority of the Swaziland government. Consequently, SWADE the implementing agency, itself a parastatal, was able to easily mobilise all the support necessary to implement the community IWRM pilot project. In **Zambia**, the

implementing agency requested the community to select participants based on their own criteria but the impact assessor records a view held by some that the local government would have been better placed to make the selections as part of its social work. In the **Malawi** case, the reporter notes community dissatisfaction that the implementing agency was more accountable, in respect of project finances, to national government and to Danida than to local government and the community. In the Malawi case the proposed project was aligned to the Malawi Growth and Development Strategy. This appears to have prompted several government departments at the District Assembly level to participate in project planning and capacity building initiatives in the project village. Local Government also played a vital role in linking service providers and NGOs in the area to the project. Moreover it is anticipated that these institutions will assist with additional project-related initiatives and provide continuing support that will enhance the prospects for sustainability. The **Mozambique** case suggests that where local government takes a leading role in supporting community-driven IWRM, national and provincial government and other agencies can remain in background supporting roles thus devolving responsibility and accountability and conserving institutional capacity. The **Zimbabwe** evaluation report concludes that to avert the feeling that LMSCC was usurping planning responsibilities that were traditionally led by district councils; future projects should identify planning institutions that are already in existence on the ground and ensure that any water resources management issues are aligned to support local development. The evaluation also concluded that institutional collaboration is needed to advance the goals of such projects.

**4**

To ensure replication of community IWRM projects, capacity building initiatives should also focus on the institutions that are responsible for the particular service.

In the **Mozambique** case the district council took a very active role in the project (“learning by doing”) and it was reported as itself planning to use the approaches in other wards. In **Zimbabwe** where the national department was a direct member of the planning team, and the department responsible for implementing the Water Act, it had already taken initiative to repeat the project in another sub-catchment council. The other project countries expressed similar sentiments. The **Swaziland** case suggests that capacity building initiatives should extend to the traditional leadership.

**5**

All institutions in the responsibility chain must fully understand the project objectives, activities and scale.

In the **Zimbabwe** case, the project was clearly a statutory planning process but the evaluator recorded dissatisfaction and disillusionment that the project had not delivered short-term tangible benefits for the communities such as water supply services. In the **Mozambique** case the implementing agency, had planned a project and created expectations far beyond what was possible with the available finances.

**6** In project design, it is important to understand the institutional history of IWRM in a particular community.

In two of the cases, institutional history only emerged well into the implementation process and earlier cognisance may have conserved project resources or influenced project design. During the visioning workshop on the **Swaziland** project, SWADE had found out that in 2005 a similar workshop had been facilitated by the Ministry of Agriculture and Cooperatives. In the **Malawi** case, it was later reported that an earlier similar fish-farming project, supported by an NGO, had failed. The sustainability of earlier projects should be a powerful determinant of the nature of and arrangements for new projects. Unless such history is dealt with in the project, it is likely to repeat past short-comings and create confusion.

**7** The establishment of institutional arrangements in community based IWRM projects usually requires more time than anticipated and progress is often outside the control of implementing agencies.

The project reports in all the cases mention this aspect. In the **Namibia** case it was reported that the time allowed for the institutional arrangements and the extensive community consultation and mobilisation, was short by a factor of two.

**8** Financial management in community based IWRM projects must be in accordance with the rules of the financier, transparent, understood by all participants and finally allow for the maximum devolution of responsibility for financial decision-making while retaining financial control in an institution with adequate financial management capacity.

The financial management of community based projects can become a sensitive issue. In the **Malawi** case, the national government controlled the funds and paid the implementing agent directly through the donor. Dissatisfaction was expressed that the Steering Committee had been left out of the financial arrangements. In the **Zambia** case, the beneficiaries expressed dissatisfaction that the implementing agent had control over the funds. The recommendations from this case call for adequate budgetary provisions for the project management implementation structures. In the **Mozambique** case, the communities planned developments considerably in excess of the budgetary provisions because the budget had not been adequately conveyed to them.

**9** Institutional arrangements in community based IWRM projects inevitably need some form of “after-care” that the institutions that must operate and maintain the project are often unable to deliver.

The sudden end that often characterises the finalisation of externally supported projects is unfortunate as most institutions need an extended period to acquire the capacity to operate and maintain the works. In the **Zambia** case, there was dissatisfaction that some works had not been completed when the project period came to an end and special arrangements had to be made in a consolidation phase. The **Zambia** case also recommends forming alliances with existing projects and programs of a similar nature. As part of the exit strategy in the Malawi



case, the District Assembly committed itself to take up certain roles. The case also notes the need for *“continued training in accountancy and cost-recovery, technical operation and maintenance and repair, spare-parts, leadership, and linking with service providers”*. Finally this case provides the example of the preparation of a Maintenance and Operation Manual to enhance sustainability. In the **Zimbabwe** case, a collaborative approach caused a variety of institutions to make various in-kind and other contributions which, if continued, will contribute to “after care”.

## **8. CONCLUSION**

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The demonstration projects have shown that an IWRM approach at community level can improve livelihoods and deliver tangible results (refer to the project reports).

The projects have also provided a number of practical lessons for institutional design in the “hierarchal” sense. ie what can be done in the institutional arrangements within the hierarchy of governments and support organisations to influence replication and sustainability. Linking institutional role-players in the hierarchal sense optimises the contribution that each can make. A corollary to this is that community-based projects should be anchored in the planning processes at national, basin and district level.

For a project proponent that is required to work within a given institutional framework, the lessons provide guidance on project design and how to avoid some of the potential pitfalls.

At another level the lessons point to possible institutional and policy reforms that will facilitate and enhance the development process. In particular, as is at the core of IWRM, they suggest that institutions that are responsive to multi-sectoral challenges are the one most likely to succeed.

The need for ‘after-care’ arises in part because of factors outside the water sector, such as the wider socio-economic implications. In part stakeholders have also become disillusioned by perceptions of limited impact IWRM projects have made. Lessons show that stakeholder enthusiasm is driven by the impact the IWRM projects will have on livelihoods in the long term. It is also important to ensure that projects are contributing to local development and are left in the custody of local institutions driving development to ensure long-term impacts. Integrating IWRM Projects into development planning processes at local and national level is a key element in ensuring projects are sustained.

The link between the local and national catchment institutions and the international basin level institutions are in general non-existent because the latter have tended to invite the state for reasons of inter-governmental agreements and protocols. Such decisions normally involve the state and national level catchment institutions do not have the mandate to make the decisions on behalf of the state. Basin level institutions however, need to establish direct links with the catchment institutions, so that basin management becomes informed by catchments.

## **ANNEXURE 1**

### **METHODOLOGY**

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#### **Case Studies**

The process was to examine the available reports (see Annexure 2) from the above programmes and to extract key information related to institutional linkages and their consequences. This focussed on external or “hierarchal” linkages as opposed to institutional structuring within the community for the purposes of the project. Institutionalisation at community level is documented in the project reports.

All of the projects report positive outcomes and sustainability indications at project completion (and up to shortly thereafter in some of the cases). However sustainability can really only be established with the passage of time and consequently conclusions in this report must be considered in this context.

As this project neared completion, the completion reports for some of the projects became available. These were scanned for additional material and inconsistencies with the first-obtained material.

#### **Selected Literature**

In order to add some framework, selected literature has been referred to in the analysis. This included a brief review of the legal framework within which water resource planning institutions act in some of the countries.

#### **Scope**

This report confines itself to institutional linkages and digresses only for the purpose of providing context. The country reports, the Guidelines and other documents prepared by the original project fully describe the processes of community mobilisation and participation.

#### **IWRM and Institutions**

The purpose of the case studies was to demonstrate IWRM principles at community level. The role of institutions is a complementary element in the IWRM framework and the purpose of this report is to draw some of the institutional lessons from the case study reports.

## ANNEXURE 2

### LIST OF REPORTS ON WHICH THIS REPORT IS BASED

<b>MALAWI</b>	<b>Title</b>	Malawi Country Report: Dzimphtsi Village, Chikwawa
	<b>Date</b>	February, 2008
	<b>Author</b>	Stalin Shaba, Barbara Van Koppen

<b>MOZAMBIQUE</b>	<b>Title</b>	Community-driven Water Resource Management: Mozambique Country Report
	<b>Date</b>	Draft 4 March 2009
	<b>Author</b>	None provided

<b>NAMIBIA</b>	<b>Title</b>	IWRM in Omaruru Basin: End Project Report
	<b>Date</b>	April 2009
	<b>Author</b>	Namibia Nature Foundation

<b>SWAZILAND</b>	<b>Title</b>	Capacity Building for the Lavumisa Irrigation Development Project
	<b>Date</b>	DRAFT 8 March 2009
	<b>Author</b>	None provided

<b>ZAMBIA</b>	<b>1</b>	<b>Title</b>	IWRM and Food Security Demonstration Project: Project Impact Assessment Report
		<b>Date</b>	December 2008
		<b>Author</b>	Jonathan Chisaka
	<b>2</b>	<b>Title</b>	IWRM and Food Security Demonstration Project: Mukobela and Mungaila Namwala District. Draft Process Report
		<b>Date</b>	Undated
		<b>Author</b>	Jonathan Chisaka
	<b>3</b>	<b>Title</b>	IWRM and Food Security Demonstration Project: Katuba, Chibombo District. Draft Process Report
		<b>Date</b>	Undated
		<b>Author</b>	Jonathan Chisaka

<b>ZIMBABWE</b>	<b>1</b>	Title Date Author	Final Report: Evaluation of Support to Lower Manyame Sub-Catchment IWRM Demonstration Project April 2007 O. Chapeyama
	<b>2</b>	Title Date Author	Unpacking the GWP IWRM ToolBox: The Lower Manyame Sub-Catchment Planning in Zimbabwe and other examples from Southern Africa 2007 J Boroto (Global Water Partnership – Southern Africa)

Additional Reports that were made available late in the process of compiling this report and which were scanned for additional material and any inconsistencies.

SWADE. Capacity Building for Lavumisa Irrigation Development Project: Project Completion Report. April 2009.

Coda and Partners. Malawi Project Completion Report. May 2009.

Nsongela S and Mwasile C. IWRM and Food Security Demonstration Project for the Kafue River Basin. Project Closure Report. WWF. July 2008

