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BRIDGE Project: Building River Dialogue and Governance

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**Internal Review Andean Region Component
(Bolivia – Peru – Ecuador)**

Chris Morger, HELVETAS Swiss Intercooperation, Bern

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Acronyms and Abbreviations

AAA	Autoridad Administrativa del Agua
AECID	Agencia Española de Cooperación Internacional para el Desarrollo
ALA	Administration Local del Agua
ALT	Binational Authonomous Authority of the Lake Titicaca www.alt-perubolivia.org/
ANA	Autoridad Nacional del Agua (Peru) http://www.ana.gob.pe/
CAN	Comunidad Andina http://www.comunidadandina.org/
CDE	Center for Development and Environment, University of Bern, Switzerland
IUCN	International Union for Conservation of Nature
MINAG	Ministerio de Agricultura (Peru) http://www.minag.gob.pe/portal/
MMAYA	Ministerio de Medio Ambiente y Agua http://www.mmaya.gob.bo/
PELT	Proyecto Especial del Lago Titicaca (Peru, equivalent to UOB)
SENAGUA	Secretaría Nacional de Agua (Ecuador) http://www.senagua.gob.ec/
SENAMHI	Servicio Nacional de Metreologia e Hidrologia Bolivia: www.senamhi.gob.bo Peru: http://www.senamhi.gob.pe/
TDPS	Lake Titicaca, Desaruero River, Lake Poopo, Coipasa Salar System
UOB	Unidad Operativa Boliviana (equivalent to PELT)

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Executive Summary

An internal review of the Andean Component of the BRIDGE Project was carried out by Chris Morger from July 4 to 14, 2012. The three basins Titicaca, Catamayo-Chira and Zarumilla and relevant institutions in all three concerned countries were visited.

The three basins are very different in size but also in their history regarding transboundary cooperation. While there is a well established Binational Authority (ALT) in the Lake Titicaca basin and a transboundary basin committee has been established recently in the Zarumilla, there is no formal committee established in the Catamayo-Chira despite six years of support by the Spanish AECID. ALT is presently undergoing a reform process and its role and responsibilities are reviewed by Bolivia and Peru and new statutes are expected by the end of 2012.

IUCN is a respected and trusted institution and is recognised as an experienced and competent partner. It also has developed good relations with all stakeholders including the political level and it has regular contacts with the ministries of the exterior.

The fact that the Peruvian Ministry of Exterior has asked IUCN to organise a training on hydro-diplomacy for its staff is considered an achievement for the Project and IUCN and an opportunity for future cooperation.

At the regional level, IUCN has close links with CAN who has recently published two important documents, the Andean IWRM Strategy and the Environmental Agenda which both address the issues of transboundary cooperation.

The fact that the Presidents of Peru and Ecuador have confirmed the importance of transboundary IWRM plans and support the establishment of transboundary basins in the border region is considered a window of opportunity for the Project.

IUCN has made good progress on promoting data sharing and developing river basin maps although hydro-meteorological data and water balance calculations still face problems of compatibility between the different countries and access to data. A shared water information system is however crucial for meaningful negotiations on the allocation and the management of transboundary water resources.

The trainings and capacity building workshops organised by IUCN prove to be an excellent tool to create contacts – often for the first time - between the national stakeholders and they promote informal and formal links and collaboration between the national counterparts. IUCN also promotes the inclusion of the local stakeholders, the communities and local governments in these workshops, stakeholders that in the past were often excluded from the consultation and decision making process.

It is concluded that the Project implementation is well on track and activities are implemented efficiently and effectively. It is thus recommended to continue the Project in a second Phase focussing on

- continued support for establishing joint water information systems
- continue capacity strengthening and trainings on water governance, transboundary benefit sharing and hydro diplomacy
- take an active wait and see attitude in the Lake Titicaca basin and look for opportunities on how best to support and influence the change process
- look for opportunities in the Peru Ecuador region to possibly upscale the experience in the area
- a thorough analysis of the institutions including their roles, responsibilities but especially influence and power are the basis for setting up transboundary basin commissions
- the establishment of transboundary basin commissions must be problem based and solution oriented

- for all transboundary development and management plans it is crucial to identify the required human and especially the financial resources.

1. Introduction and Background

The "Water Diplomacy in Key Transboundary Hotspots" programme funded by the SDC/WIs has regional components in the Mekong, Central America, the Andean Region (Component 1, implemented by IUCN) and in Eastern Africa (component 2, implemented by CDE). The Programme is currently in its first phase (2011 – 2012) and it has the objective to enhance basin water management in targeted basins through the promotion and implementation of concrete, realistic and consensual innovative methods, tools and approaches at data and negotiation levels.

SDC/WIs has decided to carry out an Internal Review of the Programme with the following objectives:

- Determine if the program is on the right track to achieve its intended objectives and results (the logframes established at the inception of the program is serving as a baseline in this endeavour)
- Assess the level of development efficiency, effectiveness and the sustainability achieved by the program and
- Make recommendations regarding the future continuation of the program.

The review mission of the Andean component was carried out by Chris Morger, Backstopper on Water for Food of the SDC/WIs. It took place from July 4 to 12, 2012 and comprised visits to the three countries involved, Bolivia, Peru and Ecuador. The three basins concerned were visited and interactions with key stakeholders in all three countries took place. The mission was organised by the Regional Office of IUCN in Quito, Ecuador and specifically by the Senior Programme Officer Water and responsible for the implementation of the Andean Component of the BRIDGE Project, Mario Aguirre. He accompanied the Expert throughout the mission. The Terms of Reference of the review and the Agenda for the Visit and people met are provided Annexes 1 and 2 respectively.

The present report concerns the Review of the Andean Region of The BRIDGE Project - *Building River Dialogues and Governance* – which is implemented by IUCN in the frame of the SDC/WIs Programme.

2. Description of the development intervention

The Andean Component of the BRIDGE Project comprises the following three basins:

Basin	Zarumilla	Catamayo Chira	Titicaca
Countries	Ecuador – Peru	Ecuador - Peru	Bolivia – Peru
Catchment Area	1'014 km ²	17'819 km ²	137'452 km ²
Population	70'000	Ecuador: 280'000 Peru: 300'000 to 580'000	about 2.2 mio
Transboundary Commission	established in 2011	under discussion since 1998 Project supported by Spain (AECID) from 2002 - 2008	Binational Autonomous Authority of the Lake Titicaca (ALT) existing since 1993



Outcomes targeted under the Andean component are:

- Information sharing protocols and modalities developed for transboundary river basins to demonstrate trust building and initial hydro-diplomacy processes (Zarumilla, Catamayo-Chira, and Lake Titicaca basins)
- Technical Commissions support development of transboundary Codes-of-Conduct as regional demonstrations of good practice
- Andean Community capacity strengthened through regional dialogue and leadership on water governance reforms including transboundary benefit sharing to improve hydro-diplomacy

The three basins where the BRIDGE Project is implemented in the Andes are all quite different and have different histories of transboundary cooperation.

The Zarumilla river basin is the smallest of the three and a transboundary commission has been established recently in 2011. One of the main purposes for the establishment of the commission was to share the water of the river for irrigation between the water user associations of the two countries. The fact that it is a left hand – right hand basin and the communities of the two countries are at the same hydrographic level – and not upstream and downstream – facilitates cooperation because they have a concrete objective to cooperate, the allocation and sharing of the water for irrigation.

The Catamayo-Chira river basin has a somewhat mixed history. In the Peruvian part there is the Sullana dam which was opened in 1997. It is used for electricity production but also for irrigation of the Peruvian coastal plain. Water tariffs for irrigation are subsidised, we were told that they cover only about 75% of operation and maintenance costs. Much of the agricultural production is

fruits for the export market. Recently big companies (Maple Ethanol S.R.L; Caña Brava) have started to produce sugar cane for bio-fuel production at large scale, again mainly for the export market (7'000 – 10'000 ha farms, drip irrigated and highly mechanised with technical support from Netafilm). There are plans now to increase the crest of the dam to increase storage capacity and that would extend the surface of the lake into the Ecuadorian part of the basin. Issues between the two countries are mainly about pollution and in particular erosion in the upstream part that contributes to sedimentation of the

First intentions to establish a transboundary commission in the Catamayo-Chira basin date back to 1998 and in 2002 the Spanish Agency for International Development Cooperation (AECID) started a transboundary project with the objective of regulation, management and development of the Catamayo-Chira Basin (Proyecto Binacional de Ordenamiento, Manejo y Desarrollo de la Cuenca Catamayo-Chira). The main purpose of the project was to establish a joint management and development plan and to propose a transboundary organisation for the joint implementation of the plan. While the project was successful to develop a joint management and development plan, AECID closed it in 2008 with neither transboundary commission in place nor the financing available for the implementation of the plan.

The Titicaca river basin is the largest basin of the three and it has the longest history. ALT, the Binational Autonomous Authority of the Lake Titicaca, was established in 1993. The ALT covers the subunits Lake Titicaca, Desaguadero River, Lake Poopo and the Coipasa Salar System (TDPS), a highly complex basin system where mainly the upstream Lake Titicaca basin comprises typical transboundary features, the other systems are downstream areas mainly on Bolivian territory with minor influx of water from Peru.

During its history, ALT went through several planning cycles supported by different national and more recently international organisations (i.e EU, UNEP). The Master Plans developed are then mostly implemented by two national units, the Unidad Operativa Boliviana (UOB) and the Proyecto Especial del Lago Titicaca (PELT) its Peruvian counterpart.

Presently the ALT is undergoing a reorientation as both countries are in a process of discussing its future role and responsibilities with the aim to adjust its statutes. This process is expected to be completed by the end of 2012.

One of the main issues in the Lake Titicaca basin is pollution. On the one hand erosion and sedimentation – partly also related to mining (see <http://tinyurl.com/c4p2wgu> – on the other hand pollution from the human settlements and towns which all do not have sewage treatment plants. In particular Puno on the shore of the lake in the Peruvian part with about 90'000 inhabitants and El Alto in Bolivia with about 400'000 inhabitants which drain its untreated sewage also towards the Lake.

Another issue is the rather high fluctuation of the lake water level which results either in flooding of the adjacent farmland or the dropping of the water level to a point that can reduce or even stop any outflow to the downstream areas via the Desaguadero River. Maintaining its level within an acceptable range is thus of importance and dredging of the Desaguadero River outlet and the operation and maintenance of the control gates is thus part of the Master Plan.

2.1. The Institutional Context

The institutional context of all transboundary water management interventions is by nature rather complex. On the one hand it is a highly political process where at the highest level usually the Ministry of Exterior has the lead because it entails negotiating with foreign countries. On the other hand water management is a technical task where the line agencies of the respective ministries are in charge, the Ministry of Agriculture (MINAG) in the case of Peru, the Ministry of Environment and Water (MIMAYA) in Bolivia or the National Water Secretariat (SENAGUA) in Ecuador. Of importance in all three countries is also the support from the very highest level, the Presidents, which can either promote or delay transboundary negotiation, cooperation or agreements. Data

on river water flows, lake water levels or rainfall which are necessary to plan and manage water are usually maintained by the hydro-meteorological services.

In the regional context there is another institutional actor of importance, the Comunidad Andina (CAN) which includes also Colombia in addition to Bolivia, Peru and Ecuador. At the field level, it is the local communities that are involved and directly affected by transboundary water management decisions. These are represented by the local governments which recently have taken a much closer interest in the processes and try to increase their influence in decision making. Especially the presently ongoing reform of ALT seems to be partly induced or at least strongly supported by the local communities who in the past were rarely involved or even consulted in the development of the several Master Plans.

2.2. Project Interventions and Implementation Arrangements

The BRIDGE Project has the objective “to demonstrate water governance reform and use the learning from implementation to enable effective management of water to meet the needs of the poor and of national and regional development”. Given the highly political nature of transboundary water management, the Project concentrates on three crucial aspects: (1) trust building through information sharing (river basin maps, establishment of transboundary water information systems), (2) support technical commissions to develop transboundary codes of conduct and IWRM plans which ultimately will lead to the establishment of transboundary commissions where they do not exist yet and (3) promote regional dialogue through capacity strengthening and involvement of national and regional champions for water governance reform.

The BRIDGE Project in the Andes is implemented via the regional IUCN office in Quito, Ecuador and supported by IUCN headquarter and the IUCN Environmental Law Center. IUCN works with partners in the three countries, particularly the national water and environmental authorities and their local line agencies but also with the local authorities (municipalities inside the transboundary river basins).

3. Findings

The BRIDGE Project is well received in all three countries. IUCN as the implementing agency has a good reputation and its competence and experience in the fields of transboundary water management and water diplomacy is recognised. The general approach to work on trust building through data sharing, provide support to technical commissions and capacity building and promote regional dialogue proves to be pragmatic and useful. Due to the significant differences in the nature of the three basins and the institutional setup there is a need to adapt the approach in each case to the particular situation. It is necessary to analyse and map the institutional setting carefully and to define for each basin what exactly IUCN can contribute to the process.

Regarding the first component, outcome on information sharing, a first product developed by IUCN, the river basin maps, has been published i.e. by MIMAYA in Bolivia and they are used in the planning processes. More difficult is the compilation and the sharing of information from the National Hydro-meteorological Services (SENAMIH). Often the national systems use different systems or processes for data management which are not always easily compatible. In the case of Lake Titicaca, Bolivia and Peru use a different reference point for the elevation and water level records of the two countries need to be adjusted for this difference to make them comparable. Hydro-meteorological information is at times also considered classified or is otherwise not publicly and freely available since the services are asked to act more commercially and create income by selling the respective information (i.e. SENAMIH Peru).

Besides the hydro-meteorological services there are also other institutions - i.e. PELT - that maintain their own network of gauging stations in particular subbasins but there appears to be no systematic effort to integrate these data in the national system. In general, the monitoring network especially for hydrologic data is insufficient and not dense enough to come up with reliable water

balance calculations for subbasins. Nevertheless, IUCN is actively supporting the development and the establishment of shared databases and creating awareness of the importance of a shared comprehensive transboundary water information system as the basis for the transparent planning and allocation of water resources.

Of particular importance with regard to trust building are the joint workshops and capacity building events organised by IUCN in the frame of the Project. Some officials pointed out that these workshops provided them with a first opportunity to get to know each other – across the borders and between the institutions – which in turn facilitates discussions and exchange of information. The workshops frequently provide a first somewhat informal setting and they have the potential to develop into more lasting professional relationships and to build trust between the national counterparts and IUCN also regularly invites the local level and community representatives to these workshops.

Transboundary water management is highly political and progress depends to a great extent on the political willingness and the support of the respective national authorities, mainly the Ministries of the Exterior. IUCN has managed to establish good contacts with these authorities and the meetings held in La Paz as well as in Lima at ministerial level confirm this. There is also a window of opportunity with respect to the political process since the Ministries have requested IUCN to organise training workshops on hydro-diplomacy for their staff at all levels from the center to the provinces.

Another development that favours the promotion of transboundary river basin councils in the case of Peru and Ecuador is a joint declaration of the two Presidents of February 29, 2012 which approved – among other things – the establishment of IWRM plans for all transboundary basins starting with the Zarumilla, Catamayo-Chira and the Puyango-Tumbes basins. The Presidents also highlighted the importance of the establishment of the transboundary commission in the Zarumilla basin. Such support from the highest level opens another realistic window of opportunity to upscale the Zarumilla experience in the region between Peru and Ecuador in a second phase of the Project.

At the regional level, the approach promoted by IUCN in the BRIDGE Project is also reflected in two recent documents that have been published by the CAN in February 2012: the Andean Strategy for Integrated Water Resource Management and the Environmental Agenda for the Andes 2012 - 2016. Both documents highlight activities which are in line or part of the BRIDGE Project such as strengthen knowledge management, information and research; establish a water information system for the Andean region; promote capacity building; strengthen water governance and water management institutions in particular for IWRM at transboundary level. This is considered as a positive sign and evidence that the BRIDGE approach is based on and has support from the national and regional institutions. The CAN IWRM strategy is thus in line with Output 1.3 of the Project, transboundary issues are an integral part of the strategy – and it will definitely boost IUCN's efforts to develop transboundary IWRM plans including codes of conduct as part of Outcome 2.

Working with well established transboundary organisations such as the ALT has advantages but also disadvantages. On the one hand ALT is a well anchored and respected Binational Authority, on the other hand the long history also creates a certain degree of inertia. In the case of ALT, the fact that the two countries are reviewing its role, authority and responsibility to finally adjust its statutes are considered a sign that the achievements of ALT are perceived as unsatisfactory. This likely change of its role and responsibility is an opportunity that change may be possible and a Project such BRIDGE who already has an established relation with ALT will be in a good position to influence its further development. It is thus recommended to follow the process closely and analyse the new statutes for possibilities to support ALT in the change process. Of importance would be to work towards an increased influence of the local communities in the planning and especially the decision making since the perception persists that the past Master Plans were developed and also implemented without such participation.

The other two basins, Zarumilla and Catamayo-Chira are both relatively small and especially the Zarumilla is a good example that transboundary cooperation starts moving when the stakeholders have a vested interest and a common goal such as the allocation of irrigation water to the different countries. The importance of a platform for transboundary discussions, information exchange and negotiations is of crucial importance however small such a platform may be. It is considered important to start with some concrete actions and develop the cooperation from there, problem based but solution oriented. Transboundary cooperation is never a goal per se, it always has to be seen in the context of addressing mutually perceived problems and negotiate solutions.

The past experience of the Catamayo-Chira is not very impressive since even six years of support from AECID did not result in the establishment of a transboundary commission. The reason for this is seen in the focus of establishing a joint management and development plan first. Local line agencies of the concerned ministries are somewhat fixed on such a standard approach, do a detailed analysis, identify problems and develop a comprehensive action plan. While the approach is not wrong as such, chances are high that the process results in over ambitious and costly plans for which the budgets and resources can hardly be found and that the process ends in deadlock. It is thus suggested to concentrate on starting a dialogue first and establish a joint negotiation platform with a focus on a few activities of common interest to create trust.

4. Conclusions and Recommendations

The review mission showed that the project is generally on the right track and has a good record of achieving its intended objectives. It must be realised however, that supporting transboundary water management is a long term process and a two year phase is considered too short a time frame to reach significant and lasting changes. A longer term involvement is thus advisable and also recommended.

Regarding the expected outcomes, good progress has been made on information sharing, creating transparency and building trust. The river basin maps developed by IUCN are a useful planning tool and they serve as a basis for discussions and negotiation. They create clarity on the delimitation of the river basins down to the 5th hydrographic level. The fact that the Bolivian Ministry of Environment and Water has published the maps jointly with CAN and IUCN is taken as a sign that there is national as well as regional ownership of these maps.

In terms of hydro-meteorological data and water balance calculations the situation is a bit more complex. National systems and data sharing protocols are not always easy to integrate in a transboundary water information system and in some countries, i.e. in Peru, data are not easily or freely available from SENAMIH. In addition, there are other actors that collect water flow measurements (i.e. PELT) and an institution mapping exercise is considered necessary to get an overview to get clarity on who collects what and where and how all these data could be made available, verified, calibrated and shared.

A mutually accepted and trusted water information system and water balance calculations and models are the backbone for water allocation and management and is thus crucial for meaningful discussions and negotiations in transboundary basins. It is thus recommended to continue and even intensify efforts to establish such a system. Water information systems should be developed on a pilot basis in the Project river basins but this should be done with a regional view in mind, a regional water information system with CAN as an important actor or even the host of the system.

Promoting a regional IWRM strategy with transboundary issues as an integral part also has made good progress. CAN has published the Andean IWRM Strategy in February 2012 and the promotion and the support for transboundary IWRM is mentioned specifically under Action 6. Another important aspect of the Strategy is knowledge management and the support for national

water information systems and their integration in an Andean water information system (Action 1). This is promising and in support of the recommendation above with regard to the regional water information system. It is thus recommended to continue supporting the developments on IWRM planning in the basins and look for opportunities where the project can specifically contribute with the experience and the capacities of IUCN. The contribution of IUCN should be focused on water governance and the institutional setup as part of the IWRM plans considering particularly the participation of the local stakeholders at the commune level.

The establishment of the Transboundary Basin Committee in the case of the Catamayo-Chira basin is still a challenge for the Project. The history of that basin is not so conducive for the setup of such a commission since the past efforts supported by AECID were not successful and a mindset change of the stakeholders is possibly necessary. They have to somewhat get away from the focus on the established plan and make a new start with a less ambitious goal.

A Transboundary Basin Commission should be set up with a relatively simple and clear objective in mind that is of common interest for both countries and where a likely win-win situation is possible. Such a common interest could form the basis for a negotiation platform to share information and discuss the issues. The Zarumilla Basin Commission could serve as an example for this process but adapting it to the specific conditions in the Catamayo-Chira Basin. The recent endorsement of the establishment of such transboundary commissions by the Presidents of Peru and Ecuador could prove to be a catalyst for the process.

In the Lake Titicaca Basin the presently ongoing reformation process of ALT is seen as an opportunity for the Project. However, ALT being a Binational Authority with a long history and a certain inertia, it is recommended to follow an active wait and see strategy. The new statutes for ALT will be crucial since they are decisive for the role and responsibilities the two countries are assigning to the Authority and the change process it will likely trigger. IUCN will have to analyse carefully what its comparative advantages are to support and influence this change process.

For the support and the setting up of Transboundary Basin Committees a thorough institutional analysis is considered a prerequisite to get an overview of what stakeholders and institutions are present. This analysis has to get past a simple Venn diagram and needs to include an analysis of roles and especially influence and power. The “Net-Map Toolbox for Influence Mapping of Social Networks” is recommended for such an analysis.

(see <http://netmap.wordpress.com/about/> and

http://netmap.files.wordpress.com/2008/04/netmap_brochure.pdf).

Regarding capacity strengthening for water governance reforms and transboundary cooperation, the training courses and workshops organised by IUCN are certainly a strong point of the Project. They are a means to support and influence local leaders and line agency staff and they are also an opportunity for IUCN to identify local leaders and champions that can be instrumental in the countries to influence processes regarding water governance and transboundary cooperation. They are also an excellent tool to create contacts between the counterparts in the neighbouring countries and start an information exchange and dialogue in an informal setting. These first contacts have the potential to lead to improved professional and more formal exchange.

The fact that the Peruvian Ministry of Exterior has asked IUCN to organise a training of its staff on Water Diplomacy is prove that these trainings and capacity buildings are recognised as valuable and useful. The possibility to provide a training on Water Diplomacy to ministerial staff is a unique opportunity to influence the reform process of water governance and transboundary cooperation and to gain the necessary support from the political actors for a transboundary water management approach that is based on collaboration, participation and benefit sharing.

The review thus comes to the conclusion that the Project is well on track. First positive and promising results have been achieved with the relatively few resources available thus efficiently as well as effectively. Regarding the sustainability of the interventions it is too early to come to a meaningful assessment. Establishing institutions and mechanisms for transboundary water

management is a long-term process and the first phase of the Project of two years is considered too short a time frame.

Considering the positive results so far and the opportunities that have developed recently it is recommended to continue the Project for a second phase. The continuation of the Project should focus on

- Consolidating the water information system at a pilot basin scale but with a view on a regional water information system that could be hosted by CAN. It will be important to identify and integrate also data that are monitored by institutions other than the national hydro-meteorological services.
- Capacity strengthening and trainings on water governance, transboundary benefit sharing and hydro diplomacy should be continued. Such training events proved to be highly useful for developing informal and formal technical collaboration and for the identification of local champions to promote water governance reforms.
- In the Lake Titicaca Basin much will depend on the new statutes of the Binational Authority which are presently under review. IUCN will have to analyse the new role and responsibility and identify opportunities how to best support and influence the change process. The focus should be on governance aspects of the organisation itself but also in regard to the transboundary water management. Of importance is the inclusion of local stakeholders such as the basin communities in planning and decision making.
- The endorsement of the Presidents of Peru and Ecuador of establishing transboundary IWRM plans and transboundary commissions in all transboundary basins should be taken as an opportunity to review the possible up-scaling of the Project in that area. It is definitely an opportunity to revitalise the process of establishing a transboundary committee in the Catamayo-Chira basin.
- For any transboundary basin it is recommended to carry out a thorough analysis of the institutional setup including their actual roles, responsibilities, influence and power of each and how they could contribute to a transboundary basin committee.
- The establishment of transboundary basin committees is not an end in itself. It needs to be problem based and solution oriented. The committees need a common goal to start with and the focus has to be set on establishing a negotiation platform first to facilitate interchange of information and data. First activities must be well targeted with a realistic chance of a win-win outcome.

5. Lessons learned

Promoting cooperation in transboundary basins is a long term process that needs to start gradually and any support should thus also have a long term perspective.

Establishment of a transboundary basin commissions is a highly political process and it is absolutely essential that the political actors are firmly behind the process and that there is a political willingness to support it (politics is the art of the possible).

Transboundary cooperation needs to be problem based but solution oriented. Cooperation per se is not an end in itself, it needs a common interest to be meaningful and sustainable.

While management and development plans are essential, they need to be backed up by the necessary human and particularly financial resources or just remain nice plans. Developing an ambitious master plan may even be counterproductive to cooperation if the required resources for implementation are not available.

6. Annexes.

ANNEX 1:

WATER DIPLOMACY IN KEY TRANSBOUNDARY HOT SPOTS

Internal review of the program

Terms of Reference

OPEN

Reference: 2012-03-28/46 (536/2010/1467/03)

1. Purpose of the internal review

The SDC's WIs has three main objectives:

- Influence the global policy dialogue on Integrated Water Resource Management (IWRM).
- Influence at the global level in order to achieve the water and sanitation Millennium Development Goals.
- Maintain and strengthen the knowhow of Swiss players in the area of water for development.

The WIs budget for the year 2012 amounts to roughly CHF 33 Mio.

The program under review is the Water Diplomacy Transboundary Hot Spot Program which belongs to the first above-mentioned objective.

The program, currently in its first phase (2011 – 2012), displays its activities in four different regions (Mekong, Central America, Andean Region and Eastern Africa). It is implemented by the UNI Bern/CDE in Eastern Africa and IUCN in the three other regions.

SDC/WIs has decided to perform **an internal review** with **the following objectives**:

- Determine if the program is on the right track to achieve its intended objectives and results (the logframes established at the inception of the program is serving as a baseline in this endeavour).
- Assess the level of development efficiency, effectiveness and the sustainability achieved by the program.
- Make recommendations regarding the future continuation of the program.

The review should be carried out having in mind the six interdependent SDC/WIs strategic fields: the 3 pillars of sustainable development (environment, economy and social issues) and the 3 thematic fields (institutional, technology and knowledge).

The experts will dedicate a special attention to institutional sustainability of the inputs provided by the program in all concerned transboundary hot spots.

The review of the program will be carried out with the collaboration (briefing and debriefing, inputs to the evaluation report) of the **Swiss Cooperation Offices (Addis Ababa, Dar es Salam, Lima, Nairobi, Vientiane)** on the ground and of course all direct and indirect stakeholders.

2. Description of the program

The **objective** of the Water Diplomacy in Key Water Transboundary Hot Spots Program is to enhance basin water management in targeted basins (in Asia, Africa and America) through the promotion and implementation of concrete, realistic and consensual innovative methods, tools and approaches at data and negotiation levels.

The program has **two components**:

Component 1:

This component focuses on **support to negotiation** and puts forward an innovative approach to engage influential leaders and water experts (from all branches of the society), the public and the users in harnessing and managing collaborative solutions for sustainable basin level water management in 9 watersheds. This component is implemented by IUCN.

The selected Watersheds: Coatán River Basin (Mexico-Guatemala); Goascorán River Basin (Honduras-El Salvador); Sixaola River Basin (Costa Rica-Panamá); Zarumilla river basin (Ecuador - Peru); Catamayo-Chira river basin (Ecuador - Peru); Titicaca river basin (Bolivia - Peru); Sesan, Sre Pok and Sekong watersheds (named « The 3S ») in the Mekong region.

Component 2:

This component intends to improve, for all (including the poor and their representatives), **data availability, quality, processing and exchange on land and water management** in 10 sub-basins of the Blue Nile in Ethiopia, and 6 watersheds in the Mt Kilimanjaro and the Mt. Kenya in the Kenya and Tanzania.

Existing water and land data management centers in the regions are enhanced into regional water/lands information portals providing on-line user-friendly access.

Where ground information is missing, the data will be collected from pilot projects and observatories which will monitor and compile information on water and soil management from farm to regional levels.

In the pilots projects, new equipments/instruments as well as the related technical assistance through capacity building activities are introduced in the field of water productivity, water demand management and surface/groundwater management.

3. Internal review method and process

The mission program will be prepared by the experts with respectively the University of Bern and IUCN in collaboration with the Swiss Cooperation Offices in Lima, Addis Ababa, Dar es Salam, Nairobi and Vientiane.

The review requires an in-depth analysis of the program. Therefore the experts should engage in discussions with all stakeholders involved, i.e. representatives from the civil society, public agencies and government, river basin organizations, diplomats, parliamentarians, community leaders, national water agencies, interstate water bodies, universities, environmental agencies and when appropriate representatives from the industry and agro-industry sectors.

The experts should also inspect key relevant program sites in key basin watershed and the premises of the resources centres established in Eastern Africa.

The experts shall review all available documentation (program proposals, program progress reports, credit proposal for the program ect...).

Should the pertinence of and need for a three years second phase (2013 – 2015) follow-up phase(s) proved to be high, the experts will propose elements of design for a second phase. The second phase could include extension/scaling up of the program in other regions or rather a geographical concentration.

They should also propose a tentative time schedule and financial frame and an appropriate program organisation if the present set up is not optimal.

The experts shall compile a report giving an independent and comprehensive assessment of the activities and achievements of the program following the structure provided under chapter 7.

4. Preparatory works

Review the proposals submitted by IUCN and the University of Bern and the program credit proposal (including the log frame). The logframe is the key monitoring instrument to review the progress of the program.

Review of the progress reports prepared by IUCN and the University of Bern as well as their meetings protocols (when available).

Exchange with donors financing programs/projects in the same basins.

Review, when available, the documentation (legal, technical and institutional) related to the sector.

5. Program Administration & Tentative Time Schedule

The review will be administered by SDC/WIs. The experts will liaise with SDC/WIs and the respective Swiss Cooperation Offices verbally or by e-mail as and when required.

Tentative Time Schedule		
Phase	Description of Work	Timeframe
I.	Desk work, preparation of mission, briefing in Bern.	June 2012
II.	Field mission(s)	June: Mekong Region Beginning of July: Andean Region End of July/beginning of August: Eastern Africa
III.	Submission of the draft report	August 2012
IV.	Presentation of the draft report, discussion	End of August 2012
VI.	Completion and submission of the final report	September 15, 2012

It is assumed that the modalities (countries to be visited and timing) of the field trips to the Mekong region, Latin America and Eastern Africa will be discussed between the experts, the University of Bern, IUCN, the Swiss Cooperation Offices and SDC/WIs.

6. Evaluation Team Qualifications

The study will be undertaken by three senior experts in evaluation with sound experience in water management sector in partners' countries.

7. Reporting

A draft report in English is to be submitted to SDC and relevant Swiss cooperation Offices. The revised final report is expected two weeks after the final debriefing.

The Report shall be structure as followed:

Content page

Acronyms and abbreviations

Acknowledgements

Executive Summary

Introduction and Background

Findings and recommendations for second phase

Conclusions

8. Contacts for the mission

In addition to the list provided below, the experts should meet with relevant stakeholders in Switzerland before going to the field visit. These include (the list is not exhaustive): Swisspeace, ETH Zurich, UNECE, HEG Neuchatel, Hydrosolution, ect...

Program Implementer:

IUCN

Dr Mark Smith

Head, Water Programme - Environment and Development Group IUCN (International Union for Conservation of Nature) - 28 rue Mauverney, CH-1196 Gland, Switzerland - Tel. +41 22 999 0117

Mark.Smith@iucn.org

www.iucn.org/water

UNIVERSITY of BERN - Centre for Development and Environment (CDE)

Isabelle Providoli, PhD

Senior Research Scientist, WOCAT - Manager, Water Project

Hallerstrasse 10; CH-3012 Bern - Tel. +41 (0)31 631 88 22 – direct:54 38

mailto: isabelle.providoli@cde.unibe.ch

<http://www.cde.unibe.ch>

Swiss Cooperation Office

ETHIOPIA

Manuel Flury, PhD

Counsellor Development - Embassy of Switzerland - Ethiopia, Djibouti, Southern Sudan, AU, IGAD

Global Programme Food Security (Sub-Sahara Africa)

P.O. Box 1106, Addis Ababa, ETHIOPIA

Tel. +251 11 371 11 07 - Standard – 21951 - Mobile +251 930 012 449

E-Mail: manuel.flury@deza.admin.ch

KENYA

Ines Islamshah

Embassy of Switzerland - International House, 7th floor - Mama Ngina Street - 00100 Nairobi - Kenya

Téléphone: 0041 31 322 18 71 - 00254 20 222 87 35

Ines.Islamshah@eda.admin.ch

MEKONG REGION

Ruth Huber

Regional Director - (Lao PDR, Vietnam, Cambodia, Myanmar) -SDC

House No. 192/1, Sibounheuang Road; Ban Sibounheuang, Chanthaboury District, P.O. Box 5666

Vientiane Capital, Lao PDR

Tel. +856 21 251 794 - Natel: +856 20 5592 4456

e-mail: ruth.huber@sdc.net; vientiane@sdc.net

PERU

Ing. Carla Toranzo

Oficial Nacional de Programa - Oficina de Cooperación en Lima - Embajada de Suiza

Telf.: (00511) 264 50 01

TANZANIA

Géraldine Zeuner

Head of Cooperation, Embassy of Switzerland - Swiss Cooperation Office Tanzania

79, Kinondoni Road, P. O. Box 23371, Dar es Salaam, Tanzania. - Phone: +255 22 266 62 20

For calls from Switzerland via satellite: Phone: 031 32 418 27

geraldine.zeuner@sdc.net

ANNEX 2: Agenda for the Visit and People met

(July 3 – 12, 2012)

Tuesday July 3rd: Travel Zürich to Lima

Wednesday July 4th: Travel Lima – La Paz

Thursday July 5th La Paz

9:00 - 10:45 Meeting with **Jorge Peña** and **Edwin Maydana** (ALT Bolivia Perú) and **Giovanna Egas** (Staff Bridge Project)

11:00 - 12:30 Meeting with Luis Noriega, Hubert Gallardo and Virginia Rocha SENAMHI Bolivia

14:30 - 15:30 Meeting with **Cesar Altamirano** Head of Transboundary river basin office of Vice Ministry of Water Resources and Irrigation - Bolivia

16:00 - 17:00 Meeting with **Rogel Mattos and Mayra Montero**. Foreign Affairs Ministry of Bolivia

Friday July 6th

07:00 - 10:30 Travel by car to Puno

11:00 - 12:30 Meeting with **Tito Antallaca** Local Water Authority Ilave river basin (Acora - Puno)

15:00 - 16:15 Meeting with **Bernardino Tapia** SENAMHI Puno

16:30 - 17:30 Meeting with **Percy Reyes and Fran Lino** PELT Puno

19:00 - 20:00 Dinner with **Mourik Bueno** de Mesquita (project consultant)

Saturday July 7th

9:00 - 11:30 Meeting with **Paola Galvan and Clemente Ayala** NGO Mallku

11:30 - 13:00 Visit to Titicaca Lake Port and bay with **Clemente Ayala**

13:00 Travel to Juliaca by car

15:55 Travel to Lima by Plane

Sunday July 8th

6:25 am Travel to Piura (Peru)

9:00 - 15:00 Visit to the hydraulic infrastructure lower part of Catamayo-Chira basin (Poechos dam) guided by **Salomon Vidal**, staff of Local Water Authority (Chira)

16:00 - 19:30 Travel from Piura to Tumbes (Peru)

Monday July 9th

8:30 - 10:30 Meeting with **Felix Astudillo, Angel Mera and Nestor Fuertes** Local Water Authority of Tumbes Zarumilla river basins (Bernita Doornbos also participated)

11:00-12:30 Travel by car to Machala (Ecuador)

14:30 - 16:00 Meeting with **Fabricio Jara and Marino Palacio** Local office (Jubones) of National Water Secretariat and Technical Secretariat of Zarumilla IWRM Binational Commission Machala Ecuador (**Bernita Doornbos** also participated)

19:55 Travel to Lima by plane

Tuesday July 10th

9:00 - 10:30 Meeting with **Maria Teresa Becerra**, Head of Environmental Office of Andean Community General Secretariat SGCAN.

14:00 - 15:30 Meeting with **Julio Ordonez**, Head of Hydrologic Direction SENAMHI Peru Lima

16:00 - 18:00 Meeting with **Alberto Giesecke**, Binational Peru-Ecuador Plan Office, Ministry of Foreign Affairs Peru (**Bernita Doornbos** also participated)

18:00 - 19:30 Coffee with **Bernita Doornbos**, Fundación Intercooperation América Latina

Wednesday July 11th

10:00 - 12:00 Meeting with Jorge Benites, Mauro Mendoza, Oscar Barces, Hanny Quispe, Henry Valer (National Water Authority ANA) Lima

13:00- 14:00 Meeting with **Maria Elvira Velasquez and Nicolas Roncagliolo** Ministry of Foreign Affairs Peru

15:00 Meeting with **Carla Toranzo** SDC

Travel back to CH

Thursday July 12th

Arrival in Switzerland