

# Ex post evaluation – Burkina Faso

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**Sector:** 14030 Basic drinking water supply and basic sanitation  
**Programme/Project:** Sectoral budget support for drinking water and sanitation 2011 66 974 (INV), 2011 70 323 (CM)  
**Implementing agency:** Ministry of Economy and Finance



## Ex post evaluation report: 2019

All figures in EUR million	Project A (Planned)	Project A (Actual)	Project B (Planned)	Project B (Actual)
Investment costs (total)	114.5	106.7	0.5	0.5
European Commission	42.0	41.8	0.0	0.0
Denmark	47.3	42.9	0.0	0.0
Sweden	18.2	15.5	0.0	0.0
FC financing	7.00	6.5	0.5	0.5
of which BMZ budget funds	7.00	6.5	0.0	0.5

\*) Random sample 2018

**Summary:** The aim of the project was to implement the national programme for water and sanitation services for the period from 2012 to 2015. The programme was part of the Burkinabe poverty alleviation strategy. An accompanying measure was designed to strengthen quality assurance in the area of urban water and sanitation services and to promote training for specialists in the operation of supply systems in small and medium-sized towns.

This support was set up in the form of a direct financial contribution to the Burkinabe budget and was added to the budget line for the municipal water supply; it therefore focused on this area. Denmark, the European Commission and Sweden also participated in the joint financing.

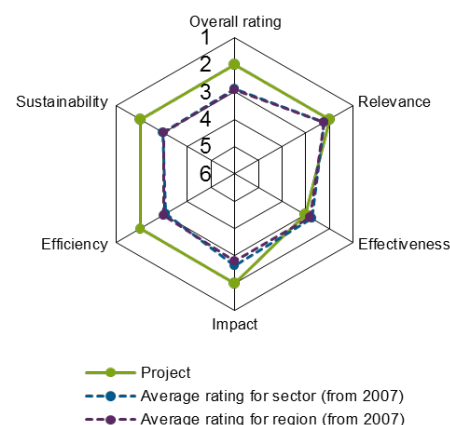
**Development objectives:** The outcome-level target: To improve the water supply and sanitation in urban areas. The impact-level target: To reduce health risks and strain on the environment in urban areas of Burkina Faso caused by an inadequate supply of water and sanitation services.

**Target group:** The target group for the German support was the peri-urban population. Areas on the edge of towns and cities were generally under-privileged in terms of their connection to water and sanitation services; they are mainly populated by poor migrants from rural areas and are marked by a high population density with corresponding health and pollution risks.

## Overall rating: 2

**Rationale:** The programme contributed to the successful implementation of the Burkinabe programme for water supply and sanitation. It supported the sectoral dialogue between the government, civil society and donors and thereby promoted transparency and accountability.

**Highlights:** High quality of sectoral dialogue and ownership by the partner. Water and sanitation services improved significantly over the past ten years. The drinking water supply rate in urban areas rose from 60% to over 91%, while supply services in rural areas reached two thirds of the population. A total of 34% of the urban population and 15% of the rural population have access to sanitary facilities.



# Rating according to DAC criteria

## Overall rating: 2

### Ratings:

Relevance	2
Effectiveness	3
Efficiency	2
Impact	2
Sustainability	2

### General conditions and classification of the project

The project evaluated here was implemented as sectoral budget support for the area of water and sanitation services. This support was set up in the form of a direct financial contribution to the Burkinabe budget and was added to the budget line for the municipal water supply; it therefore focused on this area. Denmark, the European Commission and Sweden also participated in the joint financing.

For all of the donors, the basic requirement for providing budget support was compliance with the basic principles set out in the framework agreement for general and sectoral budget support<sup>1</sup> (observance of human rights, guarantee of constitutional principles, democracy, macro-economic stability, and a sufficiently efficient and effective system of public finances). Compliance with these principles was assessed annually.

The aim of the project was to implement the national programme for water and sanitation services (Programme National de l'Approvisionnement en Eau Potable et de l'Assainissement, PN-AEPA, 2006 to 2015) for the period from 2012 to 2015. PN-AEPA was part of the Burkinabe poverty alleviation strategy (Stratégie pour la Croissance Accélérée et du Développement Durable, SCADD).

A complementary measure was designed to strengthen quality assurance in the area of urban water and sanitation services and to promote training for specialists in the operation of supply systems in small and medium-sized towns.

### Relevance

The national programme PN-AEPA, which aimed to supply the population with hygienic drinking water and adequate sanitation infrastructure, was part of the Burkinabe poverty alleviation strategy. The sectoral goals were based around Millennium Development Goal 7C<sup>2,3</sup>. German support was provided as budget support within the meaning of the Paris and Accra Declarations<sup>4</sup> regarding the effectiveness of development cooperation; this budget support was added directly to the Burkinabe budget. The European Union, Denmark and Sweden also participated in the sectoral budget support alongside Germany.

The PN-AEPA implementation was supervised and assessed on the basis of a sectoral matrix developed by the Ministry for Agriculture and Water (MAH), the national urban water supplier (ONEA), representatives from the private sector and non-governmental organisations, and donors active within the sector. Once signed by all of the parties involved, the matrix became the binding framework for the sectoral dialogue. The sectoral dialogue was intensive and inclusive; annual evaluations took place in open dialogue. During these annual sectoral reviews, progress was analysed and evaluated using the previous year's sectoral matrix and the main measures to ensure implementation of the PN-AEPA were set out for the following year. Ownership by the partners was strong.

<sup>1</sup> Cadre Général des Appuis Budgétaires, CGAB

<sup>2</sup> Halve, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation

<sup>3</sup> From the current perspective, this would correspond to Sustainable Development Goals SDG 6.1 and 6.2

<sup>4</sup> <http://www.oecd.org/dac/effectiveness/parisdeclarationandaccraagendaforaction.htm>

Going beyond the sectoral dialogue between the government, private sector, stakeholders from civil society and donors, the donor community also liaised in another group, which contained representatives from German development cooperation.

PN-AEPA was implemented by ONEA in urban areas. ONEA is certified under ISO 9001 and is one of the leading public providers of water and sanitation services in an African context. It has successfully implemented investment projects, including large-scale ones with the international donor community<sup>5</sup>. The main measures prior to PN-AEPA were expanding the supply network and building additional public standpipes and house-branch connections.

The ministry's regional directorates took on a key role during the implementation of investments at a municipal level in rural areas; they consolidated any orders for municipal infrastructure and executed them. As such, the sectoral budget support for rural areas was dealt with by the regional directorates. Some of them brought in public project management agencies to plan and supervise construction work. German Financial Cooperation identified fiduciary risks in this regard due to the regional directorates' lack of experience in planning and implementing investment measures and also in relation to audit reports that highlighted deficiencies concerning the correct documentation of financial transactions and the acceptance of building work. Corresponding deficiencies were also identified at the level of the public project management agencies. In view of this situation, German support was to be allocated to the urban area, though support<sup>6</sup> was also provided for training the ministry's regional directorates as part of the programme. The other donors focused some of their support on indicators and measures in rural areas. Furthermore, Denmark and Japan supported rural water and sanitation services with projects outside of the joint financing.

The target group for the German support was the peri-urban population. Areas on the edge of towns and cities were generally under-privileged in terms of their connection to water and sanitation services; they are mainly populated by poor migrants from rural areas and are marked by a high population density with corresponding health and pollution risks.

The sectoral budget support was an integral part of German-Burkinabe cooperation's focus on water and sanitation services. It was focused on the Federal Ministry for Economic Cooperation and Development's (BMZ) sectoral strategy and remains relevant to this day<sup>7</sup>.

The project's chain of thought that investment in network expansions, the construction of further public standpipes and the construction of additional house-branch connections lead to improved access for the population to drinking water and sanitation infrastructure, which in turn contribute to a reduction in health risks and the environmental impact, is plausible<sup>8</sup>. The investment's impact is reflected in a reduction in mortality rates for particularly exposed population groups, such as children under the age of five. Furthermore, the number of cases of neglected tropical diseases (NTD) is lower.

In view of the fact that the project corresponded to the partner country's goals, focused on supporting poor sections of the population, concentrated on declarations regarding development cooperation effectiveness, and took account of the fiduciary risks in rural areas, the project fully met expectations in terms of the relevance criterion.

**Relevance rating: 2**

### Effectiveness

The project's outcome indicators relating to the water supply in urban areas and the investment plan's annual degree of implementation for urban water supply services were achieved. One exception related to the investment plan's degree of implementation was the year 2014, when only 72% of the plans were implemented. This was caused by the delay in awarding contracts relating to the large-scale drinking water supply project Ouagadougou Ziga II. Since the start of the programme, 2.44 million additional people living in urban areas were connected to the water supply, 4,496 kilometres of pipeline were laid and 1,975

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<sup>5</sup> See, for example, water supply in Bobo Dioulasso (BMZ 1995657555). Water supply in Ouagadougou-Ziga (BMZ 199665779)

<sup>6</sup> Complementary measure financed by DANIDA

<sup>7</sup> [https://www.bmz.de/de/mediathek/publikationen/reihen/strategiepapiere/Strategiepapier404\\_06\\_2017.pdf](https://www.bmz.de/de/mediathek/publikationen/reihen/strategiepapiere/Strategiepapier404_06_2017.pdf)

<sup>8</sup> <https://www.who.int/sustainable-development/housing/health-risks/waterborne-disease/en/>

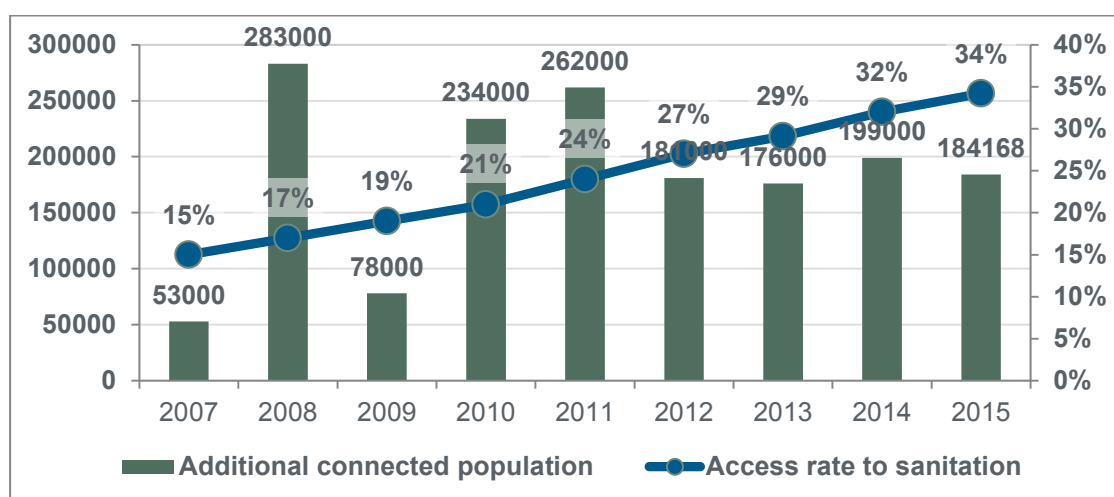
additional public standpipes were built. The results also demonstrated the performance capacity of the water company ONEA.

Table 01: Implementation of PN-AEPA in the area of urban water supply (ONEA 2016)

	Production capacity (m <sup>3</sup> /day)	Storage capacity (m <sup>3</sup> )	Pipe-lines (km)	Household connections	Public standpipes
Planned	64,863	28,000	3,227	172,096	2,631
Implementation 2007	940	13,000	657	37,374	425
Implementation 2008	7,332	2,000	475	12,076	139
Implementation 2009	820	150	333	17,307	120
Implementation 2010	1,688	4,150	362	18,314	156
Implementation 2011	32,544	300	399	31,719	273
Implementation 2012	3,296	8,500	603	27,993	296
Implementation 2013	17,972	600	575	30,771	134
Implementation 2014	14,208	5,300	590	26,059	211
Implementation 2015	14,193	2,700	498	26,686	203
Total 2007–2015	92,721	36,700	4,496	252,866	1,957
Implementation in %	143%	131%	139%	147%	74%

The targets in the area of sanitation services were either just missed or were not achieved at all. The inadequate fulfilment of the requirements in the sub-sector of sanitation disposal services was caused by the high costs for individual pieces of infrastructure. The planned counterpart contribution from each budget was around EUR 80, which far exceeded the population's financial capacity<sup>9</sup>. While simple toilet models were cheaper, they did not meet hygienic standards and requirements. One particular challenge in this area was the sustainable and hygienic disposal of faecal and organic sludge.

Table 02: Implementation of PN-AEPA in the area of urban sanitation (ONEA 2016)



The indicators are appropriate from today's perspective. However, they only reflect the German contribution's focus on the target group of peri-urban populations to a limited extent as they address the urban area as a whole. This can be explained by the fact that Germany did not join the sectoral budget support until 2013 and the matrix of indicators was created as early as 2009. Expanding the matrix would not have been desirable as there was already a large number of indicators and measures. Nevertheless, the target

<sup>9</sup> <https://tradingeconomics.com/burkina-faso/gdp-per-capita>

for implementing investment and strategy plans related to water or sanitation supply services was not intended to be static but instead was designed to be a guideline for subsequent years. The targets related to sanitation services were too ambitious; the target group's financial capacity was clearly overestimated. However, it is worth noting here that sanitation services for public institutions like schools (2015, 63.9%) and health stations (2015, 86.9%) clearly improved.

The target achievement at outcome level can be summarised as follows:

Indicator	Status PA, target PA	Ex post evaluation
(1) Access to the water supply in urban areas in %	75% (2008) Target value 87% (2015)	84% (2013) 87% (2014) 89.9% (2015) <sup>10</sup> 95% (2016) <sup>11</sup> 92% (2017) 91% (2018) <sup>12</sup> Indicator achieved
(2) Access to sanitation services in urban areas in %	17% (2008) Target value 35% (2015) <sup>13</sup>	29% (2013) 32% (2014) 34.2% (2015) <sup>14</sup> 36.8% (2016) <sup>15</sup> 38% (2017) 38% (2018) Indicator just missed, even after adjustment
(3) Implementation of strategic plans for sanitation services in %	< 35% Target value 57% (2015)	43% (2013) 50% (2014) 53% (2015) Indicator not fulfilled
(4) Annual degree of implementation of investment plan for urban water supply in %	90% (2011) Target value 95% (2015)	91% (2013) 72% (2014) 95% (2015) 96% (2016) Indicator achieved

The results for the criterion of effectiveness is satisfactory though still below expectations as the sanitation targets were only just missed or were not fulfilled at all.

**Effectiveness rating: 3**

<sup>10</sup> ONEA

<sup>11</sup> Tableau de Bord social 2017, Ministère de l'Economie des Finances et du Développement Institut national de la Statistique et de la Démographie

<sup>12</sup> Ministère de l'Eau et de l'assainissement, Rapport 2018

<sup>13</sup> Reduced from 57% to 40% during sectoral review in 2013 and to 35% in 2014

<sup>14</sup> Programme National d'Assainissement des Eaux Usées et Excréta, (PN-AEUE) 2016–2030

<sup>15</sup> PN-AEUE 2016-2030, Matrice des Indicateurs de Performances, 2017–2020

## Efficiency

The national steering committee set up in 2007 and the regional steering committees for the PN-AEPA were the government's preferred mechanism for ensuring that the PN-AEPA was coordinated and managed at national and regional level so that all stakeholders were involved. They met at least twice a year.

The government organised nine joint annual assessments following the launch of PN-AEPA<sup>16</sup>. The joint report for year N is an important step for evaluating the balance sheet for N-1 and updating the PN-AEPA targets for the year N+1 and beyond.

For each joint assessment, all stakeholders in the water and waste water sector (government, regional bodies, civil society, private sector, donors) were brought together to evaluate compliance with the agreed targets and to agree recommendations for further implementation of the programme.

Disbursement of the sectoral budget support was based on a sectoral matrix<sup>17</sup>. It was disbursed in fixed and variable tranches. The matrix was made up of two sections, which related to the conditions precedent for disbursements from the fixed tranches (part A) and from the variable tranches (part B). While part A included criteria at a macro-level<sup>18</sup>, part B listed sector-specific indicators and measures. The latter contained six sections (water supply, sanitation, good governance in the sector, financing, deconcentration and decentralisation, awarding of public contracts). A total of 26 indicators and six measures were stipulated. Each donor selected several indicators and measures that had different degrees of relevance (% of variable tranche) to disbursement.

Approval for the disbursement of both tranches was supposed to take place shortly after completion of the annual sectoral review. The evaluation of the disbursement criteria was based on the previous year. The sectoral review regularly took place in the months of March or April, meaning that funds could quickly be approved and included in the subsequent year's budget. Disbursements were to then take place in the first quarter of the year following approval.

The German contribution of a total of EUR 7.0 million was also split into fixed<sup>19</sup> and variable<sup>20</sup> tranches. The following indicators were relevant for the disbursement of the variable tranches: a) urban water supply, b) urban sanitation disposal services, c) the implementation of strategic plans for sanitation services, and d) the investment plan's degree of implementation for urban water supply services. The indicators had an equal weighting.

The German support was disbursed as planned in 2013, 2014 and 2015. The variable tranches were only partially distributed depending on the fulfilment (see Effectiveness) of the indicators. The agreements were followed by commitment and disbursement; the Burkina partners were able to include the budget support in the subsequent year's budget in each case. The disbursement took place in the first or second quarter of the year. Only the 2013 tranches were disbursed at the end of the year because the financing arrangement was signed late.

Taking all donors into consideration, 93% of the committed funds were actually disbursed between 2010 and 2016. Germany's commitments were paid out at an effective rate of 93% for the period of 2013 to 2015. The result represents good predictability of the availability of funds.

The number of indicators and measures was high; the effort needed to allocate values to them all on an annual basis and track their development was correspondingly high. Nevertheless, the extensive matrix reflected the sector and its intrinsic challenges and the progress made on a wide scale. It was therefore very conducive to the inclusive sectoral dialogue.

The sectoral dialogue was intensive and transparent; the government prepared well for all of its elements. The documents were always ready in good time and were of a high standard. Ownership by the Burkina partners was strong. As a result of the transparent, intensive sectoral dialogue, the transaction

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<sup>16</sup> 2008 to 2016

<sup>17</sup> Matrice Conjointe des Critères de Performance du Secteur Eau et Assainissement 2009–2015

<sup>18</sup> Macro-economic stability, administration of public finances, general assessment of the sectoral policy for water supply/sanitation, management of public finances within the sector including additionality and counterpart contribution

<sup>19</sup> Fixed tranches 2013 EUR 1.6 million, 2014 EUR 1.6 million and 2015 EUR 1.7 million.

<sup>20</sup> Variable tranches 2013 EUR 0.7 million, 2014 EUR 0.8 million and 2015 EUR 0.6 million.

costs were significantly reduced for the Burkinabe partners and coordination between donors was noticeably easier. Since the disbursements were approved relatively quickly after the sectoral review (normally in the second quarter), they could be incorporated into the budget planning for the next year. The disbursements all took place in the first or second quarter of the subsequent year, which is highly relevant for the implementation of the investment budget. These aspects demonstrate the efficiency that budget support can achieve, also when compared to a large number of individual investment projects by several donors.

The project met all expectations under the criterion of efficiency. The allocation of funds (insofar as this is possible for the instrument of budget support) for infrastructure that benefited the peri-urban population was chosen correctly.

### Efficiency rating: 2

### Impact

No other indicators apart from those selected at outcome level were specified for the fulfilment of the impact-level target related to the reduction of health risks and the environmental impact in urban areas of Burkina Faso caused by an inadequate supply of water and sanitation services. As such, no target values were stipulated either.

During the evaluation, two proxy indicators were selected that related to a) the mortality rate of children under the age of five per 1,000 live births, and b) the number of cases of neglected tropical diseases (NTD). The development of both proxy indicators is related to water and sanitation services, thereby ensuring plausibility.

Inadequate water and sanitation services are the main causes of diarrhoeal diseases, which leads to around 1.4 million cases of child mortality around the world every year. Children are particularly susceptible to the health risks related to an inadequate water supply and waste water disposal.<sup>21</sup> The mortality rate for children in Burkina Faso under the age of five fell from 101/1000 live births at the time of the project appraisal in 2012 to 76/1000 in 2018. Although other parameters that extend beyond water supply and sanitation also improved during the same period, it is plausible that the latter contributed to the reduced mortality rate among children under the age of five.

The provision of clean water, sanitary facilities and hygiene services is an important measure within the global NTD roadmap<sup>22</sup>, as it is of key importance to the prevention of NTDs. The number of registered cases of NTD in Burkina Faso fell from 11 million in 2015 to 6.5 million in 2018. It can be assumed that the improvements to the water supply and sanitation services contributed to this.

Fulfilment of the impact-level target to contribute to the reduction of health risks and the environmental impact in urban areas of Burkina Faso caused by an inadequate supply of water and sanitation services can be summarised as follows:

Indicator	Status PA, target PA	Ex post evaluation
(1) Proxy indicator: mortality rate <sup>23</sup> of children under the age of five per 1,000 live births	PA 2012 101/1,000 No target value defined	EPE (2018) 76/1,000
(2) Proxy indicator: number of registered cases of neglected tropical diseases (NTD)	PA here 2015 11 million No target value defined	EPE (2018) 6.5 million

### Impact rating: 2

<sup>21</sup> <https://www.ncbi.nlm.nih.gov/pmc/articles/PMC4199018/>

<sup>22</sup> [https://www.who.int/neglected\\_diseases/water-sanitation/en/](https://www.who.int/neglected_diseases/water-sanitation/en/)

<sup>23</sup> <https://data.unicef.org/topic/child-survival/under-five-mortality/>

## Sustainability

Water and sanitation services improved significantly over the past ten years under the SCADD and PN-AEPA. The drinking water supply rate in urban areas rose from 60% to over 91%, while supply services in rural areas reached two thirds of the population. Sanitation services are slightly below these levels though 38% of the urban population and 15% of the rural population have access to hygienic sanitary facilities that meet the relevant standards. Despite this positive development, the provision of adequate water and sanitation services remains a challenge. It has to keep pace with annual demographic growth of 3.1% and a strong increase in urban populations (from 4.3 million people in 2017 to an estimated 11 million in 2030).

ONEA continues to cover operating costs, even without external support. Water tariffs have been adjusted several times over the years to counteract rising costs. The social tariff<sup>24</sup>, which also applies for public standpipes, has been excluded from any increases since 2003.

Following on from SCAAD, a new development strategy was agreed for the years 2016–2020<sup>25</sup>. The reform agenda aims to achieve sustainable, robust and inclusive economic growth to create employment and improve underlying social conditions. The strategy is used as a basis for policy within the environmental, water and sanitation sector<sup>26</sup> and also for the national water policy<sup>27</sup>. These policies aim to contribute to sustainably universal drinking water and sanitation for the population of Burkina Faso by 2030.

The donor community supports the new programme. In addition to German FC (first phase: EUR 7.0 million; second phase: EUR 18.0 million; timeframe: 2018–2020), the EU has also been involved with sectoral budget financing since 2016 (EUR 36 million; EUR 18 million TC). The IDA has signed off a programme of USD 300 million (50 million financial contribution; 250 million loan) though not in the form of budget financing.

Sectoral coordination continues to take the form of regular sectoral dialogue. The annual sectoral review based on a matrix will stay in the same format and be organised by the responsible ministry involving all relevant stakeholders (government, regional bodies, civil society and donor community). The coordination of the donors will remain unchanged.

The proportion of financing for the sector measured in relation to the entire budget (without external funding) has fallen over recent years. The average percentage between 2010 and 2016 was between 4% and 6% but fell to 3.9% in 2017 and to 1.7% in 2019. This decrease is primarily the result of increased expenditure in the security sector in light of terrorist threats and increasing fragility. The donor community is counteracting the reduction in self-financing with large-scale support in some areas (see above).

In view of Burkina Faso's geo-political significance in relation to the threat of terrorism in the entire region of West Africa, the increasing fragility, and the high pressure of migration towards the Mediterranean, international (external) financing of the Burkinabe budget (including sectoral financing) may be secured over the medium term. The implementation of the PN-AEPA sectoral policy may be regarded as successful; the new development strategy and the new PSEEA sectoral policy for the environment, water and sanitation are coherent. The Burkinabe government is sticking to the tried-and-tested format of sectoral dialogue. Against this background, it can be assumed that the positive development effectiveness of this project to date is very likely to remain positive overall.

### Sustainability rating: 2

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<sup>24</sup> EUR 0.29 per m<sup>3</sup>

<sup>25</sup> Plan National de Développement Economique et Social, PNDES

<sup>26</sup> Politique sectorielle environnement, eau et assainissement, PS-EEA

<sup>27</sup> Politique Nationale de l'Eau, PNE



### Notes on the methods used to evaluate project success (project rating)

Projects (and programmes) are evaluated on a six-point scale, the criteria being **relevance, effectiveness, efficiency** and **overarching developmental impact**. The ratings are also used to arrive at a **final assessment** of a project's overall developmental efficacy. The scale is as follows:

<b>Level 1</b>	Very good result that clearly exceeds expectations
<b>Level 2</b>	Good result, fully in line with expectations and without any significant shortcomings
<b>Level 3</b>	Satisfactory result – project falls short of expectations but the positive results dominate
<b>Level 4</b>	Unsatisfactory result – significantly below expectations, with negative results dominating despite discernible positive results
<b>Level 5</b>	Clearly inadequate result – despite some positive partial results, the negative results clearly dominate
<b>Level 6</b>	The project has no impact or the situation has actually deteriorated

Rating levels 1-3 denote a positive assessment or successful project while rating levels 4-6 denote a negative assessment.

### Sustainability is evaluated according to the following four-point scale:

Sustainability level 1 (very good sustainability): The developmental efficacy of the project (positive to date) is very likely to continue undiminished or even increase.

Sustainability level 2 (good sustainability): The developmental efficacy of the project (positive to date) is very likely to decline only minimally but remain positive overall. (This is what can normally be expected).

Sustainability level 3 (satisfactory sustainability): The developmental efficacy of the project (positive to date) is very likely to decline significantly but remain positive overall. This rating is also assigned if the sustainability of a project is considered inadequate up to the time of the ex post evaluation but is very likely to evolve positively so that the project will ultimately achieve positive developmental efficacy.

Sustainability level 4 (inadequate sustainability): The developmental efficacy of the project is inadequate up to the time of the ex post evaluation and is very unlikely to improve. This rating is also assigned if the sustainability that has been positively evaluated to date is very likely to deteriorate severely and no longer meet the level 3 criteria.

The **overall rating** on the six-point scale is compiled from a weighting of all five individual criteria as appropriate to the project in question. Rating levels 1-3 of the overall rating denote a "successful" project while rating levels 4-6 denote an "unsuccessful" project. It should be noted that a project can generally be considered developmentally "successful" only if the achievement of the project objective ("effectiveness"), the impact on the overall objective ("overarching developmental impact") and the sustainability are rated at least "satisfactory" (level 3).