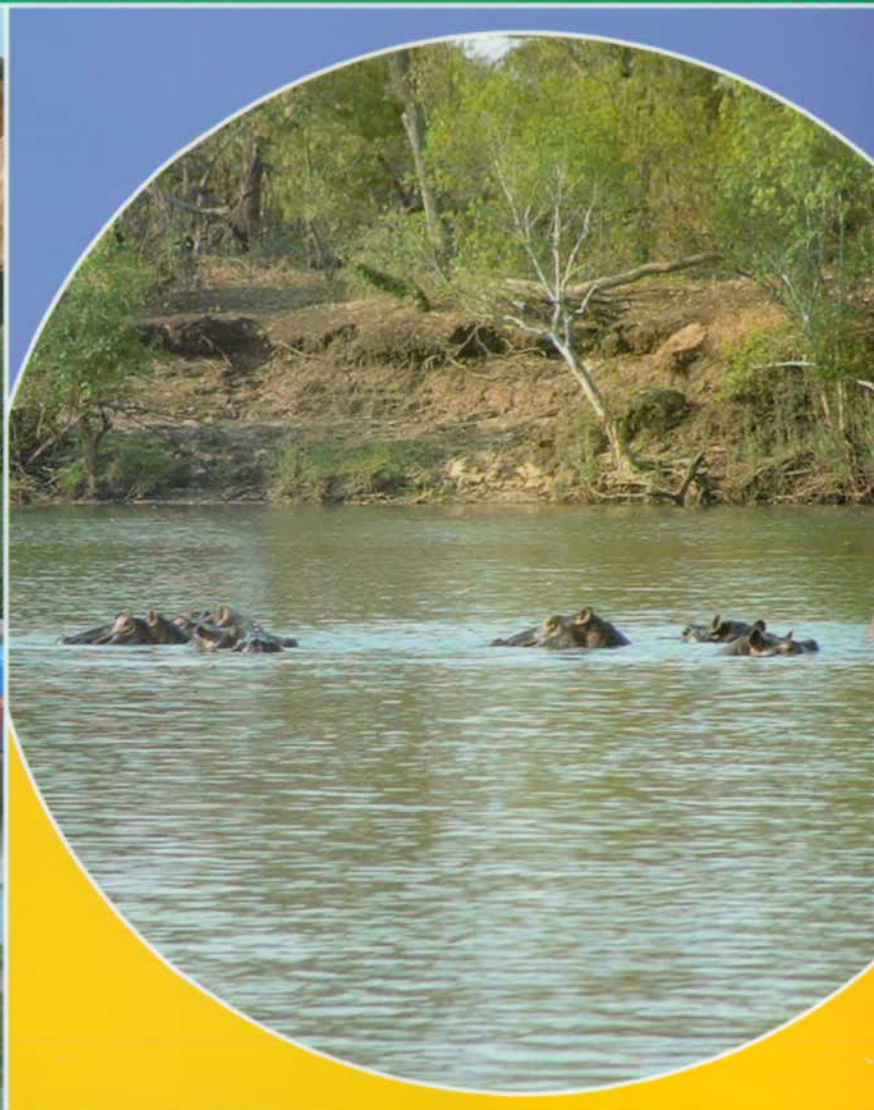




Integrating HIV and AIDS issues into Water Resource Management



EUROPEAN UNION



*Lessons Learnt in Piloting the SADC/EU
Regional HIV Initiative.*



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LIST OF ACRONYMS AND ABBREVIATIONS

AIDS	Acquired Immune Deficiency Syndrome
CSIR	Council for Scientific and Industrial Research
EHIA	Environmental Health Impact Assessment EHIA
EIA	Environmental Impact Assessment
EPRD	European Programme for Reconstruction and Development
EU	European Union
GB	Grant Beneficiary
HIV	Human Immuno-deficiency Virus
HVI	Household Vulnerability Index
IRC	IRC International Water and Sanitation Centre
IWRM	Integrated Water Resources Management
M&E	Monitoring and Evaluation
MDG	Millennium Development Goals
NEPAD	New Partnership for Africa's Development
NGO	Non-governmental organisation
SADC	Southern Africa Development Community
SAIEA	Southern Africa Institute for Environmental Assessment
SEA	Strategic Environmental Assessment
UB	University of Botswana
WSSD	World Summit on Sustainable Development



1 INTRODUCTION

1.1 Background

The SADC region is the worst affected by HIV and AIDS in the world. The combined population of the SADC states is about 4% of the world's population, yet the region accounts for more than 38% of the world's people living with HIV and AIDS. The HIV and AIDS epidemic is seriously undermining the national and regional developmental objectives of SADC.

In recognition of this threat, SADC has intensified its efforts to combat the epidemic and mitigate its impact. In 2000, SADC launched the HIV/AIDS Strategic Framework and Program of Action 2000-2004. This five-year plan was intended to provide guidance to a regional response to HIV and AIDS. The plan has been replaced by the SADC Strategic Framework 2003-2007.

In terms of the strategic Framework the following are SADC strategic areas of focus:

- A). Policy development, harmonization and the establishment of Protocols in areas including: care and treatment; harmonisation of procedures, regulations and laws of transit at borders; guidelines for programme intervention; etc.
- B). Mainstreaming HIV/AIDS in SADC in all programmes and activities implemented by SADC Directorates, the Department of Strategic Planning, Gender and Policy Harmonization, and all other entities and units of SADC. Areas for mainstreaming include policy, programme and activity levels.
- C). Capacity building of SADC to mainstream HIV and AIDS at all levels and to create the capacity required for the integration of HIV and AIDS in all policies and programmes. The focus also includes developing strategies to sustain existing capacity.
- D). Facilitating Technical Response: SADC seeks to establish mechanisms to facilitate regional technical discussions, develop regional guidelines and facilitate the sharing of best practices in a number of areas that are important for the effectiveness of HIV and AIDS response. These include support to orphans, resource mobilisation, research and surveillance, and impact mitigation among others.
- E). Facilitating Resource Networks: There exist within Member States resources of people and of organizations that have the necessary technical skills to assist with the response to the epidemic. The SADC Secretariat aims to undertake an assessment of national and regional resources that can play a role in the response to the epidemic, and then seek to mobilize these resources into networks where feasible.
- F). Facilitating the Monitoring of Regional and Global Commitments: SADC seeks to facilitate the monitoring of the performance of Member States in respect to regional, continental and global commitments such as Member States have a common interest in establishing conditions where the targets are achieved. Shortfalls in achievement on the part of some Member States will have implications for others, through processes that link everyone in the Community.

In 2001, the European Union (EU) provided funding through twin financing agreements to support the implementation of the SADC Framework on HIV and AIDS through a joint SADC/EU project known as **Regional Support for an Expanded Multisectoral Response to HIV/AIDS in SADC Region**, supported through the European Programme for Reconstruction and Development (EPRD). The aim of the EPRD component was to promote effective and feasible strategies that benefit the population of SADC region. This was to be achieved through funding activities aimed at countering HIV and AIDS at the regional level.

This project entitled "Integrating HIV and AIDS Issues into Water Resources Management" submitted by the Council for Scientific and Industrial Research (CSIR), was one of ten projects selected for funding. The project was launched in September 2003 and concluded in July 2005. This report presents the lessons learnt and suggests a way forward in utilising the lessons learnt.



1.2 Project fit with the SADC priorities

The SADC HIV and AIDS Strategic Framework and Programme of Action identifies the water sub-sector as one of the key sectors affected by HIV and AIDS and in which mainstreaming is necessary. The Directorate on Food, Agriculture and Natural Resources (FANR) is charged in the Strategic Framework with supporting mainstreaming of HIV and AIDS into the water sub-sector sector. The CSIR project provided an opportunity for the realisation of some of the objectives for the FANR sector that are outlined in the Strategic Framework including: the enhancement of understanding of HIV and AIDS in the FANR Directorate; facilitation of understanding of HIV and AIDS in key Ministries of Member States and integration in core activities; and support to the development of strategies for integrating water and irrigation development for HIV and AIDS affected populations.

1.3 HIV/AIDS and the water sector in Southern Africa

HIV and AIDS are affecting overall economic growth and development in the SADC region. The high HIV prevalence rates have resulted in high morbidity and mortality rates, causing severe socio-economic difficulties at the household level. HIV and AIDS is also eroding life expectancy gains of the past, indicating a severe impact on human welfare in general. The HIV and AIDS epidemic poses a major threat by increasing demands on sectors and at the same time reducing sector capacity to deliver services. The water sector is no exception and has been recognised as such.

Southern Africa has made a number of commitments on the development and management of water resources. Commitments include those made at The World Summit on Sustainable Development (WSSD) in Johannesburg in 2002 (to craft integrated water resources management (IWRM) and water use efficiency strategies by the end of 2005; the NEPAD water agenda (Africa Water Vision and Framework for Action), The Millennium Development Goals (particularly Goal 7, one of whose targets is to halve by 2015 the number of people lacking access to safe water); among others. In the quest to meet development goals, such as reducing poverty, increasing food security, fostering economic growth, and protecting ecosystems, the countries of the region need to ensure consistency and complementary relationships between actions. The integration of HIV and AIDS and gender in the water sector has remained a challenge. While there has been a growing body of literature on how the water sector is impacted upon (internally¹ and externally²) by HIV and AIDS and how its work can impact on HIV and AIDS (positively³ and negatively⁴), there has been limited work on how to build-in HIV and AIDS into general processes of water sector development and management. Much guidance to the sector is relatively new (see for example International Water and Sanitation Centre, Thematic Overview Paper of 2005). In addition to utilising literature reviews to confirm the general need for work on incorporating HIV and AIDS in EIA, the Grant Beneficiary (GB) engaged Member State-based consultants to undertake research on EIA practices in each Member State.

The project provided the evidence of impact, generated a tool for capturing and planning for likely impacts and developed skills to utilise the new tool. Particularly significant in the process was the level of specificity to the region brought about by the project.

¹ HIV and AIDS adversely affecting the institutions responsible for the delivery of water services

² HIV and AIDS affecting customers/service user demands (level and quality of supply) and capabilities to participate in management of water resources or payment for water

³ The water sector making a positive contribution to community capacity to cope with HIV and AIDS

⁴ The water sector worsening the vulnerability of communities to HIV and AIDS



1.4 The Project and the Grant Beneficiary

1.4.1 Project Objectives

A grant was awarded to the Council for Scientific and Industrial Research (CSIR). The objective of the project was to develop an approach to reduce the impact of HIV and AIDS on water resources management and supply using the environmental impact assessment process.

CSIR identified four result areas for the project as follows:

- 1) Agreement on the issues to be addressed by the project and envisaged activities
- 2) Understanding of the impact of HIV and AIDS on the water sector and what influences the impact
- 3) An approach for addressing HIV and AIDS through the environmental impact assessment (EIA) process, and
- 4) Understanding and implementation of the identified approach for incorporating HIV and AIDS into environmental assessment.

1.4.2 Project Setting and Implementation

The project was piloted in countries that have some of the highest HIV and AIDS prevalence rates. The countries were: Botswana, Lesotho, Swaziland and South Africa. Activities were designed along result areas. All project activities were completed. The project finished within the planned time frame and with a saving of 20% on the grant amount.

1.4.3 The Grant Beneficiary: CSIR

Prior to implementing this project, CSIR had implemented a number of large projects including projects focused on environmental impact assessment. There was within CSIR resident expertise in project management (as evidenced by the sound design and articulation of the project), strong management and accountability systems, and technical expertise and experience in environmental impact assessment. CSIR already had working relationships with the Southern Africa Institute for Environmental Assessment (SAIEA), and University of Botswana its implementing partners.

2 ASSESSMENT OBJECTIVES AND QUESTIONS

This consultancy was engaged to undertake a comprehensive evaluation of the activities of CSIR and to synthesize project experiences to inform the future response. This report focuses on the lessons learnt during project implementation, the implications of the lessons and the way forward in light of the progress made and lessons learnt.

2.1 Objectives

The objectives of the assessment are:

- To produce an analytical report on the lessons learnt (conceptual and practical) from the project
- To develop a guide for the transference of the project

The report is targeted at both the partners in the implementation of the pilot project (SADC, EU and the Grant Beneficiary) and, stakeholders who were outside of direct project involvement but have an interest in the performance and value of the project.

2.2 Assessment Questions

Developed as one set of deliverables in the evaluation of the SADC/EU project, this report focuses on answering questions under the lessons learnt and transference of lessons learnt



components of the evaluation terms of reference. The specific questions addressed are presented in Table 2 below.

Table 1: Evaluation assessment questions

Question	Description
Lessons learnt	What lessons, both positive and negative, and in terms of: a). relevance b) performance, c). success and d). partnerships, could be drawn from the experience of implementing the project
Transference of lessons learnt	Whether any important lessons from the project experience could be transferred to the Member States and the region in the areas of: a) policy b) programme c) capacity building d) networking and e). partnerships (SADC, Secretariat and Grant Beneficiaries)

3 EVALUATION PROCESS

3.1 Approach

The approach to the documentation was qualitative, and focused not only on actual results achieved but also on opportunities created which could form a critical component of future actions. The evaluation looked at indicative evidence of progress towards impacts rather than measuring and quantifying the actual impact. Emphasis was placed on gathering evidence of utility of outputs and outcomes to stakeholders in the region including the SADC Secretariat. A key characteristic of the evaluation was the focus on both project processes and outcomes.

3.2 Data/Information Gathering

Literature review: Several documents related to the project including the proposal, implementation documents and reports were reviewed.

Personal interviews: At SADC Secretariat level personal interviews were conducted with the HIV and AIDS Unit Manager and the SADC/EU project coordinator. The Grant Beneficiary representative/Coordinator was personally interviewed. For input by the beneficiaries and implementing partners at Member State level visits were made to Botswana, Lesotho, Namibia, South Africa and Swaziland. Within the countries visits were made to organisations identified together with the Grant Beneficiary as relevant to improving the understanding of the achievements of the project.

Telephones and emails: were used to solicit information or to clarify issues

4 LESSONS LEARNT

4.1 Defining lessons Learnt

Lessons learnt were defined as: Positive and negative experiences arising from implementation of the project that add value to the understanding of the subject matter of the project (developmental lessons) or the management of similarly intended projects (operational lessons). Two key aspects of this working definition of lessons learnt are a) that they are derived from project experiences, thus are specific and grounded on empirical evidence, and; b) they are intended to promote repeat application of positive aspects and/or avoid repeat occurrences of negative aspects. The latter aspect demands that lessons although grounded in experience and particular settings, ought to be sufficiently generic to be applicable across contexts. These considerations have influenced the selection of aspects to be highlighted in the report.



4.2 Results Overview

Focus was on results of the pilot which are summarised in table 2, but including project implementation processes and outcomes. The lessons are derived from in depth analysis of the project and the assessment of its relevance, performance, success.

Table 2: Overview of project result areas, outputs, outcomes and emerging impact/effects

Planned result area	Outputs	Outcomes	Effects
1: Agreement on the issues to be addressed by the project and envisaged activities	<input checked="" type="checkbox"/> Detailed Workplan prepared and reporting arrangements agreed. <input checked="" type="checkbox"/> Key issues of concern to be addressed by project identified. <input checked="" type="checkbox"/> Final Inception Report prepared.	<ul style="list-style-type: none"> ➢ Approach incorporating HIV and AIDS in water sector developed ➢ Approach communicated to stakeholders in four participating countries 	<ul style="list-style-type: none"> ➢ Improved knowledge among sector agents ➢ A growing body of individuals who are aware of and knowledgeable about the process
2: Understanding of the impact of HIV/AIDS on the water sector and what influences the impacts	<input checked="" type="checkbox"/> Four draft country assessment reports prepared. <input checked="" type="checkbox"/> Four country assessments reports completed.	<ul style="list-style-type: none"> ➢ Guidelines widely circulated in CD format 	<ul style="list-style-type: none"> ➢ Expansion of knowledge to other SADC member states
3: An approach for addressing HIV/AIDS	<input checked="" type="checkbox"/> Guidelines <input checked="" type="checkbox"/> Reviewed guidelines	<ul style="list-style-type: none"> ➢ Skills for use of approach developed 	
4: Understanding and implementation of the identified approach for incorporating HIV/AIDS into environmental assessment	<input checked="" type="checkbox"/> Training materials <input checked="" type="checkbox"/> Two short courses	<ul style="list-style-type: none"> ➢ Training on approach institutionalised 	

Over a period of just 18 months CSIR successfully and with clear precision delivered a project with significant implications for EIA work in the region. The design and implementation of the project contains a number of lessons that are important for those charged with responsibility for EIA (within and outside the water sector) and for managers of projects seeking to address similar concerns. This section of the report draws out the lessons and the elements that contributed to the success of the project. The three most prominent lessons are presented in this section. One of these relates directly to the findings of the study and two relate to the design and management of learning interventions.

The outcomes of the project have been in line with the purpose of the project and include the development of an approach to incorporate HIV and AIDS in the water sector, communication of the approach to stakeholders, building skills to apply the approach and institutionalising the building of skills through course offered by University of Botswana and SAIEA. Yet to emerge is evidence of consistent application of the guidelines in the water sector and the incorporation of HIV and AIDS in Member States' guidelines for EIA.

4.3 Lessons

4.3.1 Lesson 1: HIV and AIDS have a significant impact on the water sector but there is limited knowledge and adaptation of tools such as the EIA to facilitate integration of HIV and AIDS issues into the water sector

The incorporation of HIV and AIDS into tools such as the EIA is not only a challenge for the water sector in SADC but also globally and across sectors.

HIV and AIDS and the water sector

The country assessments undertaken in the Botswana, Lesotho, South Africa and Swaziland confirmed that within institutions managing the water sector, HIV and AIDS were having an impact. Field evidence from Lesotho showed that in some communities close to where large new water projects had been completed HIV and AIDS prevalence rates had increased to rates dramatically different to other regions of the country. Drawing on this evidence and the known



risks created by increased mobility, project partners agreed that water projects did create for both the communities affected and the staff of the water management institutions a high risk of HIV and AIDS. The challenge for the water sector was characterised as being one of harnessing for the communities the positive benefits of water projects while minimising the negative effects of providing the service.

It was observed that some water management institutions had workplace policies and other measures to reduce HIV and AIDS risks for their workers. There was relatively less emphasis on community protection. This gap is also evident in some leading international guidance which largely concerns itself with water and sanitation in the cases of services and supplies through projects which do not need to undergo project appraisals including EIA⁵. Similarly country water strategies are silent on large scale projects and HIV and AIDS (see for example the Republic of Tanzania National Water Sector Development Strategy Draft⁶).

EIA in the water sector

Environmental impact assessment broadly defined as 'The process of identifying, predicting, evaluating and mitigating the biophysical, social, and other relevant effects of development proposals prior to major decisions being taken and commitments made'⁷ is a well used tool in the water sector. EIA mostly responds to requirements as set out in legislation, guidelines and standards. All four Member States involved in this project have EIA legislation. Over time, as concerns with impacts have widened, a variety of tools and approaches have been developed to address socio-economic impacts in addition to the biophysical ones and also to deal with strategic impacts of policies and programmes. This response is illustrated by the incorporation of socio-economic issues in EIA, the emergence of strategic environmental assessment (See e.g. UNEP guide for integrating the EIA with the Strategic Environmental Assessment)⁸ as well as the development of related impact assessment methodologies (e.g. Health Impact Assessment).⁹

HIV and AIDS have not featured prominently in the EIA process both regionally and globally. Where HIV and AIDS have featured, it has been through passing reference to some of the data that should be collected during EIA. While there have been some attempts to respond to HIV and AIDS in the EIA process, the limited discussion of how this inclusion should be done, what aspects should be addressed and what tools can be used have been major limiting factors. The EIA regulatory requirements in South Africa and Swaziland for example emphasise three aspects of environmental impact – impact on the bio-physical environment, social impacts and health impacts. Without further elaboration and specific reference to HIV and AIDS, their inclusion has been inconsistent and erratic.

The project's contribution to the EIA process

The project brought together experts in EIA, water sector management personnel from the four Member States and consultants who have been involved in preparing EIAs for the water sector. The group reviewed legislation and tools for conducting EIA and developed guidelines for much clearer analysis of the HIV and AIDS implications of projects. The guidelines offer a practical tool for addressing HIV and AIDS in the EIA process as well as a guide on possible regulatory requirements to enhance attention to the HIV and AIDS impacts of projects.

⁵ Kamminga and Schuringa 2005 - IRC International Water and Sanitation Centre guide

⁶ See p68 of the Draft Tanzania National Water Sector Development Strategy, 2004. Available at www.tzonline.org/maji/WaterSectorStrategy.pdf

⁷ IAEA 1999

⁸ Abaza H, Bisset R and B Sadler (2004) *Environmental Impact Assessment and Strategic Environmental Assessment: Towards an Integrated Approach*

⁹ WHO, 2005. *Environmental Health Impact Assessment: Guide for Eastern Mediterranean Region*



The project's contribution to the capacity for incorporating the EIA process

Having developed a useful practical tool for incorporating EIA in the water sector, the project proceeded to develop capacity for the utilisation of the guidelines. Two short courses were run at University of Botswana. Participants were drawn from the four Member States. In addition, both SAIEA and UB incorporated HIV and AIDS in their EIA training courses and continue to run courses. In 2006 SAIEA ran two courses in Botswana in response to requests for the courses.

The capacity to apply the guidelines was also enhanced through the inclusion from the outset of consulting firms from three of the four Member States involved in the project.

Wider Implications of the project

The project has contributed to improved knowledge on how to incorporate HIV and AIDS in the water sector through EIA. The guidelines developed, as with many tools within the EIA toolkit, can be applied across sectors. The principles of the guidelines remain unchanged across sectors with the only changes being in the sector specific issues that may need to be taken into account in undertaking the EIA. The project has thus provided valuable guidance to Southern Africa, a region most affected by HIV and AIDS but whose adjustment of analytical tools has been either very slow or non-existent. The guidelines for the EIA offer a broader understanding of what mainstreaming HIV and AIDS in all sectors actually means at various stages of project planning and its implementation. To date the dominant understanding has been to look at internal mainstreaming and how HIV and AIDS affects sector service demands. There has been limited attention to how projects impact on HIV and AIDS and what mitigation measures need to be included in the project for the project to be approved. A direct consequence has been that whereas with the bio-physical environment a clear impact mitigation plan is one of the conditions for project approval, the requirements have not extended to HIV and AIDS. Instead the responsibility has been left unassigned and assumed to be the business of national aids councils to address.

The guidelines for the incorporation of HIV and AIDS in EIA have implications for other projects such as tourism and transport projects that create benefits but also social risks and costs that are then externalised to wider society. The guidelines offer a useful approach to ensuring project choices are informed by a better inclusion of costs and benefits.

Some key issues in utilisation of the lesson

The guidelines as developed by CSIR and partners remain as good practice. Legislative requirements throughout the SADC region are such that the process of project appraisal need not necessarily include HIV and AIDS and a clear indication of how negative impacts will be addressed. Even among the Member States that participated in the project the hope has been that those proposing projects or requesting EIAs will show a preference for proposals that reflect a more thorough process that includes attention to HIV and AIDS. Member States participating in the project expressed the view that the inclusion of HIV and AIDS in EIA should be part of regional guidelines on EIA and also be included in Member States national guidelines. To move to this level, regulatory instruments governing EIA may need to be revisited.

A further concern has been the relative weakness of follow-up on implementation of EIA mitigation measures after projects have been approved¹⁰. The EIA impact mitigation plan offers a good framework for collaborative actions across sector interested/mandated to act on different aspects of HIV and AIDS.

¹⁰ Reference SA study



4.3.2 Lesson 2: Selecting the right partners is critical for strengthening the utilisation of guidelines

In designing the project, selecting partners and the implementing the project, CSIR made a number of strategic decisions that have been instrumental not only in the success of the project in developing EIA guidelines but also setting in motion the processes of adoption and utilisation of the guidelines by practitioners and regulatory authorities. Key to this process was the selection of the right partners and strategy. The main factors facilitating the choices made are discussed below.

Understanding of the problem and setting appropriate objectives

CSIR identified the problem faced by SADC as one of lack of knowledge on how to incorporate HIV and AIDS into EIA for the water sector. In defining the problem, the focus was on knowledge of 'how-to' and this was recognised as consisting of two elements, namely: lack of appropriate guidance and tools, and a lack of relevant skills and experience. CSIR proceeded to develop its work with both of these elements in mind, hence the twin objectives of guidelines and use skills. In designing the project in this way CSIR took into account lessons from processes that have changed the content and process of EIA globally, that is, a) building a consensus around a concern, b) building a cadre of practitioners whose work sets a standard in relation to the particular concern, and c) the eventual modification of relevant regulations to reflect the new standard. In the history of EIA, the regulatory requirements have always emerged from the concerns that are important to a country or group of countries.

Selecting the partners to work with

CSIR, despite its own high level of credibility in EIA did not seek to singularly lead the development of the guidelines and run training courses. Instead, partners whose regular work involves training in EIA were brought on board and responsibilities shared with them. The collective experiences of the three institutions were brought together to facilitate a more rapid, effective and efficient process. By carefully selecting actors (a regional association, an academic institution and private sector EIA consultants) the project ensured not only a good mix of views and experiences but also set the groundwork for further learning and utilisation the guidelines developed.

SAIEA and UB have capacity and offer courses in EIA that incorporate the guidelines for HIV and AIDS inclusion. The three-way partnership together with the availability of training materials has ensured that personnel changes have not eroded the available capacity for advancing the inclusion of HIV and AIDS in the EIA process. In 2006, SAIEA ran two courses on HIV and AIDS in the EIA process. The Institute continues to offer on-demand training.

Ensuring continuity through institutionalising project outputs

The contribution of the project to participating Member States has been much broader than the water sector. Through the courses run by SAIEA, the reach of the courses has been opened up to include other SADC Member States but uptake remains low with only two courses having been run in 2006 (both were in two of the four pilot Member States). Nevertheless, the fact that the short course developed by the project has homes in SAIEA and University of Botswana ensures that when other SADC Member States are ready to utilise the project experience, they will have access to training materials, personnel who have run the courses several times and a growing body of application experience within SADC.

4.3.3 Lesson 3: Internal project management arrangements can be used to strengthen ownership across member states

In addition to carefully setting project objectives and strategically selecting partners, CSIR managed the project in a way that contributed to immediate outputs and outcomes and set a positive tone for future developments on HIV and AIDS in the EIA process. Important



observations were made on how implementation processes were used to minimise project risks and enhance ownership, accountability and project profile both within and beyond the four implementing Member States.

Recognising project risks and using project management to mitigate risks

The technical basis for the proposal submitted by CSIR was sound and it is very likely that the project would have received support even without bringing on board the other partners. However, with a focus on the long-term, CSIR opted to work with strategic partners. Having brought the partners on board, CSIR developed a project management framework that addressed a number of risks to long-term success. The major risks were:

- a) That the project could be centralised at CSIR and receive limited commitment from partners
- b) That the project could fail to build a profile in the participating Member States leading to poor appreciation of its outputs
- c) That, in partner organisations the project could be driven by individuals rather than institutions leading to difficulties in institutionalisation
- d) That the project could lead to greater awareness, skills and demands within water management institutions without adequate external capacity to meet the demands.

Using project implementation to reinforce shared responsibility

A management system that created a technical reference group widened accountability and ensured that all aspects of the project stayed on course. Membership of the reference group was drawn from institutions that deal with water resources, HIV and AIDS and environmental management in Botswana, Lesotho, Swaziland and South Africa. Further incentives for timely delivery were created through spreading responsibility for hosting different stages of the project between countries. In this way, a hosting Member State had to ensure that it was up-to-speed ahead of an event it would host. The adherence to the project plan became the business of all partners.

Using project implementation to create visibility and create a supportive environment for the next steps

By taking different project components to different Member States opportunities were created for the concerns of the project to gain prominence in each country. This not only created visibility and interest in the topic but ensured the individuals engaged in the process in each country did receive peer support for their in-country advocacy work.

By giving University of Botswana the responsibility of hosting short courses the project further strengthened institutional commitment to the process. The University identified with the courses and plans were made to adjust the curriculum for EIA courses to include a focus on incorporating HIV and AIDS.

Balancing the creation of demand with supply

Between the three partner institutions there was adequate capacity to deliver the project objectives. Instead, a decision was made to involve private consultancy firms in the countries in research, production of guidelines, and the development of course materials and training courses. The involvement of the private sector was recognition that in addition to increasing the knowledge and tools at the disposal of water sector management agencies, the effective use of the tools would be driven by the presence of a private sector that is aware and has the capability to use the tool developed.



5 IMPACT OF THE PROJECT

This section of the report examines the impacts that already exist from implementation of the project, the added dimension of the lessons learnt on the impact and the anticipated eventual impact of the project.

The approach and strategy adopted by the Grant Beneficiary was sound and effective. High quality guidelines were developed; the University of Botswana modified its curriculum and continues to work towards becoming a centre of excellence in the region on mainstreaming HIV and AIDS in the water sector, the SAIEA continues to offer short courses to strengthen the utilisation of the guidelines developed. Although there is as yet limited evidence of the knowledge and skills created being utilised in the region, the situation can change.

The materials produced will gradually find wide recognition as more regional and global actors become aware of the availability of the resources, the number of skilled individuals will continue to grow, and the capacities built in countries will find use. In the long-term, the project outputs will have an impact on the content of EIA across sectors. The tools and experiences generated by the pilot will find wider use in the SADC region and beyond. The challenge for the SADC region is how to rapidly spread awareness and utilisation of this tool.

An important element of the project that is salient is its implication for funding HIV and AIDS activities in 'high risk' zones created by projects ranging from construction to development of major traffic routes and tourism developments. Through requiring every project to undertake an EIA that includes HIV and AIDS and develop a mitigation strategy for the component, the process of mainstreaming HIV and AIDS in all sectors will be strengthened. Further, through their impact mitigation strategies, projects will make direct investments in the response to HIV and AIDS thereby absorbing more of the societal costs they create. This emphasis will change project contributions from mere corporate social responsibility activities to negotiated long-term commitments. The process of EIA will open up discussions between communities and project sponsors on an aspect of corporate involvement with communities that has often been viewed as charitable.

6 TRANSFERING PROJECT LESSONS TO MEMBER STATES AND THE SADC SECRETARIAT

The lessons presented in this report are two-fold; the contribution of the project to knowledge and skills for incorporation of HIV and AIDS in the EIA for the water and other sectors, and good practice in project management. This section presents guidance on possible next steps and how they should be conducted.

6.1 Basis for Transference/Replication/Scale up

There are several reasons and targets for the transference of the lessons from this project. The reasons include the following:

- i. The project has developed the tools to guide more complete EIAs that take into account a more holistic picture of project impacts
- ii. Similar guidance for EIA does not exist. Where HIV and AIDS have been considered, there have not been any tools offered that are as comprehensive
- iii. The tools developed are useful for the water sector and across sectors
- iv. The tools and skills address a gap that exists throughout the region and across sectors
- v. The tools have the potential to reshape legislation on EIA requirements throughout the SADC region



- vi. The tools provide a sound basis for project promoter engagement with communities affected by the project creating a shared responsibility for the costs and benefits of projects.
- vii. The tools offer scope for collaboration between project promoters and organisations dealing with HIV and AIDS.
- viii. Knowledge about the tools developed still has to be expanded within the four Member States involved in the pilot and to other SADC Member States

The process of transferring the lessons from this project should have as its targets the following:

- SADC Ministers responsible for the environment
- Various Member States bodies responsible for overseeing EIAs
- Stakeholders involved in the implementation of large-scale projects
- Private sector consulting firms, and
- Trainers in EIA (including academic institutions)

6.2 Principles to guide transference

The process of transferring lessons from the pilot will require some guiding principles. Based on the experiences of the project to date as well as practice in promoting similar changes to EIA, the principles should include the following:

Building on existing EIA guidelines in Member States and accepting diversity of needs

The promotion of the EIA guidelines produced by the project should be viewed as an opportunity to build on existing EIA guidelines in the different Member States. With such a perspective, different Member States should have the flexibility to decide how best the guidelines serve their needs. In some Member States the guidelines will provide a tool for operationalising an existing framework while in others they will offer a framework for debating and developing a broadened framework for EIA.

Focusing on an integrated EIA process

Experiences will differ between Member States. The guidelines should be promoted as a tool and process for an integrated assessment. Most SADC countries are unlikely to have separate guidelines and tools for different components of a comprehensive EIA. The focus on an integrated EIA will assist with identifying support needs both in the learning and adoption of the expanded EIA and in understanding and developing a supportive legislative framework should a Member State be interested in doing so.

Promoting learning and documentation to set a sound basis for legislative recommendations

Owing to the inclusion of HIV and AIDS being a learning process, not just for the region but globally, emphasis will have to be placed on a continuous learning process. Such a process should both impart knowledge and skills and accommodate new knowledge and experiences.

Strengthening training capacity in each Member State

Capacity strengthening for the use of the guidelines should be such that each Member State has capacity to drive its own internal reflection on the guidelines and their application. Strengthening such capacity will ensure both expanded local capacity development as well as collation of experiences to inform regional practice. The operative approach should be the gathering of experiences from diverse application contexts that allow for rapid refinement.

Providing space for exchange of experiences

The guidelines have a reach that is beyond the water sector. Utilisation of the guidelines within the water sector throughout the region as well as their utilisation across sectors will bring up new experiences. A regular forum for the exchange of such experiences will need to be in place to

assist a rapid convergence of knowledge in application of the guidelines across member states and across sectors.

Retaining the management approach used by CSIR and its partners

The management approach adopted by CSIR for the project enhanced delivery of the project outputs and created many opportunities for Member State engagement with the project. In transferring and scaling up the lessons from the project, the use of reference groups, which can be organised by sector, broad participation including regulatory authority personnel, HIV and AIDS experts and private sector firms, and rotational hosting opportunities should be adopted.

6.3 Challenges in the transference of lessons

The process of transferring the lessons from the pilot will need to overcome a number of operational challenges to be effective.

Need to obtain up-to-date information on status and changes in EIA across countries in response to HIV and AIDS

Up-to-date information on EIA practices across sectors will need to be gathered. The gathering of such information may be a costly undertaking, particularly in those countries where an EIA network does not exist.

Need to gather experiences of early adopters to further guide planning and content

Early adopters of the EIA guidelines from CSIR and partners will have emerging experiences that need to be gathered and used to inform the transference process. Key will be the systematic gathering of information from trained practitioners so as to inform the design of the follow-up project. The information gathered will need to include that on acceptance, practice, importance in adjudication, experiences with follow-up implementation of mitigation measures, and analyses of interactions with existing regulatory requirements.

Need to secure political interest and support for the EIA process

To be able to make progress the guidelines will need to gain political interest and support. There is a real risk that the internalisation of HIV and AIDS related costs in projects may make projects more expensive to implement and reduce their rate of return. Variations in practice in this regard would make projects in some countries more expensive than in others. This consideration and the fact that EIA also has to be applied to regional projects make the need for a standard approach throughout the region imperative. Thus, the scaling up phase may need to have an on-going regional process building on emerging practice to develop standard regional guidelines of modification of existing guidelines. The political support will also be necessary to support rapid adoption by individual Member States.

Need programme funding

Programme funding will be necessary to support the process of improving EIA knowledge and practice. Securing the funding will be difficult largely due to HIV and AIDS being viewed as a responsibility of the national AIDS councils or their equivalents and in some cases the responsibility of the ministries of health. The EIA process is challenging in this regard. It must draw in knowledge and expertise from so many sectors and relies on either the commissioned party to put together the resources for the conduct of the process. The learning function remains largely unaddressed beyond the specific needs of private sector practitioners and often such needs are narrowly defined to address only what regulatory authorities require. Transferring and scaling up the lessons from this pilot requires new learning, a service that finds limited currency in EIA without an active push. The most practical way to finance such learning will be for the SADC Secretariat to secure project funds for the activity.



6.4 Guidelines for Transferring Project Lessons

This section of the report presents some guidelines for the transference of the lessons from the pilot implemented by CSIR. The guidelines are designed to address three critical steps in initiating the process of transference.

A. SADC Secretariat

1. The SADC secretariat should convene a regional workshop on EIA and HIV and AIDS in Southern Africa

A high level SADC workshop on EIA and HIV and AIDS should be convened by the SADC Secretariat to improve awareness of the need for integration of HIV and AIDS and the pilot project that has produced the guidelines for incorporating HIV and AIDS. The workshop should provide a forum for experience sharing from the Member States that undertook the pilot and for the development of a regional roll-out plan.

2. Secure funding for transferring lessons

The SADC Secretariat should secure funding for an expanded project. The project would form a good opportunity for SADC and EU to continue the partnership on initiatives that make a difference on HIV and AIDS in the region. It is both an opportunity to utilise created capacities and to expand the difference made. The outputs of this process will have global significance potentially serving as a guide or model for other regions on incorporating HIV and AIDS in EIA.

3. Involve all SADC Directorates in all the next steps

At Secretariat level, the project should involve all directorates. The EIA guidelines cut across sectors and HIV and AIDS is a responsibility that all sectors have. It is important for all directorates to have a good appreciation of the implications of the guidelines in order to ensure that they are prepared for support roles that may arise during implementation.

4. Establish a technical reference group

Offer CSIR, SAIEA and University of Botswana the opportunity to form the nucleus of a technical reference group for the region. The technical reference group should have primary responsibility for the technical content of the project. The membership of the group should be expanded to include other EIA training institutions in the region, some regulatory authority personnel and private sector providers of EIA services.

5. Establish a management committee

A management committee should be established that will oversee project management. The management committee should include members of the technical reference group as well as Member State representatives from all Member States.

6. Assign responsibility for training of trainers

SAIEA should be appointed lead trainer for a training of trainers' component that should build capacity for the application of guidelines across sectors and in all member states. Through the provision of such training a common starting point for learning across sectors and Member States will be established.

7. Include a research and documentation function in the project

A research and documentation function should be included in the project to support the work of the technical reference group. Part of the responsibility of the function should include conducting studies that inform project directions. Such studies should include reviews of regulatory requirements for EIA in the Member States and capturing experiences from



participants in the pilot phase of the project to provide continuous learning material for the project.

8. Support the convening a regional annual/bi-annual conference on EIA

SADC should provide support to the convening of an annual or bi-annual regional conference on EIA. The conference will allow for an expanded reflection process open to all interested stakeholders and partners. The conference will allow both project driven processes and independent reviews of EIA practice to come under scrutiny, compare experiences, and set future directions. It will also serve as a learning opportunity for other regions.

B. CSIR, SAIEA and University of Botswana

1. Track progress of past course participants and experiences of private sector practitioners
CSIR, SAIEA and University of Botswana should develop mechanisms for tracking the work of previous work participants. Options may include creating a web-based network of past trainees and private sector practitioners. Such a network will allow the partners to keep track of developments and emerging trends that could form the next phase of the agenda for the project.

2. Improve visibility of University of Botswana as a 'centre of excellence' in mainstreaming HIV and AIDS in the EIA

The University of Botswana has not received the level of profile that would be expected from the quality and relevance of project outputs. This has in large been due to the project partners leaving the follow-up work necessary to promote project outputs to SADC. The partners need to take greater responsibility and have SADC support the initiative rather than drive its progress.

3. Jointly organise a summer school on EIA

To promote the exchange of experiences in the region and expand availability of learning opportunities to more actors in the region, the three partners should consider running a summer school.

C. SADC Member States

1. The guidelines offer SADC Member States an opportunity to make better choices between projects.

Utilising EIA guidelines that mainstream HIV and AIDS will allow Member States both the opportunity to select projects that cause the least hardship to communities and to require each project to have an impact mitigation strategy that helps to reduce the transfer of social costs of projects to the state.

To capture the benefits of the guidelines, Member States may need to:

- examine the adequacy of regulatory requirements for EIA to accommodate as a requirement an impact mitigation plan for HIV and AIDS
- Examine the adequacy of working arrangements between different specialist sectors to ensure an effective process
- Ensure that personnel responsible for overseeing EIAs and approving projects have received adequate training and are supported by adequate administrative arrangements, and
- There is an exchange of experiences between Member States and work towards a common Regional Standard for EIA.



2. Make good use of developed expertise

The project has delivered expertise and guides. The responsibility to ensure that these are used to benefit Member States lies with the Member States themselves. While CSIR and its partners may seek funding to run courses, the courses must demonstrate that they address a felt need in the region. Two developments would augur well for the use of project outputs:

- a) Member States can indicate an intention to adopt standardised EIA procedures that address HIV and AIDS. This measure alone will prompt among EIA service providers a quest for skills leading to an inflow of resources to support the training.
- b) Member States can facilitate access to the training by key personnel involved in appraising projects.

The demand from the two sides would allow CSIR and partners to run the courses and possibly generate sufficient resources to support learning activities that will further inform Member States on future steps.

7 CONCLUSIONS AND WAY FORWARD

The project on incorporating HIV and AIDS in the water sector through environmental impact assessment has produced outstanding results that have a global significance. The recognition and development of the potential for the guidelines has however been slow. The outstanding challenge for SADC is to improve recognition of this potential and utilise it. The guidelines will be found to be useful not only in screening projects but also in having projects propose impact mitigation plans. The mitigation plans will bring about greater utilisation of existing knowledge about some of the drivers of the epidemic and better collaboration across sectors.

The inclusion of HIV and AIDS in project appraisals would re-energise the analysis of impacts of various projects and what the projects need to do to minimise negative impacts and how legislative and administrative arrangements can contribute to the minimisation of HIV and AIDS impact. An experience such as those that prevail on the region's major transport routes where measures to reduce the spread of HIV and AIDS have been an add-on over the years can be avoided. It is worth noting that even in these add-on initiatives the responsibility has largely been borne by actors other than those whom an EIA process would have placed at the centre of the discussion. Today, one of the biggest factors contributing to the spread of HIV and AIDS at border crossings is the variation in processing time which ranges from a few hours in some countries to several days in others. A stronger EIA process offers greater incentive for sensitivity to the implications of organisational behaviour as it punishes inefficiency by forcing organisations to internalise the social costs of its actions.

Taking this project to scale is an opportunity to change the way in which HIV and AIDS is addressed in the region. It will shift the contributions of the private sector and other large projects away from charitable acts to delivery on obligations.

The realisation of the potential of the project is within the scope and capabilities of SADC and conditional only on will and financial resources. A plan on how the project can be developed further and implemented has been proposed here and it is noted that this project offers a good and rewarding opportunity for SADC and EU to continue their partnership on interventions that will, in relation to HIV and AIDS, make a difference to the populations of Southern Africa. In the case of this particular project, the difference will be felt beyond the SADC Region. As with other areas of the HIV and AIDS response, Southern Africa must generate experiences that assist those whose epidemics are growing to learn and achieve greater effectiveness.



8. ANNEXES

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8.2 List of Persons Consulted

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Mr K. Keatimilwe	CSIR	Former Project Manager
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