



EXTERNAL EVALUATION OF UN-HABITAT'S WATER AND SANITATION TRUST FUND

PART 1: SYNTHESIS REPORT

2011



UN HABITAT
FOR A BETTER URBAN FUTURE

EXTERNAL EVALUATION OF UN-HABITAT'S WATER AND SANITATION TRUST FUND

PART 1: SYNTHESIS REPORT

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UN  **HABITAT**

External Evaluation of UN-HABITAT's Water and Sanitation Trust Fund

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Acronyms

LIST OF ABBREVIATIONS

AfDB	African Development Bank
AMCOW	African Ministers Council of Water
APMCHUD	Asia Pacific Ministerial Conference on Housing and Human Settlement
CA	Cooperation Agreement
ENOF	Enhanced Normative & Operational Framework
LWW	Lake Victoria Water and Sanitation
MDG	Millennium Development Goal
M&E	Monitoring & Evaluation
Microsan	Micro credit for Sanitation
MoU	Memorandum of Understanding
MSF	Multi Stakeholders Forum
MTSIP	The Medium Term Strategic and Institutional Plan
NGO	Non Governmental Organization
OIOS	Office of Internal Oversight Services
SEAMEO	South-East Asia Ministers of Education Office
UNDP	United Nations Development Programme
UNON	United Nations Office in Nairobi
WAC	Water for African Cities Programme
WAC	The Water for Asian Cities Programme
WASH	Water, Sanitation and Hygiene
W & S	Water and Sanitation
WSTF	Water and Sanitation Trust Fund
WATSAN	Water and Sanitation



Executive Summary

During the WSTF's Advisory Board meeting in 2010, the Government of Norway announced its intention to undertake an external evaluation of its support to the Trust Fund. Subsequently, the Governments of Norway, Spain and the Netherlands, in collaboration with UN-HABITAT, decided to undertake the evaluation jointly.

The purpose is to “to contribute to refinement, adjustments and improvements in the Trust Fund’s directions and practices”. The evaluation should be formative and forward looking, strategically-focused, build on existing information and evaluations and recognize the special situation for the Trust Fund – as funding from 2011 has been severely reduced and the Fund needs to reassess its role and make decisions about future direction.

The report consists of four chapters discussing to what extent WSTF has four characteristics which determine its performance:

- The ability to articulate and maintain an identity reflecting the purpose and strategies of WSTF and the comparative advantage of UN-HABITAT.
- The ability to organize and establish effective systems and procedures and ensure that human and financial resources are adequate.
- The ability to work effectively with and through partners.
- The ability to deliver and achieve results.

The final chapter presents the main conclusions and recommendations.

The evaluation used four different methods to collect data and information: (a) review of documents, (b) interviews with UN-HABITAT staff and key stakeholders, (c) visits to selected regions and countries (Mekong, Lake Victoria and India) and (d) a web-based survey obtaining feedback from staff and partners in all partner countries.

The team was requested to prepare a short synthesis. Such a report will not do justice to the broad and rich experience of the Trust Fund. The synthesis seeks to focus on issues of strategic importance. Hence, it is supplemented by regional and country studies providing more in-depth information and analysis. The studies can be found in Part 2 of the report and a summary in Annex 6 in this synthesis.



MAIN CONCLUSIONS

POLICY AND STRATEGY

The WSTF strategy and activities are highly relevant by focusing on water and sanitation - fundamental prerequisites in urban slum development, targeting the vulnerable and often neglected populations in small urban centers and poverty pockets in larger cities, forging a wide range of partnerships, focusing on innovation, learning and replicable models for dissemination and use and operating at global, regional and country level with combined operational and normative interventions.

WSTF was originally designed as a demonstration and pilot-testing programme but has spread its resources more widely, making it difficult to achieve impact in a few areas and in areas most relevant for learning and replication.

WSTF has prioritized the roles as model tester and service provider at community and municipal level in the Water for Cities programme and the two replicable model-setting initiatives.

The programme has played other roles to a varying extent:

- Gradually been involved at national level in sector reform processes, but sporadically and not as part of a strategic effort.
- Successfully supported regional and country network building – using its “convening power” as a UN agency.
- Been more involved in the application and testing of tools and methods than in applied research and generation of new knowledge.
- Maintained a strong operational focus in country and regional programmes, while the learning aspects have been weaker and not sufficiently integrated

in the operational work.

Given the limited financial resources, WSTF currently revolves around too many thematic areas and focus is somewhat blurred between normative and operational activities, learning/ documentation, software and hardware, global and regional/country programmes.

PROCESSES AND RESOURCES

The Trust Fund has helped establish a strategic programmatic approach with agreed and simplified planning and reporting procedures.

The Trust Fund has secured significant contributions from bilateral donors since 2004 (approximately USD 120m million) and 75 per cent of the funds have been provided as un-earmarked resources providing WSTF with important flexibility. The expected budget for 2011 was approx. USD 15million, but has been reduced with two thirds to USD 5million.

The withdrawal of support from the Government of Spain creates considerable reputational risks for the programme. WSTF has signed agreements which will either have to be cancelled or drastically reduced.

The multi-donor support to the Trust Fund has gradually been eroded as only the Norwegian Government provides currently core resources to the Fund.

WSTF is project- and activity-driven, partly as a result of how the programme is funded. Country strategies are missing and these would provide an overview of what WSTF does, why, with whom, how and where.

WSTF does not have a strong global monitoring and evaluation system which

would be learning tools to assess progress and performance on a regular basis in order to analyse what works and what doesn't.

PARTNERSHIPS

WSTF has successfully established a broad range of partnerships with governments, civil society, private sector, development banks and other donors.

However:

- There is scope for strengthening WSTF's participation in development partner coordination at country level.
- WSTF could have played a stronger role as "strategic influencer" at national and sector level.
- The partnerships between WSTF and the regional banks have been of mutual benefit and importance but more in programmatic than financial terms. The programme has helped fast track loans and given them more pro-poor qualities.
- WSTF should maintain its autonomy in all partnerships to analyse critically what works and what doesn't and support innovative learning.
- WSTF has, to a large extent, established its own presence in countries with Chief Technical Advisors and kept only formal communication lines with RTCD and UN-HABITAT's regional and country offices.

ACHIEVEMENTS AND RESULTS

What UN-HABITAT can do is to "facilitate and catalyse" change. The contribution of UN-HABITAT should, in many cases, be

measured by means other than numerical indicators and long-term MDG impact.

Major stakeholders rate WSTF's performance as very high. A general response is that projects are making a substantial and direct impact from a relatively small investment. The projects are considered good value for money and a leverage effect on follow-up and complementary investments.

The programme has supported several global normative activities. Another type of evaluation would have been required to measure results of global and regional advocacy activities and documenting the results of capacity building.

WSTF has prioritized and achieved the best results as a model tester and service provider at community and municipal level. The programme has achieved significant results at community and municipal level.

However:

There is no information on long-term impact - mostly on outputs and outcomes at project level. It is not feasible to measure aggregate results at country, regional and country levels.

WSTF has supported a broad range of training events and prepared and introduced technical tools and guidelines





but with limited systematic information about impact.

The level of involvement in research and generation of new knowledge is relatively limited, but with interesting examples.

The Lake Victoria Programme has successfully continued in a new phase with a new donor with replication in other towns. However, there is no systematic information about model replication in other programmes and countries which would have been interesting in a programme with model replication as an explicit objective.

RECOMMENDATIONS

TO WSTF SENIOR MANAGEMENT:

- Prepare a paper to be discussed with the Advisory Board assessing the current status of the programme and presenting alternative scenarios.
- **Consider the advantages and disadvantages** of three alternatives future directions:
 - * A re-establishing approach – with the aim to identify new donors and mobilise new resources in order to re-establish the programme at the “normal” level of funding. In this scenario, the current profile and balance between roles and interventions will be maintained including the number of staff.
 - * A status quo – but lower level approach - with the aim to continue with the same profile and mix of programmes, but at a much lower level. Some activities may be cancelled, but most normative and operational programmes will continue.
 - * A re-focussing strategy – with the aim to identify a few core programmes in which WSTF should invest its resources while a large number will be left out.
- This evaluation recommends the third strategy and advises WSTF to consider the following options:
 - * Reduce the number of operational regional and country programmes, in particular the size of the capital investment components.
 - * “Regionalise” and make the operational programmes more autonomous in close consultation with the Regional Offices.
 - * Maintain the field testing and “real life” laboratory function in cooperation with research institutes in a few selected geographic and thematic areas.
 - * Reinforce efforts to establish a system for global and national monitoring of W&S indicators and achievement of MDGs.

- * Strengthen the learning and documentation component of the programme in cooperation with universities and research institutes.
 - * Strengthen global advocacy, networking and preparation of guidelines and technical tools. If necessary, reduce the direct involvement in capacity building.
 - * Intensify engagement with other UN partners in formulation of programmes.
 - * Strengthen the involvement in national policy and sector reform processes.
 - * Don't do what NGOs and others can do better and more efficiently.
 - * Continue with capacity building of local partners, preferably through long-term coaching rather than short-term training sessions
- * Continue partnerships with the regional banks, while maintaining its independence and integrity as a UN organisation.
 - * Review existing human resource capacity and expertise based on the requirements of the new strategic priorities.

For UN-HABITAT and WSTF Senior Management

- Review the existing organisational and divisional structure and explore how the Urban Water and Sanitation Branch can maintain its strengths and develop stronger horizontal linkages with other parts of the organisation.
- Restate and if necessary rephrase the importance of water and sanitation within the broader agenda for sustainable urban development.
- Discuss the role and viability of Trust Funds in general and WSTF in particular.



For the WSTF Advisory Board

- Ensure that WSTF's future role in UN-HABITAT is discussed in the Committee for Permanent Representatives and other appropriate fora.
- Provide professional and financial support to ensure a smooth change/transition of the programme.
- Continue funding (of particular importance for the Government of Norway) in order to protect investments and ongoing activities, reduce negative effects and allow a repositioning of the Trust Fund.
- Discuss the future viability of the Water and Sanitation Trust Fund.



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1 Introduction

1.1 BACKGROUND AND PURPOSE

During the Water and Sanitation Trust Fund's Advisory Board meeting in April 2010, the Government of Norway announced its intention to undertake an external evaluation of its support to the Trust Fund. Following this call, the Governments of Norway, Spain and the Netherlands, in collaboration with UN-HABITAT, decided to undertake the evaluation jointly.

According to the Terms of Reference¹, the purpose of the evaluation is to “to contribute to refinement, adjustments and improvements in the Trust Fund's directions and practices”. It should also provide UN-HABITAT, the Trust Fund's donors, recipient countries and other stakeholders with recommendations for future action.

The assessment should encompass the entire Trust Fund activities from 2004-2010, including the global normative activities, the Lake Victoria Water and Sanitation Initiative and Mekong Region Water and Sanitation Initiative.

The evaluation should be:

- Formative and forward looking – synthesise and assess results and lessons learned until now, but also suggest changes in design, mode of implementation, governance and management.
- Strategically-focused - assess the relevance and effectiveness of policies, processes, partnerships and results and not specific interventions. Issues of financial management should not be discussed since an

audit was carried out recently.

- Building on existing information and evaluations – in particular the Mid-Term Review, the more recent impact studies and available progress reports.
- Recognizing the special situation for the Trust Fund – as the funding from 2011 has been severely reduced and the programme needs to reassess its role and make decisions about future direction.

1.2 ANALYTICAL FRAMEWORK

The team prepared a framework for structuring the evaluation process suggesting that the Water and Sanitation Trust Fund needs four key abilities to achieve its overall objectives²:

- The ability to articulate and maintain an identity reflecting the purpose and strategies of WSTF and the comparative advantage of UN-HABITAT. It is essential that the programme articulates clearly what it wants to achieve including its “added value”. The programme should be relevant, technically sound and sufficiently focused with an appropriate balance between various roles and activities.
- The ability to organize and establish effective systems and procedures and ensure that human and financial resources are adequate. It is important that WSTF has effective systems and procedures for translating objectives into activities. The programme must also have access to sufficient financial resources

¹ Annex 1.

² The framework is explained in more detail in Annex 3.

and the “right” staff in order to effectuate a pro-poor, gender and rights-based programme.

- The ability to work effectively with and through partners. With limited resources, the Trust Fund needs a broad range of partners – donors for providing financial resources, technical partners providing advice and coordinating and implementing agencies. In order to succeed as a catalytic and innovative initiative, the selection of partners is crucial.
- The ability to deliver and achieve results. Good policies, processes and partners are necessary, but no guarantee for making a difference at national and local levels. The Trust Fund should be able to deliver, measure and document short- and long term results.

1.3 TEAM AND METHODS

The evaluation has been carried out by a team of four international and two regional consultants:

- The Government of Norway selected the Principal Consultant (Stein-Erik Kruse) responsible for the overall coordination and preparation of the synthesis report. He was supported by another Norwegian evaluator (Zozan Kaya).
- The Government of the Netherlands selected an international consultant (Anton Rijdsdijk) responsible for Lake Victoria and the Mekong regions supported by consultants in the respective regions (Susan Keyatta and Danh Soan).
- The Government of Spain identified the international consultant responsible for Latin America and the Caribbean (Hugo Roche).

A Steering Group commissioned the evaluation and has been responsible for its oversight. The group consisted of the Director of WSTF, representatives from the Governments of Norway (chair), the Netherlands and Spain. They have reviewed and accepted the Inception Report, discussed and commented on the draft report and approved the final report. The WSTF provided logistical and administrative support to the evaluation team.

The evaluation has used the following methods for collecting data and information:

- Review of documents before and during the review.³
- Interviews with UN-HABITAT staff and key stakeholders.
- Visits to selected countries and programmes⁴.
- A web-based survey obtaining feedback from staff and partners in all partner countries⁵.

The evaluation process started with reviewing relevant documents. The team then prepared an Inception Report – presenting the consultant’s interpretation of its task, aiming to focus the assessment on a set of strategic issues and questions.

The team then met in Nairobi to agree on a common approach to the evaluation and conduct the initial interviews with UN-HABITAT staff.

Four regional/country visits were carried out:⁶

- The Lake Victoria programme – including visits to Kenya, Uganda and Tanzania.

³ Annex 2

⁴ All the case studies are presented in Part II. A summary can be found in Annex 6 of this report.

⁵ A summary of the feedback of the survey can be found in Annex 5.

⁶ See case studies: Part 2



- The Mekong programme – including visits to Laos, Vietnam and Cambodia.
- The Latin American programme – including visits to Bolivia, Nicaragua and Mexico⁷.
- The India programme – including visits to Delhi, Indore, Bhopal and Gwalior.

Team members briefly visited Ghana and Zanzibar and attended the African Water Week in Addis Ababa in November 2010.

The Principal Evaluator prepared the draft synthesis report based on regional and country studies which was subsequently reviewed by all team members and discussed in the Steering Committee. The final report was completed based on their comments.

1.4 LIMITATIONS

The team has not visited all countries supported by WSTF. Consequently, the analysis, findings and conclusions may not be applicable to all programme countries. The comprehensive web-based survey was supposed to provide global feedback from all programme countries and increase the

external validity of the findings. However, the response rate was relatively low. The feedback is interesting, but there are limitations in using self-assessments.

Several projects are still being implemented. Hence, it is premature to expect long-term objectives to be achieved and that impact is fully documented. Impact is often the result of complex non-linear processes that require a longer time to be properly assessed and understood.

The assessment of results depends to a large extent on the availability and quality of data and information. The short country visits were not sufficient to compensate for gaps and weaknesses in existing data. However, the team sought to check and verify information through the country visits.

The team was requested to prepare a short synthesis report. This will not do justice to the broad and rich experience of the Trust Fund. The synthesis seeks to focus on issues of strategic importance. Hence, it is supplemented by regional and country reports providing more in-depth and specific information and analysis.

The evaluation has focused more on regional and country experiences than the global normative activities and the role of WSTF *vis-à-vis* other international agencies in the W&S sector.

⁷ The regional report from Latin America is included in Part 2, but was submitted too late to inform the synthesis report.

2

Policies and Strategies

This chapter seeks to discuss to what extent the policies and strategy for WST are relevant, clear, well-balanced and focused – providing a solid basis for implementation.

2.1 RELEVANCE OF THE STRATEGY

The overall objective of the Water and Sanitation Trust Fund is: “To promote, facilitate and demonstrate an enabling environment for increased access to affordable water and sanitation services and related infrastructure by the urban poor in partner countries”.

The challenge has been to target problems related to water and sanitation in new urban areas and in peri-urban settlements, housing the urban poor. This is particularly pressing because estimates indicate that, by 2020, approximately 60 per cent of the world's population will live in urban areas. Today, one billion urban residents in the world live in slum conditions, and more than 90 per cent of slums are in cities in the developing world, where urbanization has become virtually synonymous with slum formation. Accordingly, a rapidly-growing number of medium to large cities are striving to meet the demands for water from distant and degraded sources and finding new ways of responding to rapid changes.

Pollution, lack of water supplies and management are factors that contribute further to the escalating urban water crisis. In this context of changing urban/ peri-urban and socio-economic challenges, the Trust Fund has prioritized the following four areas:

- Delivering sustainable services for the poor.
- Ensuring synergy between the artificial and natural environment.
- Monitoring the MDGs and beyond.
- Integrating infrastructure and housing.

The Trust Fund was originally set up to create a symbiotic relationship between operational and normative activities. “The work of the Trust Fund follows two approaches – normative work (mainly applied research) leading to the identification and development of new operational activities and operational programmes leading to the identification and development of normative tools”. In other words, the Trust Fund was primarily conceived as a pilot testing and demonstration programme in order to identify innovations in the water and sanitation sector, test and demonstrate their viability in real life situations and disseminate models with potentials for broader replication.

The Strategic Plan has three outcomes for defining success and measuring performance:

- Increased institutional capacity in partner countries for advocating and implementing pro-poor water and sanitation initiatives and policies with focus of gender.
- Increased flow of investment into water and sanitation sector catalyzed by WSTF interventions.
- Improved MDG monitoring mechanisms in place in partner countries, with improved benchmarking of water and sanitation service providers.

The team finds the strategy highly relevant for a number of reasons:

- By focusing on water and sanitation, which are fundamental prerequisites in urban slum development.
- By targeting the vulnerable and often neglected populations in small poor urban centres and poverty pockets in larger cities. Reaching the W&S-related MDG is a massive challenge in such areas.
- By promoting pro-poor governance strategies and building models of good practice (such as community-based sanitation, water-demand management, innovative water and sanitation approaches and capacity building of communities) for up scaling and replication by national governments and regional development banks.
- By forging a wide range of partnerships with civil society, municipalities and utilities, local and national governments and development partners.
- By focusing on innovation, learning and software development addressing barriers for reaching the poor with sustainable services for widespread dissemination and use.
- By operating at global, regional and country level with combined operational and normative interventions, like programme support, demonstration projects, capacity building, advocacy and resource mobilization.

The recent impact studies concluded that the “WSTF mission is compelling and the scale of need is tremendous. Its focus on solutions to improve sustainable WATSAN service development for the urban poor in cities and towns and in improving gender equality and sector information is widely recognized. WSTF’s focus on solutions to

improve sustainable water and sanitation service development for the urban poor in cities and towns and in improving sector information is widely recognized” (Main Report Impact study 2010).

A similar conclusion can be drawn from the regional/country studies which were conducted as part of this evaluation. Partners are unanimously satisfied with UN-HABITAT. They emphasize that the international clout by virtue of being a UN organization opens doors to other networks. UN- HABITAT has been able to attract both technical and normative expertise which gives it a role as facilitator, network builder and catalyst. Eighty per cent of all the respondents in the stakeholder survey either agreed or strongly agreed that WSTF has a strategy which helps to clarify priorities and addresses priority needs of the urban poor.

Despite these overall positive conclusions, there are dilemmas in the way the purpose of the Trust Fund has been operationalized. More precisely, the programme has not focused sufficiently on its original innovative model-building nature and drifted much further than its original objectives supporting useful, but not essential activities for WSTF. These questions will be discussed through an analysis of roles which WSTF has sought to perform.

2.2 WSTF ROLES

The MTSIP Peer Review suggested defining what roles UN-HABITAT should play and identify results in each of them – recognizing the different criteria of success and helping UN-HABITAT to focus on results within its own special mandate. This evaluation selected five country level and four global roles in order to discuss the most important roles for WSTF, where it has invested most time and resources, and if the balance between roles has been

“right” and in line with what WSTF can and should do as a UN programme.

COUNTRY LEVEL ROLES:

- **Model builder or innovator**, whereby WSTF becomes engaged in innovative and applied research in order to identify and develop new social and technical models for potential replication. This is not the same as doing research, but rather to initiate and fund, to follow closely and receive the results from partners and pilot schemes of an applied research character.
- **Model tester**, whereby WSTF identifies promising technical and social models and brings them out for reality testing in specific country settings. The purpose is not to deliver services, but learn from pilot experiences through systematic monitoring, evaluation and documentation of experience.
- **Policy influencer**, whereby WSTF becomes engaged in national policy and sector reform processes in order to promote pro-poor policies and models that have proved themselves promising.

- **Capacity builder**, whereby WSTF becomes involved in training and strengthening of national institutions in order to prepare for implementation of pro-poor policies and replicable models.
- **Service provider**, whereby WSTF provides administrative capacities and/or financial support for the implementation of projects in order to provide and scale up W&S services.

GLOBAL ROLES:

- **Network builder**, whereby WSTF starts and initially convenes and coordinates a regional and/or global initiative bringing together partners in the area of water and sanitation for sharing of experiences and learning.
- **Advocacy** is a role, whereby UN-HABITAT proactively tries to influence the global agenda in water and sanitation and external partners.
- **Monitoring**, whereby WSTF seeks to establish and strengthen national and global mechanisms for monitoring MDG progress and achievements.
- **Resource mobilizer**, whereby WSTF leverage catalyzes increased flow of investment into the water and sanitation sector.

Roles	1	2	3	4
Country Level:				
Model builder	x			
Model tester			X	
Policy influencer	x			
Capacity builder			X	
Service provider				x
Global:				
Network builder			X	
Advocacy		X		
Monitoring	x			
Resource mobilization		X		

What roles have WSTF prioritized and where has it achieved most results? The table summarizes the team's assessment (1= low – 4= high):

FOCUS ON LOCAL LEVEL MODEL TESTING AND OPERATIONAL SERVICE DELIVERY

WSTF has prioritized the role as model tester and service provider at community and municipal level through the Water for Cities programme and the two replicable model setting initiatives. The emphasis has been "down stream". The largest share of resources has been invested at sub-national level – in communities, small towns and cities. Sixty per cent of the total budget in 2009 was spent on country-level operations and 11 per cent on global normative work. There has also been a focus on delivering water and sanitation services. In Lake Victoria, physical implementation has absorbed 86 per cent of the budget but capacity building only 5 per cent. In the Mekong region, the ratio is 84 per cent and 3 per cent.

Acknowledging regional and country variation, the impact studies compared WSTF's work "to that of a highly effective NGO, using its flexibility to seek out interesting and relevant projects and focusing on immediate impacts on the ground, rather than proceeding from a thought-out strategy and operating as the government's lead partner in addressing the medium- to longer-term challenges of the urban poor" (Main Report Impact Study 2009).

This local-level community focus is, to a large extent, in line with the recommendations from the Mid Term review which preceded the preparation of the new strategy. The review recommended strongly "the need to maintain a very clear focus around the key theme of good governance, with water and sanitation projects acting as

entry points for a community-based and community-led approach. Linked to this is the importance of partnerships with local government authorities, with NGOs and with community groups themselves" (Mid-Term Review 2007).

There is evidence that WSTF has gradually been more involved at national level and in broader sector reform processes. There is also regional variation, but the "upstream" focus was a secondary concern both in the mid-term review and the subsequent strategy. That key staff has a strong programmatic interest and engineering background has also been important in shaping the profile of the programme.

REGIONAL AND COUNTRY NETWORK BUILDING

WSTF has successfully supported regional and country network building – using its "convening power" as a UN agency. The programme has initiated and coordinated several regional and country conferences and provided technical inputs in others. UN-HABITAT has established itself as *the* urban water and sanitation agency, also through the Global Water Operator Partnership.

Examples of regional conferences

- 1st Meeting of East African Community Ministers of Water and the Development partners of the UN-HABITAT Lake Victoria Region Water and Sanitation Initiative, Nairobi, Kenya, 2008.
- Ministerial Conference on "Scaling Up of the Lake Victoria Water and Sanitation Initiative" Entebbe, Uganda, 22 – 23 April 2000.
- African Water Weeks (26-28 March 2008, Tunis, Tunisia; 09-13 November 2009, Johannesburg, South Africa; Addis Ababa, Ethiopia, 22-26 November 2010.

THE GLOBAL WATER OPERATORS PARTNERSHIP ALLIANCE (GWOPA)

The launch of the Global Water Operators

Partnership Alliance (GWOPA) was a major milestone. GWOPA provides an international platform aimed at promoting and increasing the institutional capacity of urban water and sanitation utilities. The idea is that, through twinning, better-performing utilities can share their skills and practices to other utilities in order to adequately serve their citizens.

The efforts in previous years to anchor WOPs platforms in the various regions, particularly Latin America and the Caribbean and Africa, have resulted in a growing number of twinning arrangements. More specifically, in 2010, a total of 1,206 individuals from 162 utilities benefited directly from WOPs and training programmes implemented under the WOPs' umbrella.

In addition to the growing number of activities being implemented, WOPs, through GWOPAs, have a leveraging impact. Accordingly, an increasing number of partner organizations worldwide are supporting or engaging in the WOPs approach. UN-HABITAT's budget shows that new allocations for GWOPA in 2011 amounts to USD 194 950 TOTAL MAKES NO SENSE – PLEASE CLARIFY, whereas the total budget allocation is USD 1,213,707 (UN-HABITAT Summary of Allocations 2010-2011).

- **Forged strong partnerships with regional banks, civil society and private sector**

WSTF has established partnerships with all the regional banks and "leveraged" resources to national and regional programmes. This is discussed further in Chapter 4.2.

- **Capacity building and preparation of technical and normative tools**

WSTF has organized and supported a broad range of training events. Several technical guidelines and normative tools have also been

Examples of capacity building and tools

- Capacity Building Workshop on Partnerships for Improving the Performance of Water Utilities in the Africa Region (2006).
- Regional Media Workshop from 2006 in New Delhi, India.
- South-South Collaboration for Training and Capacity building on innovative Sanitation Technologies, collaboration with Sulabh International - November 2006.
- Water Safety Plan Training in Morocco - 20-21 Jan. 2010 (Rabat, Morocco).
- Rainwater Harvesting and Utilisation, Blue Drop Series.
- The World of Water - African Adventures of a Water Drop (2005.)
- Navigating Gender in African Cities: Synthesis Report of Rapid Gender and Pro-poor Assessments in 17 African Cities (2006).
- Framework for Gender Mainstreaming in Water and Sanitation for Cities (2006).
- Social Marketing of Sanitation (2006).

prepared and disseminated.

In the Lake Victoria region, the project has made good progress towards capacity building and development of stakeholders. This is particularly evident regarding the capacity training of local partners such as WSP, municipalities and local NGOs/CBOs. For instance, as can be seen in the Lake Victoria Study, the performance of the WSP has incrementally improved, on operational levels as well as on management capacity. More specifically, the water production has increased, the amount of non-revenue water has been reduced and the income generated by selling water has increased. Indeed, the improvement in performance by the WSPs is seen as one of the main assets of the UN-HABITAT initiative. In Mekong, the capacity and institutional development has included a number of training courses and workshops, targeting water utilities, municipal authorities, CBOs and NGOs.

- **Support for innovation and research**

The programme has supported research but has not been systematically involved in applied research and the generation of knowledge. WSTF has been more involved in the application and testing of existing models than in the identification and formulation of new ideas. It is not UN-HABITAT's role to do research but the programme can support this area and forge partnership with researchers and research institutes in order to move the frontier both in the social and the technical fields and, not least, be perceived as a broker of new ideas and a knowledge-based programme.

The following are four examples of interesting research efforts:

LOW-COST MONITORING OF BACTERIAL WATER QUALITY IN EAST AFRICA

Low-cost, manageable systems for monitoring water quality have been lacking due to the high cost, technical complexity and time associated with available methods. This is a primary reason for the low awareness among health workers and communities of the linkage between water quality and disease. WSTF is involved in research on low-cost methods for water testing in the East African region. Public health officers and volunteers were trained and equipped to carry out town-wide water testing. The approach has strong potential for replication in developing countries around the world, particularly because it facilitates community understanding of water quality which will lead to a decrease in water-related diseases.

THE SANITATION MICROCREDIT REVOLVING FUND

The Sanitation Microcredit Revolving Fund scheme is a strategy for bringing transformation and improved delivery system for sanitation services in the urbanizing communities settled around Lake Victoria and in the Mekong region. The overall objective of the scheme is to establish a sustainable revolving sanitation credit fund to meet the credit needs of poor female headed households to build their improved sanitation.

The driving force for this strategy is 'social marketing' that creates 'social demand' for services. Development of a revolving fund for sanitation allows the target beneficiaries to come together and help each other to construct sanitation facilities on credit that can be paid collectively. This has the effect of all members in a group having the opportunity to access funds to put up sanitation facilities, as the culture of 'merry-go-round' is not new to the targeted communities.

MULTI STAKEHOLDER FORUMS

This is a structure introduced by UN-HABITAT to engage all local stakeholders with different backgrounds to participate actively in the design, planning, implementation and monitoring of programme activities. Its main role is to ensure that project plans are implemented in an effective manner.

In Kenya, the forum brought together representatives of the Lake Victoria South Water Service Board, water and sanitation companies, community service providers, water users association and health inspectors. It seems that the forum has been very effective in running and managing water and sanitation initiatives motivating members of the community to make contributions such as provision of labor and construction materials as

their initial contribution to the project. The forum has been involved in providing advice to distribution of resources, involvement in the selection of locations for stand pipes, public and schools latrines and assist in identifying vulnerable groups to benefit from the project. However, the involvement of MSF in micro-credit schemes was rather low (Rijsdijk 2011).

H2.O MONITORING SERVICES TO INFORM AND EMPOWER INITIATIVE

One of the weaknesses in the WSS sector is the absence of reliable data for understanding level of service provision for the poor and providing information to enable consumers, service providers, policy makers and donors to act more decisively and to monitor the impact of interventions.

WSTF has been leading an initiative which tests innovations in sector monitoring in order to put in place powerful and effective monitoring systems of the urban environment at a global scale. The work builds on approaches developed by UN-HABITAT's Monitoring and Research Division and by WSIB in the Lake Victoria region by using tools and approaches developed by Google for geo-referencing and in making this data universally accessible. Access to reliable, specific and well-presented visual information on WSS services can improve sector advocacy, and accountability between service providers and consumers.

CONCLUDING REMARKS

Some of the models are not new as such with examples being community led development, participatory multi sector forums and micro-credit for women, but they may have been innovative in the water and sanitation sector in the respective countries. In the Lake Victoria initiative, the approach to

the rehabilitation of the water supply systems was found to be solid, but not innovative. Most of the implementation was based on well-known and established technologies. As such, there are elements of applied research and innovation in the programme, but more dominant is the implementation of well-established models and approaches.

- **Learning and documentation**

There has been an operational focus in the country and regional programmes. Capital investments have absorbed between 60 and 80 per cent of total expenditure – much more than required for a pilot and model building programme. The learning aspects – the continuous monitoring and assessment of experience - have not been sufficiently integrated, not only of inputs and outputs, but of outcomes and early impact. Systematic analysis and documentation of experience and lessons learned should have been more prominent in a model building and testing programme. WSTF's argument is that service delivery should feed into the normative work and that normative work should be based in practical field experience. However, the scale of the investments seems to be much higher than necessary for a model and learning-based experiment.

"The Victoria initiative (2 % of the budget for M&E) has a fairly extensive list of indicators, both on input, objective and sustainability. This gives the programme an overview of the progress and might be suitable for a conventional project. However, as a model, it should have had higher standards on performance tracking, with clear definitions of the indicators on each of the experimental components (for example, support to the WSP and microsan). Especially impact indicators could facilitate the lessons learned and promote the model to third parties. The MEK-WATSAN initiative developed an impressive database system for M&E, but as a model and learning exercise for partner countries, standardizing of impact indicators would be recommended" (Rijsdijk, 2011).

- **Attention to policy and sector reform work**

The involvement in national policy and sector reform processes, like participation in sector working groups, strategic advocacy and awareness raising has been uneven, but with an increasing number of examples of WSTF as a policy influencer.

The impact study explains that “UN-HABITAT may not always have achieved the right balance between normative and pilot project implementation work in Kenya. Given its relatively small capital programme, it is suggested that greater weight be given to its role as a strategic influencer and source of expert knowledge, rather than an implementer of services. Many stakeholders expect UN-HABITAT to play a leading role in helping guide the development of ideas that might work at scale”.

In Nepal, “it has been noted that UN-HABITAT is determined to shift the style of its operations from that of a highly effective entrepreneurial NGO focusing on immediate impact on the ground to that of a strategic partner and influencer of future directions in the sector. UN-HABITAT’s approach to start the implementation of the WSTF operations with a few direct interventions in selected poor urban communities, rather than embarking on a high-flying and generic advocacy exercise, has been sound. By using such a direct intervention approach, the country teams were able to test out and demonstrate a few pro-poor support principles. This provided valuable experience on how to tackle the challenge of serving the urban poor” (Main Report Impact Study 2010). In other words, WSTF’s valuable “downstream” experience

has not been sufficiently used as a basis for “upstream” policy work.

- **Global Monitoring**

The global monitoring efforts as explained above were promising, but this important area of work for UN-Habitat lost some of its momentum when the funding from Google stopped last year. The project monitoring MDGs and improve benchmarking of water and sanitation service providers was fully funded by Google.org with a total allocation of US\$ 1.8 million. There is a possibility that the work can continue soon with another private sector donor.

CONCLUDING REMARKS

The critical questions are: to what extent the balance between roles has been right taking into account the available resources and the original strategic direction of WSTF and has there been an appropriate balance between normative and operational, capital investments and learning/documentation, software and hardware models, global and regional/ country programmes? In hindsight, possibly not. We are not questioning the usefulness of WSTF activities in terms of meeting various country needs, but to what extent the programme has selected and supported the most relevant activities for a UN programme.

It should also be kept in mind that what was the right mix of roles five years ago may not be optimal in the future. The last chapter discusses what the changes in focus and roles could be. Fewer resources will reduce the ability to support capital investments but will have much less effect on the software and normative components of the programme.

3 Processes and Resources

This chapter seeks to discuss selected internal organisational issues which are important determining factors of performance. However, the Inception Report decided to give more attention to external and less to internal dimensions, so this organisational review is only partial.

3.1 THE ROLE OF THE TRUST FUND

The question is to what extent the Trust Fund mechanism has been effective and will be viable for the future? The Water and Sanitation Trust Fund was launched on World Habitat Day in 2002 in order "to follow a well coordinated programmatic approach with strategic impetus allowing donors to improve their aid effectiveness by contributing to a consolidated fund dedicated to a clear set of objectives" (Strategic Plan p. 32). The Trust Fund has been supported with contributions from various donor countries including Canada, Sweden, Norway, Poland and the Netherlands.

The Trust Fund has helped establish a strategic programmatic approach with an agreed and simplified planning and reporting procedure vis-à-vis the donors for activities within the Trust Fund. It has also provided long-term, relatively predictable and generous funding. The Advisory Board has been a forum for discussing important strategic and programmatic issues. However, not all the resources have been granted as core resources. A significant amount has been earmarked specific programmes and projects. As such, the Trust Fund's flexibility has been partial. It has, to a large extent, been required to accommodate individual donor preferences more or less

in line with the agreed strategy.

Is the Trust Fund arrangement still valid? The multi-donor base has been gradually eroded (see chapter 3.4). At the moment it is only the Norwegian Government that provides core resources. This is partly the result of changing donor preferences, but possibly also due to limitations in the trust fund model itself. A recent report from the UN points to an overall increase in number of trust funds within the UN system, but also to some of their weaknesses (OIOS, Posta&Terzi 2010).

The report mentions that there is no common definition of what Trust Funds are, but they are set up to provide extra-budgetary resources to an organization on the basis of specific agreements with the donors for specific purposes, accounted for and reported to the donors separately.

WSTF has provided UN-HABITAT with earmarked resources for water and sanitation, both core resources to the Trust Fund and targeted to programmes like Mekong and Lake Victoria. As mentioned, the Trust Fund has supported a programmatic orientation, simplified planning and reporting systems and predictable resources to a priority area for UN-HABITAT. On the other hand, certain limitations and weaknesses were identified during the evaluation:

- The strategic approach has been limited to the Trust Fund. The existence of a strong and well resourced Trust Fund has distorted overall organisational priorities within UN-HABITAT.
- The advisory board for WSTF has, to some extent, established a parallel governing structure within UN-

HABITAT with strong donor influence and few members from the South.

- The relative abundance of resources has created a culture of autonomy and self-sufficiency within WSTF with weak incentives for coordination and information sharing with other divisions and units.

The most recent and dramatic change for WSTF was the loss of its expected core support for 2011 from the Government of Spain. When the new Executive Director came to UN-HABITAT he was in need of resources to support his five new strategic priorities: urban mobility, urban planning, urban economy and urban legislation. Hence, he approached the Government of Spain with a request to derestrict its contribution to the Water and Sanitation Trust Fund and reallocate the same resources to the new areas. Spain agreed to do so and WSTF lost USD 8 million, representing two-thirds of its budget for 2011.

It can be argued that the Trust Fund has been a well-funded programme with a large budget within a relatively small and resource constrained organisation (USD 15 million) for WSTF compared to a USD 20 million core budget for the entire organisation in 2008). Such an internal imbalance has been perceived as unfair and not in line with corporate interests. As such, WSTF has been a victim of its own success in terms of mobilizing resources. More importantly, the reallocation is perceived as consistent with the MTSIP's aim of establishing a more integrated, priority-based planning approach for the entire organisation.

However, this evaluation has found reputational risks for UN-HABITAT as a result of the unexpected and sudden loss of resources. WSTF has signed agreements with governments and partners which will either have to be cancelled or significantly changed – in Latin America even before

the programme has started. Such a change in donor preferences may affect the credibility of UN-HABITAT as a partner. The change could have been implemented more incrementally and in consultation with stakeholders and thus reduced the negative effects.

The reallocation of resources from one programme (water and sanitation) to other strategic priorities within UN-HABITAT is inconsistent with a more coordinated, priority-based planning approach. That would have required an allocation of resources based on decisions in governing bodies and been reflected in the biannual programme and budget. Otherwise, the pattern of earmarking remains, just to other priorities. The Peer Review of the MTSIP strongly recommended UN-HABITAT to “establish one unified planning and reporting system for decision making, resource mobilization and reporting to all donors” and “define clearly and transparently in the biennial programme and budget what UN-HABITAT policy and programme priorities are for the short- and long-term – how scarce resources will be allocated between competing priorities between and within focus areas” (MTSIP Peer Review 2010).

3.2 INSTITUTIONAL STRUCTURE

The Strategic Plan explains that the Water, Sanitation and Infrastructure Branch was transferred from Global Division to the Human Settlements Finance Division, together with the Urban Finance Branch. The purpose was to bring increased coherence to the organisation and the opportunity to integrate infrastructure and slum upgrading “to more effectively contribute to the overall goal of sustainable human settlements development”. The Director for the Water and Sanitation and Infrastructure Branch

has been the Acting Director for the entire Division.

Was it a sensible decision to establish such a Division? The MTSIP Peer Review discussed briefly if the Human Settlement Finance Division should include both the Urban Finance Branch and Water and Sanitation under one umbrella. Or if it would have been better to have them as separate units since they perform very different functions.

A final conclusion was not reached, but the marriage between the two Branches has been perceived as arranged without clear benefits for either. Hence, there is a need to find another "home" for the Water, Sanitation and Infrastructure Branch taking into account the greater attention to energy and transport. There is also a perception that WSTF has pursued a too "vertical" approach focusing on specific W&S interventions. Hence, it is important to explore new horizontal linkages within an overall urban planning framework, when a new organisational structure is decided based on the premise that W&S is a core priority for UN-HABITAT.

3.3 PLANNING AND REPORTING SYSTEMS

This section discusses two aspects of the planning and monitoring/reporting system. The analysis would have been stronger if a broader perspective had been applied but the limits of this report would also have been exceeded.

GLOBAL POLICIES AND MULTIPLE COUNTRY ACTIVITIES

WSTF has several global and regional policy and strategy documents providing overall direction. Such documents are important and easily available. There is

also information from a broad range of activities and projects at regional and country level. The Annual Reports from WSTF to the Advisory Board consist of a range of individual project achievements – interesting examples of country progress and success. However, there is less information at the intermediate levels – aggregate impact from countries and/or from thematic areas – in particular quantitative progress indicators for the entire project portfolio.

WSTF is a programme, but to a large extent project- and activity-driven. This is partly the result of how the programme is funded (by donors still supporting specific activities). However, the programme could have prepared short and concise country strategies – providing an overview of what WSTF does, why, with whom, how and where – not only for providing easier understanding and buy in from external stakeholders, but also to explain how Water and Sanitation is part of and relates to a broader urban planning agenda.

It could also have provided the basis for a more strategic selection of interventions. This is particularly important since WSTF is to some extent perceived as self-contained, with vertical activities not sufficiently linked to other sectors, and an integral part of an urban planning framework.

The Impact studies pointed to the need for clearly articulated country strategies, developed and discussed with sector stakeholders. In the case of Kenya, the WSTF projects take place under two different umbrellas (Lake Victoria Region Water and Sanitation Initiative (LVWATSAN)) and Water for African Cities (WAC), but no coherent country strategy has been developed. In Nepal, the project portfolio has until now contained a large number of small projects. However, the need for more coherence, stronger coordination and the development of a sector-wide approach is recognized.

It should also be mentioned that WSTF would have benefited from a Project Management Information System – a data base with key data for all projects and also monitoring information. The current database with “Agreements of Cooperation” is not sufficient. The agreements are more “what to do” document and do not provide the design information and basic baseline data which is required to support a sound outcome and impact assessment.

THE MONITORING AND DOCUMENTATION SYSTEM

WSTF was, as mentioned, conceived as a pilot and demonstration project – testing the viability of innovative models, demonstrating their potential for large scale replication and disseminating the lessons learned.

As such, WSTF should have a strong monitoring and evaluation system – learning tools to assess progress and performance on a regular basis, analyse what works and what doesn’t and act on the basis of recommendations. This is to a large extent missing. In the microcredit programme for constructing latrines in Lake Victoria, for instance, there is no systematic data collection for tracking coverage, repayments and user satisfaction in order to identify the weaknesses and issues pointed out in the case study (Rijsdijk 2011). Most of the monitoring covers financial inputs and physical outputs which are necessary but not sufficient from a learning perspective.

“The provision of onsite sanitation (construction of latrines) to the poor shows a mixed result. The project targeted the poor informal areas of the towns and made some impact on the MDGs, but the beneficiaries were often relatively well to do as the costs of latrines were beyond the reach of the poorest, partly by technical and regulatory reasons. However, the main problem was the finance through the micro credit system as the pay-back rate was very poor (Rijsdijk, 2011).

A pilot and demonstration programme would also need a solid system for documenting lessons learned. The Global Reports disseminate such experience, but there is a need to document experience also from individual projects. WSTF emphasizes the practical hands on approach but the experience is not sufficiently systematized. It is difficult for outsiders to fully grasp the substance and value of the innovations.

Some reports are well written, but many suffer from convoluted UN language, such as “enhanced development practitioners’ facilitation skills for the capacity-building of disadvantaged women”. However, more important is the need for systems and capacity within the programme to collect relevant information, analyze findings and present results in well-written and easily accessible reports. There are elements of such learning and documentation but considerable scope for improvement.

3.4 FINANCIAL RESOURCES

The Trust Fund has received significant contributions from several bilateral donors since 2004. The totals amounts are (2004-2009) presented in the table below. It confirms that 75 per cent of the funds have been given as general unearmarked resources providing WSTF with flexibility in the utilisation of funds. In addition, the Government of the Netherlands has provided soft earmarked resources to the two model setting initiatives in the Lake Victoria and Mekong regions. WSTF has also been supported with small, but important earmarked contributions from private sector companies such as Coca-Cola, Google, Cadbury and BASF.

The historical overview of donors and their contributions becomes much less favorable when looking at trends (from 2004 to 2009) and assessing the current financial situation.

General WSTF	Amounts (Mill USD)
Spain	35.877
Norway	23.191
Canada	12.455
The Netherlands	11.760
Sweden	5.573
Poland	3
Sub-total general	88,862
Earmarked contributions:	
Lake Victoria Initiative (Netherlands)	20.720
Mekong Initiative (Netherlands)	6.600
Private sector	2.558
Sub-total earmarked	2.558
GRAND TOTAL WSTF	118.740

- The Governments of Canada, Sweden and Poland stopped their contributions before 2008.
- The Netherlands phased out all its support to UN-HABITAT from 2008 while WSTF was allowed to use remaining funds for the two regional initiatives in 2009 and 2010. Most of the funds are now depleted.
- The Government of Spain decided in 2010 to move all its general contributions to other strategic priorities in UN-HABITAT (discussed in chapter 3.1.).
- Google has phased out its support and the Coca-Cola project in India is also coming to an end.
- The Government of Norway remains as the only donor to WSTF's core budget.

The funds received for 2009 were (in thousands? Millions? of USD):

Spain	13.323
Norway	2.177
Opening balance	930
Total	17.431

The Trust Fund has lost 75 per cent of its core support. Its total operating budget for 2011 was expected to be in the range of USD 15 million, but is reduced to approximately USD 5 million. There are some other pipeline contributions, but the WSTF will have to cope with a serious budget deficit. An additional challenge is that most of the resources are tied up to cover recurrent expenses (approximately USD 3.6 million for project staff salaries alone) – leaving marginal funds for any activities. Below is a summary of the 2010 – 2011 allocations as at March 2011.

There are some new donors in 2010 and 2011 including The Catalan Agency for Development Cooperation, allocating USD 122,809 in 2010-2011, The European Investment Bank (USD 60,846) and the Government of France, whose total budget allocation amounted to USD 46,269. These are positive developments, however not sufficient to change the downward trend.

General Trust Fund Sub-Allotment	2010 Allocation	2010 Expenditure	2010 Budget balance c/d to 2011	2011 New Allocation	2011 Total budget Allocation
Global Normative	911 912	893 197	18 715	910 362	929 077
Water for African Cities	1 887 500	1 743 811	143 689	350 000	493 689
Water for Asian Cities	1 887 500	1 263 527	623 973	350 000	974 926
Water for Cities in Latin America and Caribbean (W007)	2 000 000	1 753 121	246 879	350 000	596 879
Solid Waste Management Programme (W007)	500 000	477 805	22 195	350 000	372 195
Urban Energy Section	150 000	28 196	121 804	-	121 804
Mekong Region Water and Sanitation Initiative	500 000	499 046	954	150 000	150 000
Lake Victoria Water and Sanitation Initiative	500 000	425 546	74 454	150 000	224 454
Transport Section (W007)	150 000	2 892	147 108	-	147 108
Global Water Operators Partnership Alliance (W007 & W026)	2 339 934	1 321 183	1 018 751	194 956	1 213 707
Personnel W039 (incl. Interest allocation) for 2011	2 520 950	2 217 875	303 075	2 356 500	2 356 500
Personnel (W026) WOPS only for 2011	-	-	-	690 000	690 000
Information, monitoring and evaluation (W002, W007, W028)	244 508	206 465	38 043	53 580	91 623
Administrative costs (W007)	-	-	-	136 811	136 811
W005 (refunded to Sweden)	-	(10 726)	10 726	-	-
Total General Trust Fund (W002, W007, W026, W028)	13 592 304	10 821 940	2 770 364	6 042 209	8 498 771



4 Partnerships

This chapter discusses the partnerships between UN-HABITAT and external organizations, but also other divisions and units of the organisation. One of UN-HABITAT's comparative advantages is said to be the ability to build partnerships with a broad range of stakeholders. The organisation can attract and collaborate with development banks, universities, governments, municipalities, civil society and private sector. The question is to what extent WSTF is able to use such an advantage effectively.

4.1 PARTNERSHIPS WITH GOVERNMENTS AND DONORS

In recent years, there has been increasing emphasis on issues of development effectiveness. Development partners should work more effectively together (harmonization) and in line with country priorities and procedures (alignment) in order to create a more country owned and country led development process and consequently reduce the fragmentation of aid.

Within the UN, the "One UN policy" has provided the basis for working towards better country-level coordination – one programme, one budgetary framework and one set of management practices for all UN organizations to address the MDGs in a more coherent and effective way.

The question is: to what extent WSTF has become involved in national sector and donor coordination mechanisms including the One UN efforts? While issues of harmonization and alignment hardly were of much concern in the Mid Term review

(2007)⁸, they were discussed extensively in the recent impact studies. However, there is no systematic information from all partner countries making an aggregate assessment possible.

It was found that WSTF in Kenya had over time developed a stronger partnership with sector investors but, whilst the Lake Victoria Region Water and Sanitation Initiative (LVWATSAN) is well integrated with national and local institutions, the project portfolio does not consistently support core national strategic sector reform processes. The same applies to the Mekong region. There is also scope to strengthen UN-HABITAT's participation in the coordination between development partners. The absence of a process to develop a country strategy means that Kenyan institutions have not been fully engaged in UN-HABITAT's strategic choices and UN-HABITAT may not always be sufficiently harmonized with other stakeholders regarding country programme design.

It was also pointed out that WSTF does not always have the accountable government institutions as implementing partners. WSTF seems to prefer Cooperation Agreements with NGOs. Such a practice misses the opportunity to strengthen the capacity of government institutions⁹.

The interventions in Nepal were found to be well-integrated with relevant authorities, institutions, and development partners at national and municipality level. However, there is still too much focus on

⁸ Possibly because the review focused mostly on the local and community level aspects of development – a change from below perspective and less on national policies and systems.

⁹ Findings from other regions e.g. Mekong show a different pattern – much closer cooperation with government structures.

individual pilot projects. It was said that that WSTF needs to give greater weight to UN-HABITAT's role as a strategic influencer, drawing from a clear vision about what is needed to address the challenges of pro-poor urban WATSAN reforms. This will require increased engagement in national policy dialogue and involve key government policy makers.

UN-HABITAT is further advised to play a more central role in coordinating donors to the urban WATSAN sector, since the agency is well-positioned to enhance donor harmonization as a respected adviser to the government in the urban sector. Unfortunately, we lack sufficient information to assess the role and reputation of WSTF among other international W&S agencies.

In a thematic paper to the Advisory Board (March 2009), issues of aid harmonization are discussed. There is a long list of examples in which WSTF has supported One-UN processes and signed declarations and MoUs in order to improve aid effectiveness. WSTF has clearly moved in such a direction. However, the paper presents also some of WSTF's limitations and reservations towards full integration and harmonization:

- UN-HABITAT is a non-resident UN agency facing capacity constraints when it comes to participation in national level coordination mechanisms
- UN-HABITAT is primarily a technical agency and is not able to make long-term financial commitments to sector funding
- WSTF has been able to focus on the urban poor in informal settlements - often left out of sector investment programmes
- WSTF invests limited funds in testing experimental innovative approaches. Such work benefits

from being independent from a heavy bureaucratic process – even if the long term aim is to incorporate and replicate proven models within national sector programmes.

In other words, WSTF could play a stronger role as a “strategic influencer” in national reform processes as a credible and “neutral” UN organisation, but avoid full cooptation in such processes. WSTF would benefit from maintaining certain autonomy in order to analyze critically what works and what doesn't support innovative learning.

4.2 PARTNERSHIP WITH REGIONAL DEVELOPMENT BANKS AND OTHER UN AGENCIES

WSTF has currently MoUs with the African Development Bank, the Asian Development Bank, the Inter-American Development Bank and the European Investment Bank. The collaboration started with undertaking joint missions to countries, followed by annual consultations and support to assignments and studies carried out during the loan pre-investment phase.

The importance and contributions of WSTF have been:

- Speeding up project design and implementation by providing critical support in the pre-investment phase (support for completing business development plans for water service providers, baseline studies, impact monitoring frameworks, capacity building of utilities, participatory methods involving the poor)
- Taking part in project formulation missions

- Influencing bank policies and approaches: supporting pro-poor approaches in smaller urban settlements and towns, promoting integrated/holistic designs and gender by using WSTF assessment tools and guidelines (water demand management, urban catchment management, utility benchmarking, micro-finance, etc.)
- WSTF's regional approach has been of interest to the banks, e.g. UN-HABITAT's ability to provide cost effective capacity building on a regional basis and address cross-border issues, such as environmental protection and sustainability.
- Assist the banks to work across sectors and involve civil society and other local actors

The Trust Fund claims to have leveraged (or "catalyzed") USD 464 million (Progress Report 2010) in matching grants and loans to improve water and sanitation but it is uncertain how this figure is calculated and what it means.

The partnerships between WSTF and the regional banks have been of mutual benefit and of great importance – possibly more in programmatic than in financial terms. That UN-HABITAT has "leveraged" resources could mean that WSTF has secured additional resources that would not have been mobilized without UN-HABITAT's intervention. An alternative and equally important but less presumptuous interpretation of "leveraging", is that WSTF has helped fast track loans and given them more pro-poor characteristics. According to a source in AfDB, "UN-HABITAT's pre-investment capacity building activities in Kenya have helped to fast track approval of USD 71.5 million loan OR LOANS? provided by the AfDB" and also improved design by protecting the interests of urban poor".

There are interesting questions pertaining to WSTF's future cooperation with the development banks. So far, WSTF has provided "free" technical services to the banks since funds for technical assistance have been available from the Lake Victoria and Mekong programme budget. Such funds are not any longer there. The questions are: to what extent WSTF will remain an interesting partner for the banks in the future and will the banks be willing to pay for UN-HABITAT involvement?

There is an ongoing negotiation between WSTF and the European Development Bank about phase two of the Lake Victoria Programme in which WSTF may be contracted to carry out the capacity building and monitoring component¹⁰. From one perspective, this will ensure WSTF's continued involvement in the programme and replication of the programme in new towns. Institutional memory and experience will be utilized and UN-HABITAT can access much needed resources.

However, UN-HABITAT needs to maintain its independence and integrity as a UN organization. With a contractual arrangement between WSTF and a development bank, UN-HABITAT will be responsible for implementing an agreed programme component on behalf of another organization and will become an operator on a competitive consultancy market and may lose its independence and potential critical voice.

¹⁰ The recent progress report for 2010 states that: "The approval of a USD 110 million grant by the African Development Bank in December 2010, for a second phase of the Lake Victoria Region Water and Sanitation Initiative, marked an important milestone in the scaling up of the Programme. The grant agreement includes an allocation of funds to enable UN-HABITAT to provide technical assistance for the implementation of the project in the 15 towns, new towns, and capacity building and training to ensure the sustainability of the investments".

THE ADDED VALUE OF UN-HABITAT

What exactly are the potentially unique and distinct attributes of UN-HABITAT in the water and sanitation field? There are other players as well within the sector, besides NGOs there are also UN agencies supporting WATSAN programmes. UNICEF, for instance, works in more than 90 countries around the world to improve water supplies and sanitation facilities in schools and communities, while UN Water works with coordination and coherence among UN entities dealing with issues related to all aspects of freshwater and sanitation. The latter is, however, not an implementing agency.

We have seen examples of overlap where WSTF has supported activities more in line with UNICEF's mandate, but it has not been presented as a major problem. It could be argued that UN-HABITAT's added value is its mix of operational and normative work, coupled with the focus on the urbanization of poverty, and small and intermediate towns. Other programmes include these categories, but do not specialize on problems of small towns.

There are economic, social and political forces behind urban poverty, thus facing the growing magnitude of the slum problem which requires a multifaceted approach. While UNICEF has had some focus on basic urban services, such as in India, it has not yet initiated large programmes in other countries (Mid Term Review, 2010, 24).

By linking normative and operational work, WSTF has created a certain niche. Whereas most other actors in the sector (World Bank, UNICEF, regional banks, etc.) mainly work to achieve immediate contributions to coverage, the Trust Fund seeks to concentrate on models and tools that may be replicated by various

actors engaged in pursuing long term achievement of the MDGs.

4.3 PARTNERSHIPS WITH PRIVATE SECTOR AND UNIVERSITIES

There are several examples of partnerships between WSTF and private companies. Two of the most significant have been Coca-Cola and Google.

COCA-COLA

UN-HABITAT and Coca-Cola India and South West Asia (Coca-Cola INSWABU) entered into a partnership and signed an agreement in 2007. This initiative is unique in the sense that it represents one of the first public private business partnerships for water and sanitation. UN-HABITAT and Coca-Cola INSWABU each committed USD 150,000 over a period of three years (2007-09) for implementing pilot demonstration projects in India and Nepal, aiming at reaching more than one million people. The key objective of this partnership was to provide access to safe drinking water and basic sanitation to the urban poor and slum dwellers. The project will benefit nearly 20,000 children directly, besides the communities around these schools. The MEK-Watsan initiative is preparing a partnership with Coca-Cola.

An important success factor is the "ripple effect", in which a project starting with two has expanded to 12 partners, providing new investments and multi-dimensional partnerships in various regions. The partners have been active in advocacy and awareness - a media campaign where Coca-Cola India cooperated with other partners. The campaign focused on capacity building, promoting water conservation, sanitation and hygiene education infrastructure in rural and semi urban schools.

GOOGLE ORG AND THE H2.0 INITIATIVE

The h2.0 Initiative is testing innovations in water and sanitation monitoring and seeks to put in place monitoring systems on a global scale. The vision is not only to provide tools which service providers can use, but also to create a platform in the public domain from which citizens can access meaningful information on WSS service provision and so enter into dialogue with service providers on their improvement. Google.org uses Google's strengths in information technology to build products and advocate for policies that address global challenges. In the h2.0 initiative Google has provided the software platform.

There are, however, few formal links with research institutions, universities and think tanks. Rather than UN-HABITAT doing basic research, there is an untapped potential for the latter to be a catalyst in such processes, building strategic partnerships with such inventors. Existing connections with universities such as Twente University (for the H2O initiative), the TERI Institute in India and the collaboration with Bob Metcalfe from California State University (on water testing) provide examples but there is a need for more of these trans-disciplinary and innovative partnerships. The event "Water for African Cities", arranged on a yearly basis by UN-HABITAT, is a useful platform for dialogue and platform to promote such partnerships across the W&S sector.

For instance, at the "Water for African Cities" in Addis Ababa, Ethiopia, in November 2010, innovative examples of research were presented in the field of sustainable water management, renewable energies and ecological sanitation. An online toolbox has been developed which gives practical examples of concepts of sustainable WATSAN. These

are interesting approaches that may be developed further and UNHABITAT should seek more cooperation of similar kind.

4.4 INTERNAL COORDINATION

WSTF has not only external, but also internal partners. This section discusses various aspects of progress and challenges in strengthening coordination between WSTF and other parts of UN-HABITAT. There is a perception that UN-HABITAT at Headquarters level is involved in global normative work whilst regional and country offices focus on operational activities. The country focus is perceived as being weak with relatively few and under-resourced country offices. These were two of the reasons why the MTSIP called for the development of an Enhanced Normative and Operational Framework (ENOF), described as *"an integrated approach to support Governments and their development partners to achieve more sustainable urbanization"*.

However, this has not been the case for WSTF. The concern of ENOF – combining normative and operational approaches – was a strong element in WSTF's strategic plan from the beginning. It has also remained a key characteristic of the programme. However, WSTF has, to a large extent, established its own presence in countries with Chief Technical Advisors keeping only formal communication lines with RTCD¹¹ and UN-HABITAT's regional and country offices. There have been considerable regional variations and increasing integration but WSTF is still perceived as a self-contained programme with a cautious approach to full integration.

¹¹ RTCD is the Division in UN-Habitat with coordinating responsibility for regional and country level activities - a key instrument for implementing the enhanced normative and operational framework. It is organized as a separate Division.



The Peer Review asked to what extent it was appropriate that the Water and Sanitation Infrastructure Branch carried out operational activities at the country level, or if such activities could be transferred to the Regional Offices with commensurate funding. The Branch responded by noting that “WSTF is one of the only units in UN-HABITAT that truly undertakes a mix of normative and operational work. We provide the model of integration where normative work drives project formulation and vice versa. Transferring the work of the WSTF to the regional programmes would kill the

originality and creativity that comes from the unique opportunities the Trust Fund presents” (MTSIP Peer Review).

Internal coordination is an issue beyond the scope of this evaluation and requires further analysis. WSTF has so far been able to support strong country activities implemented through a range of country partners, but will most likely not be able to sustain country programmes at the same level in the future. Hence, one alternative would be to use UN-HABITAT’s regional structure more as is already the case in Latin America.

5 Achievements and Results

The last and most difficult questions are to what extent WSTF has produced its expected results and are they sustainable? The progress reports, impact studies and the regional and country studies carried out as part of this evaluation document all a broad range of achievements and results. They prove that most of programmes and activities have been implemented – despite certain delays. There is also evidence of change.

It is not feasible in a short chapter to summarize the aggregate results of WSTF at global and country level. Neither is sufficient data available to answer questions about national and global impact. WSTF has not established a system for monitoring core process and outcome indicators across countries and regions to facilitate such type of reporting. There is a lot of data on a project-by-project basis, but less for aggregate reporting and comparative analysis, such as how many people have got access to improved water and sanitation in various countries.

The chapter starts by presenting how stakeholders perceive WSTF's contribution to change and the main findings and conclusions from the regional/country reports, the impact studies and other available reports – providing concrete evidence of results.

5.1 EVIDENCE OF RESULTS

STAKEHOLDERS PERCEPTIONS

WSTF stakeholders were asked to assess achievements and results and the overall response from the survey was positive and reflects what is found in other studies. This is that major stakeholders perceive WSTF as a relevant programme and that performance is rated highly. However, the responses are based on subjective perceptions from people involved in the programme and not neutral observers.

FINDINGS FROM THE CASE STUDIES AND PROGRESS REPORTS

A general finding from all the studies is that institutional capacity has increased, however, at various levels. This has been achieved through a mix of operational programmes, coupled with training, capacity building and hands on technical assistance targeting the urban water and sanitation and municipal councils. Under the LVWATSAN, an estimated 64,000 persons have been provided with access to safe drinking water, while 75,000 persons have benefited from access to basic sanitation. Furthermore, during 2010 solid waste management systems have been operationalized in eight towns, benefiting an estimated 160,000 persons (UN-HABITAT Progress Report 2010, 7).

Results areas	% response
The programme has been innovative	90%
The programme has contributed to changes in national policy	61%
The programme has contributed to strengthening knowledge and capacity among partners	87%
The programme has strengthened national and international networks	84%
Normative tools have been utilized	79%
The programme has been replicated in other settings	66%
The programme has created visible results at the level of beneficiaries	83%
The programme has contributed to achievement of the W&S MDG targets	87%

Lake Victoria Region

In general, partners appreciated the activities of UN-HABITAT in the Lake Victoria region. The fast track and roll-out approach of bringing resources to the target towns, combined with capacity building and a pro-poor focus received high marks from the stakeholders. The combination of water supply, sanitation, storm flow and solid waste was also valued.

The Lake Victoria initiative has made good progress towards capacity building. A comprehensive capacity building and training programme in utility management, urban catchment management and pro-poor governance

"In the fast track component, the existing customers benefitted more from the support to the WSPs than the people in informal areas. This is caused by the necessary rehabilitation of the upstream part of the WS before any extension to informal areas could be carried out" (Rijsdijk 2011).

was launched during 2010 in ten towns. A total of 928 persons (of whom 32 per cent were women) from these ten towns were trained in various aspects of W&S service delivery, including water governance and community and household water systems. The beneficiaries included 81 managerial and technical staff from the water utilities (UN Habitat Progress Report 2010, 9).

Results were particularly noticeable as regards the Water Service Providers. The performance of the WSP improved both at the operational level as well as in management capacity. The water production increased, the amount of non-revenue water was reduced and income from the sale of water went up. A recent performance assessment of the six water utilities in the larger Lake Victoria towns that benefited from the capacity building

programme in utility management shows the average increase in revenue since the start of the programme to be over 300%, while non-revenue water has dropped from an average of 63 per cent to about 44 per cent.

The customer base of the utilities is also expanding with an average increase in the number of water connections to more than 70 per cent (UN-HABITAT Annual Progress Report, 2010, 9). The WSP further improved its reporting capacity and one can conclude that the WSPs are slowly strengthening their capacity to maintain the system.

India

Programme outcomes in India reflect an increased institutional capacity for pro-poor W&S, a strengthening in collaborative and strategic partnerships and increased flow of investments. As regards the impact of operational programmes, the number of people that benefited from the WAC in India and Nepal during 2010 is estimated to be 120,400 and 47,000 respectively (Progress Report 2010, 7). Further, of the four cities targeted under the WAC in India, a total of 95 per cent of households living in poverty pockets now have access to improved water source (2006, UN-HABITAT WAC Brochure). In a similar vein, community managed solid waste management has become operational in five wards of the city of Jabalpur benefiting a population of 49,000, through house-to-house collection of waste (UN-HABITAT Annual Progress Report, 2010, 12).

The close linkage between the operational programmes and the strategic partnerships with governmental agencies, NGOs, research institutes and private sector in India has arguably been crucial in achieving progress. There is without doubt clear indication that partners are satisfied with UN-HABITAT in discussions



with partners and beneficiaries, they emphasized UN-HABITAT's international clout by virtue of being a UN organization, its ability to attract expertise and its role as facilitator and network builder and catalyst.

A reason for India's success in establishing a more advanced programme is the effective cooperation with government on national and local level, and the fact that the programme is well anchored within national and local government systems. There are also several examples where UN-HABITAT, through its partners, has been able to advise and expertly guide national and municipal governments ensuring that its models can be taken up on a sustainable basis.

UN-HABITAT's approaches have also been influential in the making of a legal framework in local government on issues such as water charges collection, rainwater harvesting and environmental sanitation in slums as well as in the preparation of city sanitation plans.

India shows further good results from the capacity building programme. There has been continuously work on building capacity of municipal staff, through capacity enhancement training

programmes also related to gender mainstreaming.

Mekong Region

In the Mekong region, about 100,000 people have benefited through the Mekong Region Water and Sanitation Initiative (MEK WATSAN) and the Water for Asian Cities Programme (WAC). The initiative performs well, utility performance is enhanced, and about 30 per cent of the utilities are covering their operational and maintenance costs. The MEKWATSAN programme outcome also includes greater accountability and transparency through institutionalization of Project Performance Monitoring and Evaluation framework (PPME). In Cambodia, Government has requested that UN-HABITAT provide the PPME software so that this framework could be institutionalized and replicated in other projects (UN-Habitat Annual Progress Report, 2010, 9, 10).

Beneficiaries and authorities in the three countries confirmed their appreciation of UN-HABITAT and wished for the continuation and extension of its activities in more or less the same way, especially the disbursement of funding directly to implementing agencies rather than channelled through several bureaucratic

layers. As one minister stated “UN-HABITAT is small, but beautiful”.

The approach on village/small town level is based on community sensitization and community participation. This, well tested methodology appears to have good results in the region. MEK-WATSAN did not introduce innovations, other than the micro credit for the investment in water supply and sanitation (Rijsdijk 2011).

Latin American Region

The Water for Cities Programme in Latin America and the Caribbean (WatSan-LAC) is a regional operational initiative that was initiated in Mexico and Bolivia in 2008. During 2009-2010, the Programme concentrated its attention on consolidating the local programmes in Mexico and Bolivia and started its activities in other countries of Central America (Nicaragua, El Salvador) and the Andean Region (Peru, Ecuador, Colombia) as well.

The main objective of the WatSan-LAC is to contribute to the sustainable access to safe drinking water and basic sanitation for the poor, particularly in the urban and peri-urban areas, and the Programme focuses on the following areas: pro-poor urban water governance, integrated urban environmental sanitation, implementation of integrated water resource management in urban settings, democratic governance, decentralization and empowerment, capacity building, water, sanitation and hygiene education and strengthening water operators.

The software approaches introduced by UN-HABITAT in the region include the development of monitoring mechanisms for the integration of gender-related issues in ongoing projects, community development tools such poverty mapping, as well as Human Values Based Water, Sanitation and Hygiene Education, advocacy, awareness-raising and education

activities in order to improve water management.

Capacity and institutional development is particularly evident as regards the WOPS-LAC. The latter has promoted 13 joint initiatives between several watsan operators in the LAC region. Another example of institutional development is found in Bolivia, with two projects cooperating with the Municipality of La Paz and the Municipality of Cochabamba. In the field of gender mainstreaming, ten workshops have been completed, and WatsanLAC is contributing to a “Gender Resource Book” in Spanish.

In terms of results and achievements, most projects are in a first stage of implementation and, as such, it is premature to assess the impact on infrastructure and hygiene awareness, or health benefits. However, PTAR-D (Decentralized Treatment Plant for WasteWater) is already installed and ready to operate in Cochabamba. In addition, the introduction of models such as vulnerability mapping in Mexico, the development and future implementation of Water Safety Plans in Mexico and Bolivia, and Citizens and Water Observatories to monitor WATSAN in Mexico and Bolivia illustrates some of UN-HABITAT’s innovative approaches.

In summary, the programme is well-valued by the national and municipal authorities and WatSanLAC is well-aligned with national and municipal programmes. This has been confirmed in field visits and interviews. Although in its early stages, the consultant thus concludes that the WatsanLAC country programmes are promising. A crucial weakness is, however, the heavy financial reliance on the Government of Spain, one which can only be solved by finding other and new donors for financing activities in the region.

CONCLUSIONS FROM THE IMPACT STUDIES

The two impact studies carried out last year reached more or less the same conclusions: UN-HABITAT's activities on the ground are making a substantial, strategic and direct impact from a relatively small investment. The projects are good value for money and have an impressive leverage effect on follow-up and complementary investments.

The impacts of the interventions in Nepal on the achievement of the MDGs are limited in terms of tangible increase in WSS coverage but the programme has achieved significant improvements in quality and relevance. More specifically, the interventions are well-integrated with relevant authorities, institutions and development partners at national and municipality level, as stated in the impact study. The main achieved impacts in Nepal from 2005 to 2008 include the development of strategic approaches, policy reforms, training and tools in partnership with the Government and demonstration of pro-poor community based management mechanisms in selected pilot communities, helping achieve the WSS MDGs in cooperation with NGOs, municipal authorities and the stakeholders (Impact Study, 2010). Hence, the actual value added and impacts made by the first generation pilot projects provide a solid base for future large-scale replication.

The Kenya impact study points out that the Kenyan programme performance is less clear in its coordination than in Nepal, however, it emphasizes that the combination of water-supply infrastructure works with "software" activities, in particular the MSF seen in LWATSAN, is a good model programme, (Kenya Impact Study, 2010,60).

THE IMPACT OF GLOBAL NORMATIVE ACTIVITIES

Normative activities supported by the Trust Fund provide a basis for policy dialogue among water and sanitation providers, users, utilities and governments. There are various activities that can be described as normative; the key theme for the normative activities is, however, pro-poor governance work. Other cross-cutting elements of the programme include monitoring and evaluation activities, water-demand management, urban-catchment management, values-based water education, advocacy, awareness-raising and information exchange, pro-poor sanitation as well as capacity building and gender mainstreaming.

As part of its normative work UN-HABITAT has also disseminated a large amount of information including policy options, norms, standards and management toolkits. This includes, but is not limited to, pricing policy, water demand management, rainwater harvesting, advocacy, education and so on.

Three global reports covering water and sanitation issues, several source books and technical guidelines, capacity building, advocacy and networking have been produced. The investment is small compared to the regional and country programmes.

The three global reports are rated highly. Key staff members have contributed to regional and global policy debates through engagement in political processes, such as the African Ministers' Council of Water (AMCOW), the Asia-Pacific Ministerial Conference on Housing and Human Settlement (APMCHUD) and UN-Water.

WSTF has also advocated for pro-poor urban water and sanitation issues in several international conferences and

events. This evaluation has not been able to assess the results of such activities. Another type of evaluation would have been required to measure results of global and regional advocacy activities. The same applies to documenting the results of capacity building at all levels. Time series data are required to assess change over time.

SUSTAINABILITY

The projects reviewed suggest that UN-HABITAT is able to attract the right partners and support a wide range of initiatives. Whilst the programmes in India are phasing out, Mekong, LWATSAN and the activities in Latin America need further resources and time to draw conclusions on the level of sustainability of the projects.

That said, there is still room for improvements. The Google H2O platform illustrates a promising and innovative initiative in which sustainability could have been considered more strongly. The project is not being continued due to a lack of financing, and the databases created have so far not been developed further. As the Impact study concluded, experiences from the development of similar databases suggest that finding a sustainable long-term host- institution and creating incentives which enable database to be used and maintained are critical success factors (Impact Study 2010, 21).

The most critical question is perhaps not to what extent WSTF-supported activities will continue without external support, but whether the benefits and outcomes are adopted, disseminated, used and replicated. The general feedback on the relevance of global normative activities is very positive, but inadequate systematic information is available about use, adoption rates and replication.

A key conclusion from the Lake Victoria study is that the performance of the Water Service Providers improved considerably,

but continuing external support is essential to ensure that the benefits of the project will last. The fact that the WSP's are still not sustainable does not imply any mismanagement or under-estimation of the tasks by UN-HABITAT. In view of the gigantic challenges the WSPs faced at the start of the project, it would be unrealistic to assume everything could be solved within a few years. It is noteworthy that the "best performing" WSP of Uganda (and Uganda's showcase of proper management), the National Water & Sewage Corporation, is still not sustainable at present (Rijsdijk 2011).

Building viable models for future large-scale replication was a major motive for WSTF. There is evidence that WSTF models and approaches have been adopted and replicated in other settings, as seen in India, but no systematic information. It would be useful to incorporate this element into reporting systems and assessments of impact and outcomes incrementally by country, subject areas and to allow for country comparisons.

The present approach of the MEK-WATSAN initiative has the potential for replication, although the system of grants and revolving loans should be reviewed as this is not sustainable in its present form. The social and institutional sustainability appears to be good, while the technical sustainability of the watsan investments is satisfactory, although the some technical constructions have minor flaws (Rijsdijk, 2011).

It should also be emphasized that the sudden cut in resources pose a considerable risk to the sustainability of projects that are not completed. The self assessment survey shows that only 12.5 per cent of the respondents believe that an exit strategy is prepared while 75 per cent of the respondents replied that they don't know. In line with the recommendations made in the Mid Term

Review, there is a need to formulate exit strategies that help to ensure sustainability.

CONCLUDING REMARKS

The assessment of the team is positive – WSTF's ability to achieve results is recognized, but the conclusions are more nuanced than from the stakeholders:

- The overall rate of implementation is good – despite certain delays and underexpenditure
- The feedback from stakeholders on relevance is positive
- There is also significant evidence of successes and results at programme and project level
- There is no information on long term impact – on changes in socio-economic conditions, health status, etc. Available data are mostly at project output and outcome level.
- WSTF has prioritized and achieved the best results as a model tester and service provider at community and municipal level through the Water for Cities programmes and the two replicable model setting initiatives. There has been a “downstream” emphasis through the introduction of new social and technical models in cities and small towns. WSTF has achieved significant results at community and municipal level.
- WSTF has successfully supported regional and national network building – using its “convening power” as a UN agency. WSTF has successfully established productive partnerships with all the regional banks, helping to fast track investments and promoting the pro-poor agenda in design processes
- WSTF has made successful progress in capacity building through partnerships with both governmental and non government partners
- WSTF has supported a broad range of training events and prepared and introduced technical tools and guidelines but there is limited systematic information about their use and impact.
- The level of involvement in research and generation of new knowledge is limited but with interesting and promising examples
- The programme has not prioritized involvement in national policy and sector reform processes, such as participation in sector working groups, strategic advocacy and raising awareness even if there are increasing examples of such involvement
- The global monitoring efforts were promising but lost some momentum

5.2 CAPTURING UN-HABITAT'S CONTRIBUTION TO CHANGE

This evaluation has tried to document achievements and results based on existing data and information and verify such findings through regional and country case studies. However, the concept of results and impact and capturing UN-HABITAT's contribution to change is complex. An everyday understanding of impact would be: “What difference has the Trust Fund made to the intended beneficiaries and their partners?” or “To what extent has the Trust Fund helped to achieve the MDGs – that is, reduced the number of people without sustainable access to safe drinking water and basic sanitation”.

More technical definitions would focus on the uniqueness of the effect



achieved by posing the counter-factual question: “would this have happened anyhow, without the intervention of UN- HABITAT?” Such a question begins to highlight some of the difficulties in demonstrating UN-HABITAT’s impact, in particular the contribution of “beneficiaries” and partners to impacts that occur.

Yet, colloquially having an impact implies that an actor such as WSTF brings about change in the world. UN-HABITAT has influence while the “target” of a service is relatively passive. There is a chain implied that leads from inputs to outputs, outcomes and in the longer-term “impacts”. This perspective on “impact” leads to questions about needs, the deployment of resources, an assessment of outputs, how efficiently outputs have been produced and the effects this has for “beneficiaries”.

An alternative understanding of impact starts by assuming that social, economic, technical and political change rarely comes about through the actions of a single external agent. When a government receives advice, it first of all has to decide whether or not it is interested in advice and, once received, has to decide to follow up. “Beneficiaries” are not passive and the most that advisors, capacity builders and the like can achieve is to “facilitate and catalyze” change. This is consistent with the Paris Declaration and the Accra Agenda for Action and much development oriented thinking. One conclusion is that most activities of a WSTF are more understandable within the second understanding of impact than the first.

The MTSIP Peer Review recognized that UN-HABITAT has the understanding that results are those changes that occur above and beyond the level of outputs – even if results, to a large extent, are still described in terms of activities and outputs. However, there is a much weaker understanding that there are various categories of results and that there needs to be different indicators for each category.

The performances - or success criteria - are different between research, capacity building, advocacy and scaling up. Results in the final category are best captured in coverage indicators while success in research is assessed in terms of quality, relevance, replicability, etc. The contribution of UN-HABITAT should, in many cases, be measured by other means than numerical indicators and long-term MDG impact. WSTF has primarily a catalytic role while large-scale impact should be the responsibility of partners. The further out in the results chain, the more unlikely it is that changes can and should be attributed to UN-HABITAT alone.

5.3 PERFORMANCE INDICATORS

The WSTF Strategic Plan has identified three performance indicators or measures of success. The ultimate aim is to achieve MDG Goal 7 and “increase number of urban poor provided with access to affordable and environmentally sustainable water and sanitation compared to baseline”, but the outcome measures are at another level:

- Increased institutional capacity in partner countries for advocating/ promoting and implementing pro-poor water and sanitation initiatives and policies with focus on gender
- Increased flow of investment into the water and sanitation sector catalyzed by WSTF interventions
- Improved MDG monitoring mechanisms in place in partner countries, with improved benchmarking of water and sanitation service providers

In other words, WSTF wants to make a difference and look for results in three areas – institutional strengthening, level of investments and global monitoring mechanisms – that are considered important preconditions for achieving the MDGs and areas in which UN-HABITAT can make an important contribution.

MTSIP has formulated other and different types of performance indicators for Focus area 4: Environmentally sound basic urban infrastructure and services which would be an agreed number of:

- Countries and cities adopting improved infrastructure governance frameworks
- Urban centres, including secondary and small towns, adopting environmentally sound and energy efficient technologies in construction



and provision of services and basic infrastructure

- Countries demonstrating increased and sustainable access by the urban poor to adequate clean water, improved sanitation and waste management
- Cities with strategies to minimise and deal with climate change effects

It is unfortunate that UN-HABITAT operates with two sets of performance measures for water and sanitation. However, the MTSIP approach and indicators are less in line with the understanding of results and impact advocated for in this chapter. The indicators are focusing on numbers and increase in coverage without considering sufficiently the catalytic and model-building nature of the water and sanitation programme. The indicators from the WSTF strategic plan are more relevant for capturing WSTF's contribution to change. It would most likely be impossible to collect valid and reliable data for the MTSIP indicators – to agree on precise operational definitions, establish a baseline and gather reliable data.

6

Conclusions and Recommendations

6.1 CONCLUSIONS

POLICY AND STRATEGY

The WSTF strategy and programmes are highly relevant:

- By focusing on water and sanitation - fundamental prerequisites in urban slum development
- By targeting the vulnerable and often neglected populations in small urban centers and poverty pockets in larger cities
- By promoting pro-poor governance strategies and building models of good practice (e.g. community-based sanitation, water demand management, innovative water and sanitation approaches and capacity building of communities) for up-scaling and replication by national governments and regional development banks
- By forging a wide range of partnerships with civil society, municipalities and utilities, local and national governments and development partners By focusing on innovation, learning and software development addressing barriers for reaching the poor with sustainable services and replicable models for widespread dissemination and use
- By operating at global, regional and country level with combined operational and normative interventions, like programme support, capacity building, advocacy and resource mobilization

WSTF has spread its resources widely both thematically and geographically. The programme has not focused sufficiently

on its original innovative model building nature supporting useful, but less essential activities for WSTF.

WSTF has prioritised roles differently:

- Emphasized the roles as model tester and service provider at community and municipal level in the Water for Cities programme and the two replicable model-setting initiatives
- Gradually been involved at national level in sector reform processes, but sporadically and not as part of a strategic effort
- Successfully supported regional and country network building – using its “convening power” as a UN agency



- Been more involved in the application and testing of tools and methods than in applied research and generation of new knowledge
- Maintained a strong operational focus in the country and regional programmes while the learning aspects have been weak and not sufficiently integrated in the operational work
- Lost momentum in the global monitoring of MDG efforts
- Been involved in global advocacy but not to any large extent

Based on the premise that WSTF is an experimental, model-building programme, there has been an imbalance between the various parts of the programme: normative and operational, capital investments and learning/documentation, software and hardware, global and regional/country programmes.

PROCESSES AND RESOURCES

- The Trust Fund has helped establish a strategic programmatic approach with an agreed and simplified planning and reporting procedure *vis-à-vis* the donors. It has also so far provided long-term, relatively predictable and generous funding.
- The multi-donor support to the Trust Fund has gradually eroded - only the Norwegian Government currently provides core resources.
- The sudden withdrawal of support by the Government of Spain creates reputational risks for the organisation. WSTF has signed agreements which will either have to be cancelled or significantly changed. A more incremental change in consultation with stakeholders could have reduced such risks.
- The Human Settlements Finance Division consists of the Water,

Sanitation and Infrastructure Branch and the Urban Finance Branch. The two branches perform different functions and there are no clear benefits from such a merger.

- WSTF is project and activity driven partly as a result of how the programme is funded. Country strategies are missing – providing an overview of what WSTF does, why, with whom, how and where.
- WSTF is perceived by other parts of UN-HABITAT as too self-contained, with vertical activities not sufficiently linked to other sectors.
- WSTF does not have a strong global monitoring and evaluation system – learning tools to assess progress and performance on a regular basis in order to analyse what works and what doesn't.
- The Trust Fund has received significant contributions from several bilateral donors since 2004 (approx USD 120million). Seventy-five per cent of the funds have been provided as un-earmarked resources, providing WSTF with significant flexibility.
- The expected budget for 2011 was approximately USD 15 million but has been reduced by two-thirds. Marginal resources will be available for operational activities when salaries are covered.

PARTNERSHIPS

- The partnerships between WSTF and the regional banks have been of mutual benefit and importance, but more in programmatic than financial terms. The programme has helped to fast track loans and given them more pro-poor characteristics.
- WSTF should maintain its autonomy in all partnerships in order to analyse critically what works and what

doesn't and support innovative learning.

- There are promising examples of partnerships with private sector companies.
- There is scope for strengthening WSTF's participation in development partner coordination.
- WSTF could have played a stronger role as "strategic influencer" at national and sector level.
- WSTF has to a large extent established its own presence in countries with Chief Technical Advisors keeping only formal communication lines with RTCD and UN-HABITAT's regional and country offices.

ACHIEVEMENTS AND RESULTS

- Most programmes and activities have been well implemented.
- Major stakeholders rate WSTF's performance as high. A general response is that projects are making a substantial and direct impact from a relatively small investment. The projects are considered as good value for money and a leverage effect on follow-up and complementary investments.
- The programme has supported a range of global normative activities. Another type of evaluation would have been required to measure results of global and regional advocacy activities and documenting the results of capacity building.
- It is often not possible to measure increase in WSS coverage and much less the contribution to MDG achievements, but the programme has achieved significant improvements in quality and relevance of projects building the



basis for large scale replication in the future.

- WSTF has prioritized and achieved the best results as a model tester and service provider at community and municipal level. The programme has achieved significant results at community and municipal level.
- WSTF has successfully supported regional and national network building – using its "convening power" as a UN agency.
- WSTF has successfully established productive partnerships with all the regional banks, helping to fast track investments and promoting the pro-poor agenda in design processes.
- WSTF has supported a broad range of training events and prepared and introduced technical tools and guidelines, but with limited systematic information about impact.
- UN-HABITAT's added value is to "facilitate and catalyse" change. Social, economic, technical and political results rarely come through the actions of a single external organisation.

- The contribution of UN-HABITAT should in many cases be measured by other means than numerical indicators and long-term MDG impact. WSTF has a catalytic role while large scale impact should be the responsibility of partners.
- There is no information on long-term impact - mostly on outputs and outcomes at project level. It is not feasible to measure aggregate results at country, regional and country levels.
- The level of involvement in research and generation of new knowledge is relatively limited, but with interesting and promising examples.
- The programme has not prioritized involvement in national policy and sector reform processes.

6.2 RECOMMENDATIONS TO WSTF SENIOR MANAGEMENT

- Prepare a paper to be discussed with the Advisory Board assessing the current status of the programme and presenting alternative scenarios. The purpose of the paper is to secure the benefits of what has been invested, reduce negative impacts of budget cuts and stimulate reflection on alternative approaches.
- In order to ensure the sustainability of the WSTF, the team feels that it would be important to consider the following three scenarios/options:
 - * **A re-establishing approach** – with the aim to identify new donors and mobilise new resources in order to re-establish the programme at the “normal” level of funding (15-18 Mill USD). In this scenario, the current profile and balance between roles and interventions will be maintained including the number of staff.
 - * **A status quo – but lower-level approach** - with the aim to continue with the same profile and mix of programmes, but at a much lower level. Some activities may be cancelled but most normative and operational programmes will continue.
 - * **A re-focussing strategy** , which would involve sharpening the programme and selecting a few core programmes in which WSTF should invest its resources. This would mean that a large number of activities will have to be left out.
- This evaluation recommends to pursue the refocusing strategy and consider the following options:
- Reduce the number of operational regional and country programmes in particular the capital investment components “Regionalize” and make the operational programmes more autonomous and country-specific in close consultation with the Regional Offices and CTAs – if possible with support from previous and new donors. Also ensure that the regional programmes are assessed for their actual impact in the concerned country and for each region.
- Maintain the field testing and “real life” laboratory function in cooperation with research institutes in a few selected geographic and thematic areas
- Reinforce efforts to establish a system for global and national monitoring of W&S indicators and achievement of MDGs
- Strengthen the learning and documentation component of



the programme by seeking more cooperation with universities and research institutes

- Strengthen global advocacy, networking and preparation of guidelines and technical tools. If necessary, reduce the direct involvement in capacity building.
- Strengthen the involvement in national policy and sector reform processes
- Don't do what NGOs and others can do better and more efficiently. Continue with capacity building of local partners, preferably through long-term coaching rather than short-term training sessions
- Continue partnerships with the regional banks while maintaining its independence and integrity as a UN organisation
- Review existing human resource capacity and expertise based on the requirements of the new strategic priorities. The premise should be that a more knowledge-based programme requires new expertise.

FOR UN-HABITAT AND WSTF SENIOR MANAGEMENT

- Review the existing organisational and divisional structure and explore

how the Urban Water and Sanitation can maintain its strengths and develop stronger horizontal linkages with other parts of the organisation.

- Restate and if necessary rephrase the importance of water and sanitation within the broader agenda for sustainable urban development.
- Discuss the role and viability of Trust Funds in general and WSTF in particular.

FOR THE WSTF ADVISORY BOARD

- Ensure that WSTF's future role in UN-HABITAT is discussed in the Committee for Permanent Representatives and other appropriate fora.
- Provide professional and financial support to ensure a smooth change/transition of the programme.
- Continue funding (of particular importance for the Government of Norway) in order to protect investments and ongoing activities, reduce negative effects and allow a repositioning of the Trust Fund.
- Discuss the future viability of the Water and Sanitation Trust Fund including the role of the Advisory Board as a forum for strategic and programmatic analysis and discussion.

Terms of Reference

EXTERNAL EVALUATION OF THE OPERATIONS OF THE WATER AND SANITATION TRUST FUND

Programme Title:	UN-HABITAT Water and Sanitation Trust Fund
Region:	Africa, Asia, Latin America and the Caribbean Regions
Title:	External Evaluation of the UN-HABITAT Water and Sanitation Trust Fund
Duration:	Three months' work spread over five months

1.1 INTRODUCTION AND BACKGROUND

During the Water and Sanitation Trust Fund Advisory Board meeting held in Nairobi, Kenya, on 16 April 2010, the Government of Norway announced its intention to undertake an external evaluation of its support to the Trust Fund over the last 8 years. It also encouraged other Trust Fund donors to collaborate in undertaking the external evaluation. Following this call, the Governments of Norway, Spain and the Netherlands, in collaboration with UN-HABITAT, plan to jointly undertake an external evaluation of activities supported by the Water and Sanitation Trust Fund.

The Trust Fund was launched by UN-HABITAT in October 2002 in response to two major international calls: Millennium Development Goal 7, Target 10 which aims *"to reduce by half the proportion of people without sustainable access to safe drinking water by the year 2015"*; and an appeal in 2002 at the World Summit on Sustainable

Development, which added a target on *"reducing by half the proportion of people without access to basic sanitation by 2015"*.

The Trust Fund's activities are directed at creating an enabling environment for increased investment in water and sanitation targeted to the urban poor. The Trust Fund-supported Water and Sanitation Programme of UN-HABITAT seeks to establish investment oriented collaborative arrangements with regional and international financing institutions with a view to promote increased flow of investments to the water and sanitation sector in the participating cities. The programme supports four inter-linked sets of activities:

- Three regional water and sanitation programmes in Africa, Asia and Latin America and the Caribbean, which facilitate pro-poor investments in partnership with regional and multilateral financing institutions
- Replicable model-setting initiatives targeting secondary urban centers in the Lake Victoria and the Mekong regions
- Normative activities which focus on developing pro-poor and gender sensitive governance frameworks, including policy options, norms, standards and management toolkits for the urban water and sanitation sector
- Monitoring progress towards the achievement of MDG and WSSD targets related to water and sanitation

The external evaluation will cover all the water and sanitation activities of

UN-HABITAT from 2004-2010, including the Lake Victoria Water and Sanitation Initiative (LVWATSAN) and the Mekong Region Water and Sanitation Initiative (MEKWATSAN).

1.2 MID-TERM REVIEW OF THE WATER AND SANITATION TRUST FUND ACTIVITIES

In early 2007, UN-HABITAT undertook a mid-term review of the Trust Fund activities to assess how well the Fund is achieving its objectives, its potential impact and to explore modalities for ensuring long-term sustainability of the Fund. Specific objectives of the Mid-Term Review were to:

- Review the already-delivered outputs and outcomes and the trends towards delivering the planned outputs and outcomes of the programme to achieve the goal and objectives of WSTF
- Review whether the strategies adopted by the WSTF are relevant to its stated objectives, and to assess the extent to which possibilities for self-sustainability have emerged
- Review the current scope of the Water and Sanitation Programme under the Trust Fund and determine whether or not it is still valuable, appropriate and can yield the expected results
- Carry out a forward-looking appraisal and develop a strategy to ensure continued relevance, efficiency, effectiveness and sustainability of the WSTF
- Analyze the existing structure and procedures for reporting, follow-up and monitoring of the Trust Fund

operation and the programme, and to propose improvements in these structures and procedures

The Mid-Term Review confirmed that the Trust Fund's goal of contributing to the achievement of the Millennium development goals remains valid and relevant. It noted that the programme addresses key barriers to the expansion of services to the urban poor and to small urban areas apart from making a direct contribution to improved coverage in those locations where the programme is operational. The Trust Fund's work in developing tools (poverty mapping and small community-managed piped-water supply among others), models and processes which advance pro-poor governance was lauded by development banks such as the African Development Bank as one of its most useful contributions.

The Mid-Term Review also noted that, although most projects, especially in Africa, are in early stages of development and implementation, some country programmes are showing signs of promise. It concluded that assured long-term funding and a field management retention policy should enable continuity and enhance the prospects of sustainable impact.

These terms of reference is built on the experiences gained in the Mid-Term Review. It provides a good opportunity to compare the findings and track



the achievements made by the Trust Fund since the Mid-Term Review was conducted.

1.3 THE TRUST FUND STRATEGIC PLAN (2008-2012)

Based on the findings and conclusions of the Mid-Term Review, UN-HABITAT developed the *UN-HABITAT Water and Sanitation Trust Fund Strategic Plan 2008-2012*. The Strategic Plan also benefited from the *UN-HABITAT Medium Term Strategic and Institutional Plan (MTSIP)* for the period 2008-2013 and guidance of recipient countries, development partners and UN-HABITAT field staff.

The purpose of the Strategic Plan is to guide Trust Fund work in addressing challenges of the internationally-agreed water and sanitation goals and UN-HABITAT mandates, including the overall goals of Shelter for All and Sustainable Human Settlements Development, as embodied in The Habitat Agenda and the *UN-HABITAT Medium Term Strategic and Institutional Plan (MTSIP)* for the period 2008-2013.

The Strategic Plan envisages a focus on consolidation of activities and modest expansion. It envisions three key outcomes:

- Increased institutional capacity in partner countries for advocating/ promoting and implementing pro-poor water and sanitation initiatives and policies with focus on gender equity, renewable energy and efficiency and environmental sustainability
- Increased flow of investment into water and sanitation sector catalysed by Water and Sanitation trust fund interventions

- Improved Millennium Development Goals monitoring mechanisms in place in partner countries, with improved benchmarking of water and sanitation service providers

Activities supported by the Trust Fund fall under Focus Area 4 (FA4) of the MTSIP on “environmentally sound basic urban infrastructure and services”. FA4 reflects UN-HABITAT’s vision of urban water and sanitation as part of wider processes of human settlement development and improvements in the living environment of the urban poor, in particular. This vision corresponds to the four established focus areas of the Trust Fund’s Strategic Plan for the period 2008–2012. These are delivering sustainable services for the poor; ensuring synergy between the built and natural environment; monitoring the Millennium Development Goals and beyond and integrating infrastructure and housing.

The management framework for the Trust Fund has shifted to a more results-oriented approach, under which work plans and targeted outcomes are being guided by both the Trust Fund Strategic Plan for 2008-2012 and the UN-HABITAT Medium-Term Strategic and Institutional Development Plan, 2008-2013.

1.4 IMPACT STUDY OF TRUST FUND ACTIVITIES

The impact evaluation of the Water and Sanitation Trust Fund was carried out by a team of three international consultants from October 2009 to January 2010. It marks the first phase of a plan to regularly assess the impact of activities supported by the Trust Fund, in accordance with the recommendations of the Trust Fund Advisory Board.

The Impact Study focused on three components of the WSTF programme:

- Country impact study on UN-HABITAT's Kenya initiatives
- Country impact study of UN-HABITAT's Nepal initiatives
- A global impact study of UN-HABITAT's gender operations

The findings of the impact evaluation were presented and discussed during the sixth session of the WSTF Advisory Board meeting held in Nairobi, Kenya on 16 April 2010. Overall, the impact evaluation concluded that "UN-HABITAT's project activities on the ground are making a substantial, strategic and direct impact from a relatively small investment. The projects are good value for money and have an impressive leverage effect on follow-up and complementary investments."

The external evaluation will complement the findings and recommendations of the Impact Study. A review of the Impact Study reports and interviews with the former consultants will provide a good starting point for the external evaluators.

1.5 OIOS AUDIT OF TRUST FUND ACTIVITIES

OIOS conducted an audit of Water and Sanitation Trust Fund activities in August 2009. The overall objective of the audit was to assess the adequacy of the arrangement for ensuring that water and sanitation project activities are implemented in accordance with the approved project documents and cooperation agreements (CAs).

The audit noted that the Trust Fund's activities in various countries in Asia and Africa were well received and appreciated by all major stakeholders, including beneficiaries, local government authorities and local communities and implementing

partners. However, it also noted the need to strengthen the arrangements for oversight and support for activities both at Headquarters and project field operations in Laos, Nepal, India, Tanzania and Senegal.

The audit recommended the development of a comprehensive Operational Field Manual accompanied with adequate training in all administrative matters, and that a delegation of administrative responsibilities be established in the areas of signing CAs and streamlining and improving the approval and execution of most administrative actions currently delivered through UNON and UNDP.

It also recommended the use of a more decentralized approach to improve local operations, increasing responsiveness and quality delivery of services in the field offices, such as granting of delegation of authority to project offices by establishing a regional (or sub-regional) operational framework.

2. THE PURPOSE OF THE EVALUATION

This Evaluation will contribute to the refinement, adjusting and improvement of the Trust Fund's directions and practices. It will also provide useful information for UN-HABITAT, the Trust Fund's contributing donors, recipient countries and other sector stakeholders on what is working and what is not working well and why. It will also explore modalities for ensuring long-term sustainability of the Trust Fund.

The specific objectives of this evaluation are to:

- Assess the extent to which both normative and operational activities supported by the Trust Fund in partner countries has had an impact on individual beneficiaries and

communities, both in terms of service coverage and increased skills and knowledge base related to water and sanitation

- Determine the extent to which the UN-HABITAT water and sanitation programme is integrated into the national sectoral and donor coordination mechanisms, including "One UN" processes
- Capture the perception of local counterparts and other partners on the contribution that the Trust Fund is making to the sector
- Determine the volume of follow-up investments, specifically by the regional development banks (in context of the MoU with UN-HABITAT), realised at the country level as a result of the Trust Fund's interventions
- Show the results of advocacy and related normative work with regional political processes and international events in promoting models of good practice and in raising the profile of pro-poor urban water and sanitation services
- Assess how sustainable the Trust Fund interventions are both at the national and local level including ownership at the community level
- Document lessons learned, success stories and good practices in order to maximize the experiences gained
- Provide recommendations on how to build on the achievements of the Trust Fund and ensure that they are sustained by the relevant stakeholders

In view of the purpose of the Evaluation as described above, the following issues are expected to be important in the design of the Evaluation

A. Effectiveness: *Extent to which the objectives of the Trust Fund have been achieved.*

- Which activities are potentially most effective in contributing to the achievement/non-achievement of stated objectives of the Trust Fund, what are the characteristics of these activities and to what extent could they have been replicated in other regions or thematic areas?
- To what extent are the management and coordination mechanisms used by UN-HABITAT in supporting the Trust activities effective?
- To what extent is the Trust Fund's monitoring mechanism able to effectively measure and present the effectiveness, results and efficiency of the programme and report it to UN-HABITAT and the Water and Sanitation Trust Fund Advisory Board?

B. Efficiency: *The optimal transformation of inputs into outputs.*

- To what extent are funding patterns, mechanisms and dynamics commensurate with the level of efforts and resources expected to achieve the intended results?
- To what extent are delivery mechanisms of activities efficient?
- What are the most efficient areas of operation for the Trust Fund activities (by country, region or thematic area of work)?
- Are the ongoing activities cost-efficient?
- To what extent has UN-HABITAT efficiently allocated resources between countries and activities?

C. Impact and Replicability: *An assessment of the changes that can be attributed to Trust Fund interventions and*

the replicability of the Trust Fund approach and results.

- What are the main outcomes of the normative and operational activities supported by the Trust Fund?
- To what extent has the Trust Fund made a significant contribution to the strengthening of national and local institutional capabilities of the participating countries?
- Can the Trust Fund approach and results be replicated and scaled up by national partners?
- What role has UN-HABITAT and Trust Fund donors played to encourage further replication of activities supported by the Trust Fund?
- What would be the conditions necessary to further replicate Trust Fund interventions?

D. Sustainability: An assessment of the institutional and financial sustainability of Trust Fund interventions

- To what extent was sustainability considerations taken into account in the execution and conduct of the Trust Fund's activities? What steps have been taken by UN-HABITAT to ensure institutional and financial sustainability?
- Are the programme results, achievements and benefits likely to be durable? Are these anchored in national institutions and can the partners maintain them financially at end of the programme?
- What are the major factors that could potentially influence the achievement/non-achievement of sustainability of the programme? For example, what are the current lessons learned?

4. SCOPE OF THE EVALUATION

The Evaluation will encompass the entire Trust Fund activities from 2004-2010, including the Lake Victoria Water and Sanitation Initiative and the Mekong Region Water and Sanitation Initiative. It will examine selected cities to validate the extent to which the programme has had an impact on individual beneficiaries, communities and partner countries. Inputs from cities and local stakeholders will be incorporated into the evaluation wherever possible.

The consultants for the evaluation will make recommendations on how to improve the operations of the Trust Fund, keeping in mind the objectives outlined in the previous section. The consultants will be expected to undertake missions to selected cities.

5. EVALUATION METHODOLOGY

The Evaluation process will require a combination of multiple and complimentary approaches. The detailed methodology should be outlined in the inception report, including approaches to measure impact and defining the counterfactual (statistical designs, theory based approaches, expenditure mapping, comparison countries/cities/groups, reconstruction of baseline when baselines are not available, triangulation etc. should be discussed). Approaches to be used will include:

- Desk review of relevant programme documents, including those furnished by UN-HABITAT
- Briefing meetings and further discussion with relevant staff
- Interviews with key informants/

stakeholders/partners at all levels (to be identified as part of the planning and implementation arrangements and should include representatives from Governments, Utilities, NGOs and Communities)

- Field and mission visits

6. EVALUATION TEAM COMPOSITION AND SELECTION

It is proposed that the evaluation be carried out by a team of four international consultants to be identified and supported by the Governments of Norway, Netherlands and Spain. Local consultants will be selected to work with the international consultants in Lake Victoria and the Mekong regions. Responsibilities of the donors in the identification and selection of consultants will be as follows:

- Government of Norway will select the Principal Consultant whose responsibility will be the overall coordination of the Evaluation. It will also select an international consultant in charge of the evaluation exercise in Africa and Asia.
- Government of the Netherlands will select an international consultant responsible for Lake Victoria and the Mekong regions. Two local consultants will also be selected to work in Mekong and Lake Victoria respectively. The two local consultants will work directly under the supervision of the international consultant responsible for the Lake Victoria and the Mekong regions.
- Government of Spain – will select an international consultant responsible for Latin America and the Caribbean.

The selection of the consultants will be on a competitive basis and will take



into account professional expertise and proven experience in evaluation and review processes. Gender balance will be considered in composing the team.

The evaluators are required to disclose in writing any past experiences, of themselves or their immediate family, which may give rise to a potential conflict of interest, and to deal honestly in resolving any conflict of interest which may arise. The evaluators are also required to familiarize themselves with the United Nations Evaluation Group Norms, Standards and Code of Conduct for Evaluation in the UN system (attached).

- A programme for visits and consultation meetings
- A methodological framework for assessing impact of the country programmes, including a draft set of criteria and indicators
- Interview protocols for different stakeholders, including specific questions to the Trust Fund Management and/or Advisory Board

Analytical Model

The analytical framework seeks to present a structure for the evaluation and the final report. The framework suggests that the Water and Sanitation Trust Fund needs four key abilities to achieve its overall objective related to policies, organisational processes, partnerships and results. Each of them covers the usual evaluation criteria, such as effectiveness, efficiency, impact, relevance and sustainability. The framework is comprehensive and covers more questions and issues than listed below, but the most relevant are selected. We suggest that most attention is given to the policy, partnership and product/results questions and less on questions about processes.

for how to reach these objectives and how the programme has utilized and built on emerging opportunities.

The key questions are:

- Is the strategy clear?
 - * Are key objectives for pro-poor governance, gender mainstreaming, replicable model building etc, clearly defined and understood in the same way?
- Is the current strategy relevant?
 - * Does it address the priority needs of the urban poor?

Simplified Model

Internal Dimensions	External Dimensions
Policies (Relevance)	Partnership (Replication, Leverage)
Processes (Efficiency)	Products (Effectiveness, Sustainability)

POLICIES – THE ABILITY TO MAINTAIN AN IDENTITY REFLECTING THE PURPOSE, COMPARATIVE ADVANTAGE, VALUES AND STRATEGIES OF THE WSTF

It is essential to assess first what WSTF wants to achieve – both in terms of a long-term vision and more short-term objectives and targets including its “added value” compared to other programmes. It is further crucial to look at the strategy



- * Does it build on UN-HABITAT's strengths (comparative advantage)?
- * Is it technically sound?
- * Is it environmentally sound, socially acceptable and sustainable?
- Is the strategy well balanced?
 - * Is there an appropriate balance between building replicable models versus providing and scaling up services?
 - * What is the significance of upstream policy advocacy and development at national and international level versus local operational activities?
 - * Has the programme effectively combined normative and operational activities?
- Is the strategy sufficiently focused?
 - * Are scarce resources spread on too many countries, thematic areas and programmes?
 - * What are the plans for future expansion/consolidation?

PROCESSES – THE ABILITY TO ORGANIZE AND ESTABLISH EFFECTIVE SYSTEMS AND PROCEDURES AND ENSURE THAT HUMAN AND FINANCIAL RESOURCES ARE AVAILABLE

Clear objectives are necessary, but capacity and capability are also essential in order to organize and establish effective systems and procedures for translating objectives into activities and results. The WSTF further require human and financial resources to implement its policies. Lastly, the “right” staff, appropriate systems and working methods are needed in order to achieve a pro-poor, gender and rights-based programme.

The key questions are:

- Is the Trust Fund an effective organisational model?
 - * What are the strengths and weaknesses?
- Does WSTF have adequate systems for planning, monitoring and evaluation?



- * Are priorities realistic and targeted?
 - * Are activities adequately monitored and reported on?
 - * Are evaluations carried out in order to learn from successes and mistakes?
 - Does the programme have an effective organisational structure?
 - * Does the organisational structure have a clear and effective division of responsibilities at all levels?
 - * Is the programme cost efficient?
 - Does the programme have access to sufficient and sustainable resources?
 - * How much resources have been mobilized from donors compared to additional leveraged sources?
 - * Has funding been stable and predictable?
- (government, municipalities, private sector, NGOs)?
- * How and on the basis of what principles does WSTF choose its partners?
 - Are the WSTF programmes coordinated with other partners (level of harmonization) and aligned with country systems and priorities, national and local programmes?
 - Does WSTF become involved in new areas of work and responds to new needs?

PARTNERSHIP – THE ABILITY TO RESPOND AND ADAPT TO NEW DEMANDS AND WORK EFFECTIVELY WITH AND THROUGH PARTNERS

With limited resources, the WSTF needs a broad range of partners – donors to provide financial resources, technical partners to provide advice and coordinating and implementing partners. In order to succeed as a catalytic and innovative initiative, the selection of partners is crucial.

The key questions are:

- Does the programme have the right partners?
 - * What are the main partners

PRODUCTS – THE ABILITY TO PROVIDE SERVICES AND PRODUCTS.

Last, but not least, good policies, processes and partners are necessary, but not guaranteed to make a difference. The programme should be able to provide, measure and document short- and long-term results.

The key questions are:

- Do partners perceive the programme to be relevant and beneficial?
- What are the WSTF's results and achievements in various areas¹²:?
 - * Beneficiary level
 - * Introduction and promotion of innovations/models
 - * Normative tools (e.g. manuals and guidelines) developed, disseminated and utilized
 - * Evidence of replication
 - * Awareness and policy impact
- What is the potential for future sustainability?

¹² It is important to keep in mind that the results are not global aggregates, but to a large extent builds on the in depth thematic and geographic studies in this evaluation.

Overview of Programme

BACKGROUND

UN-HABITAT's overarching aim is "to ensure an effective contribution to sustainable urbanization". In the area of Water and Sanitation, the goal is to contribute to the achievement of the internationally-agreed goals related to water and sanitation in human settlements, with particular focus on the urban poor in order to facilitate an equitable social, economic and environmental development (Kenya Impact Study Report, 2010, 7).

More specifically, the target is "to reduce by half the proportion of people without sustainable access to safe drinking water and sanitation by the year 2015". To reach this target, UN-HABITAT seeks to support developing countries' access to environmentally sound basic infrastructure and services with a special focus on the un-served and under-served populations.

In 2002, The Water and Sanitation Trust Fund (WSTF) was established, with the overall aim of helping governments to meet their commitment to the water target of the Millennium Development Goals (MDGs). The decision to arrange activities through the mechanism of a Trust Fund was meant as a means to serve as "a fast track mechanism for reaching out to the urban poor".

In this sense, it was thought that the Trust Fund would be a bridge to access benefits from city-wide improvements and offer contributors an opportunity to target a high-priority sector with maximum impact by taking advantage of the mandate and demonstrated core competencies of UN-HABITAT (Trust Fund Info Brochure, 2004, 2). Another main objective of the Trust Fund is to create an enabling environment

for pro-poor investments and in WATSAN issues in developing countries.

DESCRIPTION OF THE PROGRAMME

1. REGIONAL OPERATIONAL PROGRAMMES:

UN-HABITAT started out with quite a broad basis and geographical reach for its activities in the WSTF. The Trust Fund supports three regional programmes: Water for African Cities (15 countries), Water for Asian Cities (five countries) and Water for Cities in Latin America and the Caribbean (WatSan-LAC, five countries, See Annex 5). The stated objective of the regional programmes is to support partner countries to improve management of urban water supply and sanitation.

These programmes combine policy dialogue and normative work with on-the-ground pilot and demonstration water and sanitation projects focusing on pro-poor water and sanitation service delivery. In short, they represent a mix of operational and normative activities. The regional programmes have a multi-faceted strategy to programme formulation but mainly target poverty pockets in large urban areas and medium sized cities, as well as large rural areas with urban characteristics.

Overview of the thematic areas:

Water for African Cities (Now in Phase II), focuses on the following six key thematic areas and activities:

- Pro-poor governance and follow-up/Improved sanitation for the urban poor
- Urban catchment management

- Water demand management
- Water education in schools and communities
- Advocacy, awareness-raising and information exchange

Similarly, the **Water for Asian Cities** focuses on the following thematic areas and activities:

- Pro-poor water and sanitation governance
- Urban water conservation and demand management/Integrated urban environmental sanitation
- Income generation for the urban poor through community-based water and sanitation services (WAC Annual Report, 2009, 2).

The WAC programmes seek to achieve their main objectives by mobilizing political will; raising awareness through advocacy, information and education; providing training and capacity building, promoting new investments, demonstrating innovative approaches and monitoring progress towards the achievement of MDGs (WAC Annual Report 2009, 2).

The idea is to use a top-down approach to encourage and support national governments in the development of policies, regulations and legal frameworks, and a bottom-up approach to build capacity in local authorities to encourage institutional development. WAC has been designed with the ambition of scaling up and replicating at country levels, as such, has focused on cooperation agreements with national partners, regional and financial institutions.

The initial phase concentrates on sharing knowledge, raising awareness and exchanging information, followed by the formulation phase, to get attention from national and local stakeholders. An implementation and investment phase of

the programme then rolls out at city level, lastly, through information and knowledge sharing, the so-called 'consolidation and dissemination phase' ensures the anchoring of the enhanced capacity at city and regional levels (UN-HABITAT Internal Impact Assessment and Performance Review of the Water for African Cities Programme, Phase II, 2010, 8-9)

The various countries are however at different levels of their activity stages for, while India is in the process of completion, the programmes in Latin America are in early stages of development and implementation, having only been initiated in 2007.

2. REPLICABLE INITIATIVES

In addition to the regional programmes, there are "**Special replicable model setting initiatives**". The latter supports the adoption of a "learning by doing approach" that combines investment in physical infrastructure with capacity-building activities (UN-Habitat Strategic Plan, 2008-2002, 43).

One example is the Lake Victoria Regional Initiative (LVWATSAN), a joint project involving UN- HABITAT, the Governments of Kenya, Tanzania, Uganda, Rwanda and Burundi. The initiative is designed as a model to support partner countries and local authorities to achieve MDGs through relatively modest investment in infrastructure rehabilitation and capacity building in urban centers around the Lake Victoria region. The other replicable model setting initiative is the Mekong Region Water and Sanitation Initiative, which is operational in four countries (China, Lao PDR, Vietnam, and Cambodia). The latter similarly targets poverty pockets in urban areas and middle sized cities.

A key component of the above initiatives is capacity building and training at local level. Consultations with the communities and multi stake holder approaches

ensures ownership of the process, both at political and community participatory level. Further activities include advocacy, awareness raising and information exchange, values-based water education, gender mainstreaming and demonstration activities.

A main feature of the replicable initiatives is also the emphasis on immediate interventions with the aim of making quick fixes yet providing significant enhancements in WATSAN services provision. This is done by fast-tracked rehabilitation and implementation of cost-effective measures that arguably make a crucial difference to the service provision. The latter is also beneficial for the poor. The rationale of replicable initiatives is to serve as pre-investment interventions so as to be followed by larger-scale investments by donors or by regional or international financial institutions.

3. WATER OPERATORS' PARTNERSHIPS

The decision to establish the Global Water Operators' Partnerships (GWOP) Alliance mechanism originates from concerns about missing water and sanitation targets in the MDGs. The GWOP Alliance was launched during the World Water Week in Stockholm in 2007, with the goal of providing a basis for collaboration among water and sanitation operators and other stakeholders - civil society, NGOs, regulators, financial institutions and research facilities in order to help support operators who deliver water and sanitation services to improve their performance.

This is done by sharing information, promoting effective tools and experiences and establishing a web-based platform to facilitate sharing and exchange of lessons and experience for water operators in Africa, Arab countries, Asia and the Pacific, Latin America and the Caribbean

and South East Europe. In short, GWOPA can be described as being a broker, advocate and networker.

Normative Activities

The regional operational programs and the replicable initiatives are complementing elements and the combination of them facilitates the achievement of the water and sanitation MDG targets. The two are, however, underpinned by a number of cross-cutting activities, some of which are developed through these activities.

Among them are normative activities, monitoring and evaluation activities as well as other initiatives as described below (Mid-Term Review, 2007, 8). Normative activities supported by the Trust Fund provide a neutral forum for policy dialogue among water and sanitation providers, users, utilities and governments. There are various activities that can be described as normative; however, the over-arching theme for the normative activities is pro-poor governance work.

Pro-Poor Governance Work The phenomenon of pro-poor governance refers to supporting change in governance, so that low-income people in poor communities are given a voice in collective decision-making leading to improved access to for example good quality drinking water and basic sanitation. This is done by directly effecting policy, regulatory, legal and institutional instruments, and indirectly spurring pro-poor follow-up investment (i.e. investments targeted to improve service delivery and coverage for the poor) in water and basic sanitation to benefit those without access (UN-HABITAT Internal Impact Assessment and performance review of the water for African Cities Programme, Phase II, 2010, 10).

This also includes disseminating information on water and sanitation issues and developing pro-poor and

gender sensitive governance frameworks, including policy options, norms, standards and management toolkits which include but are not limited to pricing policy, water demand management, rainwater harvesting, advocacy, education and so on.

As part of its normative work, UN-HABITAT has disseminated a large amount of information with global reports having been published on the themes: “Water and Sanitation in the World’s Cities: Local Action for Global Goals 2003”, “Financing Urban Shelter” (2005), “Meeting the Development Goals in Small Urban Centres: Water and Sanitation in the World’s Cities 2006” and “Solid Waste Management in the World’s Cities: Water and Sanitation in the World’s Cities 2010”.

A major contribution in global efforts to manage human waste, wastewater sludge and biosolids sustainably was made in September 2008 when UN-HABITAT published the ‘Global Atlas of Excreta, Wastewater Sludge, and Biosolids Management: Moving Forward the Sustainable and Welcome Uses of a Global Resource.’ UN-HABITAT also contributes to the World Water Development Report. *Further, as members of the UN-Water Wastewater Management Task Force, UN-HABITAT and the United Nations Environment Programme (UNEP) launched a rapid assessment report entitled ‘Sick Water: The Central Role of Wastewater Management in Sustainable Development’ during the global celebrations of the 2010 World Water Day in Nairobi, Kenya.*

Lastly, a triennial report series on ‘Water and Sanitation in World’s Cities’ as well as contributions towards selected global level activities, including the World Development Report has been published.

Monitoring and Evaluation Activities focus on progress towards achievement of WATSAN related MDG/Johannesburg

Plan of Implementation (JPOI) targets. The activities include liaison with WHO/ UNICEF Joint Monitoring Program (JMP) in streamlining definitions for the monitoring indicators for targets 10 and 11 of the 7th MDG. They also include the development of GIS-based methodologies for poverty mapping and for tracking progress towards the MDGs.

Other cross-cutting activities that underpin the regional operational work and the replicable model initiatives are water demand management (WDM), urban catchment management and values-based water (now water, sanitation and hygiene WASH) education. In South Asia, pro-poor sanitation is a separate theme (Mid Term Review, 2007, 10).

Water Demand Management (WDM)

is aimed at reducing the high levels of unaccounted-for water and high water losses experienced in urban areas. In other words, WDM is an approach designed to positively influence water-use and contribute to effective water governance. WDM strategies and tools allow for efficient, equitable and sustainable use of water, improving cost-recovery and facilitating the extension of existing supplies to the urban poor, rather than embarking upon the expensive option of developing new resources.

Urban Catchment Management

refers to an integral component of Integrated Water Resources Management, incorporating not only water quality and quantity perspectives, but socio-economic development and ecological integrity aspects as well. The aim is to protect and secure water resources in the urban catchment, and better co-ordinate water management with upstream/downstream users.

To achieve this aim the WAC II programme has developed and implement strategies, including livelihood programs, which

would directly improve the living conditions of the poor. Accordingly therefore, it applies the principles of integrated water resources management (IWRM).

Values-based Water Sanitation and Hygiene Education seeks to create a new ethic among children, utility staff and the community-at-large on the sustainability and cost of water supplies through water, sanitation and hygiene education - 'Using the value-based approach brings in changes in people's perceptions of water and sanitation, and attitudes towards water usage and hygienic living, and proper utilization' (HVWSHE Brochure).

The programme was requested by a Ministerial Advisory Group of six countries during a WAC meeting in 2000. The approach was participatory from the start. Ministers and high-level staff involved in curriculum development took part in the formulation and planning in both Africa and Asia. In South-East Asia, a joint declaration in support of values based education in water and sanitation has been issued by the Ministers of Education of the region, and UN-HABITAT has a cooperation agreement with the South-East Asia Ministers of Education Office (SEAMEO) and has developed the initiative.

Advocacy, Awareness Raising and Information Exchange This component entails support to regional communication and media with the aim to encourage behavioral changes in people's attitudes regarding pro-poor governance, water demand management, improved sanitation gender mainstreaming, and so on. It also seeks to promote the programme so as to influence national policy and gain political will and also to sensitize local communities and mobilize their participation (WSTF Info Brochure 2004, 7).

Another normative focus is Pro-poor Sanitation, which comprises sustained access to, and maintenance and use of safe excreta facilities by all members of the poor and poorest families. Sometimes, the promotion of safe human excreta disposal and solid waste disposal in other parts of the city is included.

Three more areas of activity were added during the Third Advisory Board meeting in January 2007: addressing the operation and regulation needs of water and sanitation utilities; exploring the linkages between energy, water and sanitation and the focus on water and sanitation as a strategic entry point to slum upgrading and financing of urban development of the poor (Mid-Term Review, 2007, 11).

Capacity Building and Gender Mainstreaming are cross-cutting elements of the programme. The Training and Capacity Building Programme was initiated in the first phase of WAC Programme, in response to a recommendation of the Ministerial Advisory Group meeting in The Hague in 2000. In short, it involves assistance to local authorities and civil society organizations to build core skills in competencies in diverse areas including leadership, financial management, local economic development, participatory planning and conflict management. Topics have included Water Demand Management, Pollution Prevention and Control and Water Awareness.

On the Technical supply side, capacity building has been aimed at utility staff at various levels, policy makers, local authorities and politicians but some activities also target WSTF's own programme staff as well as those of partner NGOs. In the utilities, capacity building has targeted middle, senior and top-level staff. Capacity building programs have incorporated a participatory and applied approach,

starting with an introduction, followed by subject specific sessions, lastly, design of action plans to improve local conditions.

On the demand side, the programme entails subjects such as nurturing the

effective use of social capital, formation and strengthening of self-help groups and participation in project development and implementation (Mid-Term Review, 2007).

Annex 5. Regions, countries and cities under the WAC Program

Region	Country	Cities	Program
East Africa	Ethiopia	Addis Ababa,	WAC I+II
		Harar, Dire Dawa	WAC II
	Kenya	Nairobi,	WAC I + II
		Kisii, Kisumu, Homa Bay	LWWSI
	Mozambique	Maputo	WAC II
	Rwanda	Kigali	WAC II
	Tanzania	Dar-e-Salaam	WAC I + WAC II
		Bukoba, Muleba,	LWWSI
	Uganda	Kampala	WAC II
		Masaka, Kyotera	LWWSI
Zambia	Lusaka	WAC I + II	
West Africa	Burkina Faso	Ouagadougou	WAC II
	Cameroon	Douala, Yaounde	WAC II
	Ghana	Accra	WAC I+II
	Ivory Coast	Abidjan	WAC I+II
	Mali	Bamako	WAC I+II
	Nigeria	Jos	WAC II
	Senegal	Dakar	WAC I + II
South Asia	India	Bhopal, Indore, Jabalpur, Gwalior	WAC
	Nepal	Kathmandu Valley Peri-Urban Communities, other municipalities and small towns*	WAC
South East Asia	Lao PDR	Luang Prabang, Sayabouly, Phine, and 12 towns in the northern-central region including Vientiane	WAC +MRWSI
	China	Nanjing,	WAC +MRWSI
		Puer, Jinhong	
	Cambodia		MRWSI
Vietnam	Cam Ranh, Ca Na, Gia Nghia, Thap Cham, Song Cau	WAC +MRWSI	
Latin America and the Caribbean	Mexico, Peru, Colombia, Bolivia, El Salvador	Choco(Colombia),Patacamaya and Cochabamba (Bolivia)	WATSAN-LAC

LWWSI=Lake Victoria Water and Sanitation Initiative; MRWSI= Mekong Region Water and Sanitation Initiative; WAC-I=First Phase of Waster for African Cities; WAC-II=Second Phase of Water for African Cities; WAC=Water for Asian Cities.

*20 projects in a total of 7 municipalities, 3 small towns and 4 R4 cities, mostly connected with the ADB program

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Conferences with significant technical inputs from WSTF:

African Water Weeks (26-28 March 2008, Tunis, Tunisia; 09-13 November 2009, Johannesburg, South Africa; Addis Ababa, Ethiopia, 22-26 November 2010)

15th International African Water Congress, due to take place in Kampala from the 15th– 18th March 2010

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World Toilet Summit 2007 (WTS-2007) - organised by the Sulabh International Social Service Organisation from 31st October to 3rd November 2007 in New Delhi

UN-Water (Global) meetings Global commemoration of World Water Day 2010 (22 March)

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Singapore International Water Week 28 - June – 02 July 2010

The Pacific Water Conference & Expo (PWC), Port Moresby, Papua New Guinea from 13 to 15 September, 2010.

GLOBAL AND REGIONAL PROCESSES AND EVENTS

African Ministers Council on Water (AMCOW) Meetings.

Asia-Pacific Ministerial Conference on Housing and Human Settlements meetings.

MAJOR GLOBAL AND REGIONAL TRAINING AND CAPACITY BUILDING ACTIVITIES

Training modules and approaches for thematic priorities:

Training modules on Utility Management under Fast Track Capacity Building Programme of Lake Victoria Water and Sanitation Initiative

Training modules under the Training and Capacity Building Programme of Water for African Cities Programme

GLOBAL/REGIONAL TRAINING EVENTS

Capacity Building Workshop on Partnerships for Improving the Performance of Water Utilities in the Africa Region (Nairobi, 6-8 December 2006)

Regional Media Workshop from 11-12 December 2006 in New Delhi, India

South-South Collaboration for Training and Capacity building on innovative Sanitation Technologies, collaboration with Sulabh International - November 2006

A capacity building workshop for Journalists from Iran and other CIS Countries in partnership with the United Nations University UNW-DPC (Bonn, Germany) and the Regional Centre for Urban Water Management (under the auspices of UNESCO) in Tehran from 26-28 November 2007.

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Self Assessment Survey

SUMMARY: The evaluation included a self-assessment among UN-HABITAT's staff and partners. The team developed a questionnaire on the web using the software "Survey Monkey" for the distribution of questions. The Team followed up with three reminders but the response was not overwhelming. The following represents a brief summary of the main findings.

UN-HABITAT's staff and partner organizations are based in Africa, Latin America and Asia. In this survey, 44.4 per cent of the implementing partners have responded and 25.9 per cent are UN-HABITAT staff, while 22.2 per cent are government partners (UN-HABITAT Focal Point, City Managers). Not surprisingly, an overall finding is that UN-HABITAT is considered a valued partner as 34.6 per cent strongly agreed that WSTF has a strategy which helps to clarify priorities, while 46.2 per cent agreed.

POLICY AND STRATEGY: Some 37 per cent of the respondents found that key terms like pro-poor governance, replicable model setting and so on are clearly defined in the strategy while 18.5 per cent didn't know. Evaluating the need for a change in direction, 37 per cent disagreed, while 29.6 per cent agreed that a change or adjustment is needed. Just over half of the respondents, or 51.9 per cent, strongly believed that the programme addresses the needs of the urban poor, and only 7.4 per cent disagreed. A total of 48.1 per cent of respondents also agreed that the programme interventions are technically sound while 7.4 per cent disagreed and 11 per cent didn't know. A majority of respondents answered that the programme does well on combining normative and operational activities as

51.9 per cent agreed and 25.9 per cent strongly agreed. Respondents were also asked if the programme is well focused - on a few thematic and geographic areas - and a majority of 74.1 per cent said that it was.

HUMAN RESOURCES: Perhaps unsurprisingly, the programme is thought to have the right staff and expertise (48.1 per cent agreed), while 33.3 per cent perceived the staff composition to be gender balanced and 29.6 per cent did not know.

ORGANIZATIONAL PROCESSES: On the question of timeliness, there is scope for improvement, as 29.6 per cent disagreed and 7.4 per cent strongly disagreed that projects are carried out in a timely manner. Another important area is monitoring, which a majority of 59.3 per cent agreed is satisfactory and 25.9 per cent strongly agreed.

FINANCIAL RESOURCES: AS REGARDS FINANCIAL RESOURCES, THERE APPEARS TO BE slightly more variation as 37 per cent agreed that effective financial systems are in place, while 14.8 per cent strongly disagreed and 11.1 per cent disagreed. Similarly, only 22.2 per cent agreed that funds are available when needed for planned activities while as much as 33.3 per cent disagreed and 18.5 per cent strongly disagreed.

PARTNERSHIPS: The perception of the survey respondents regarding partnerships is that the programme works effectively with NGOs, private sector and local government/municipalities as only 4.2 per cent disagreed with this statement. A majority perceived the programme to be owned by and anchored in national government as well as incorporated in

national W&S sector plans.

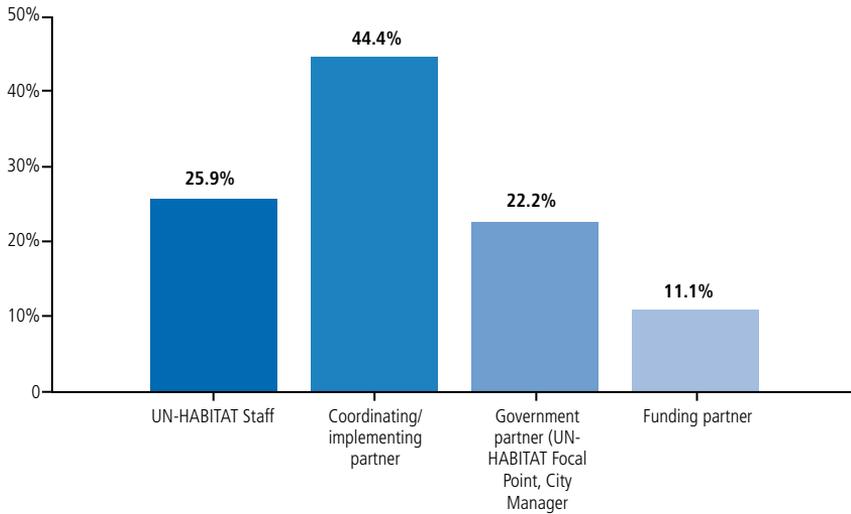
RESPONSIVENESS: As regards responsiveness, 43.5 per cent thought the programme has expanded and become involved in new areas of work while 43.5 per cent didn't know. On the question of whether an exit strategy has been prepared, 75 per cent do not know.

On **RESULTS AND IMPACT**, 54.2 per cent of the respondents also indicated that the programme is innovative and 37.5 per cent strongly agreed. Some 43.5 per cent believed that the programme has contributed to changes in national policy while 30.4 per cent do not know. Half of the answers suggest that the programme has created visible results at the level of beneficiaries.

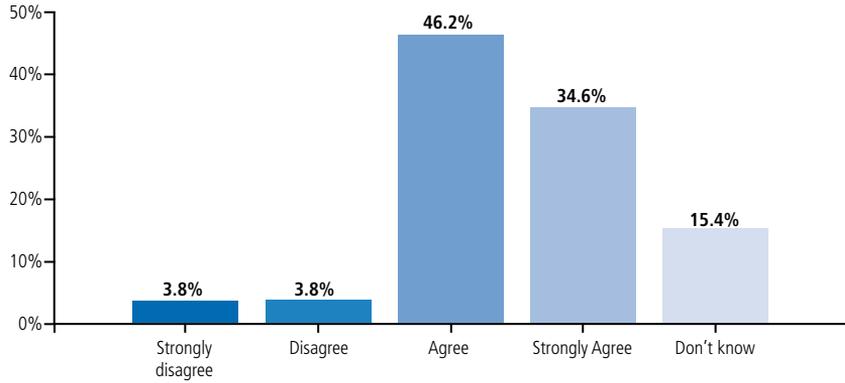
The results are relatively positive regarding sustainability as well as 43.5 per cent answered that they agree that programme results and benefits are likely to be durable, while 43.5 per cent strongly agreed.

KEY RESULTS: There appears to be a general and relatively strong belief that the programme is relevant and beneficial. Respondents in general perceived UN-HABITAT to be a valued partner, with a focused programme that addresses the needs of the urban poor and which has a good balance of activities that are contributing to achieving the MDGs.

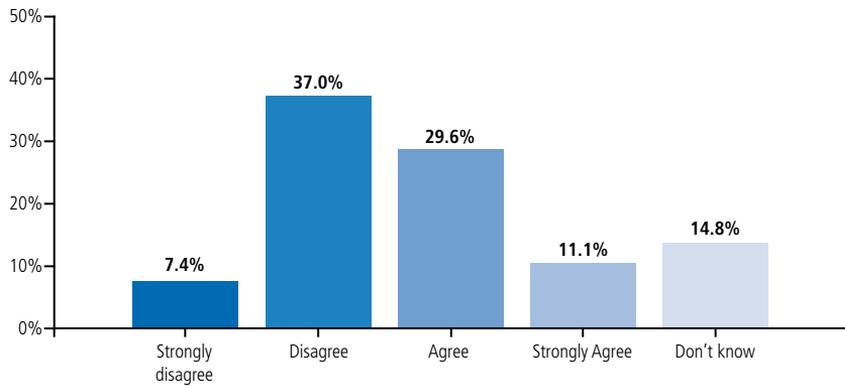
What is your position



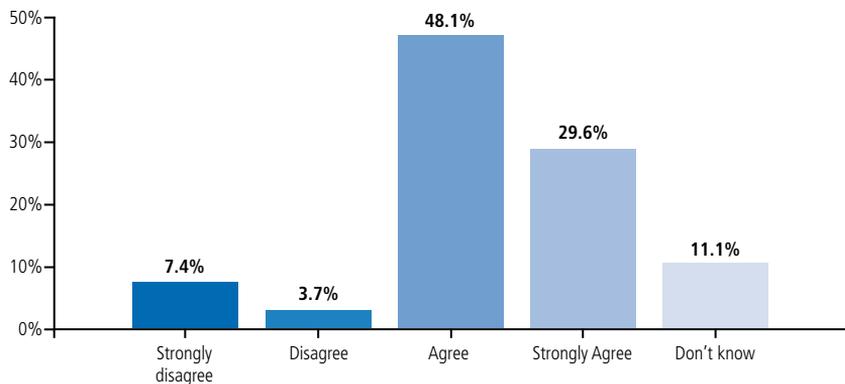
WSTF has a strategy which helps to clarify priorities (what to do)?



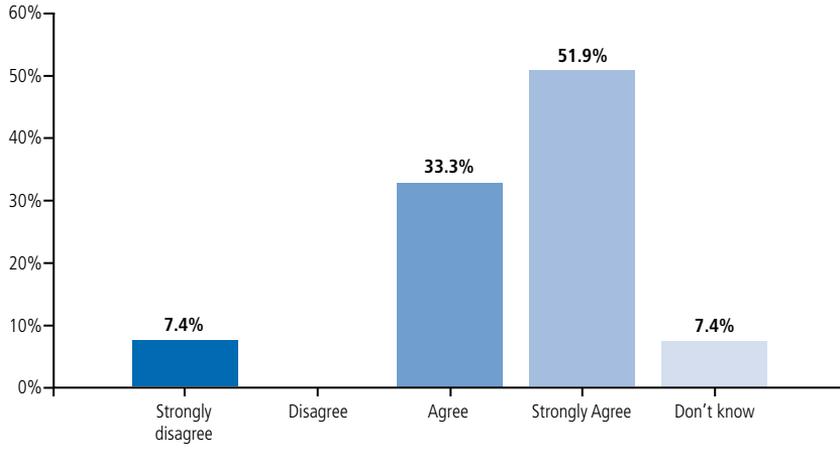
There is a need to adjust or change direction



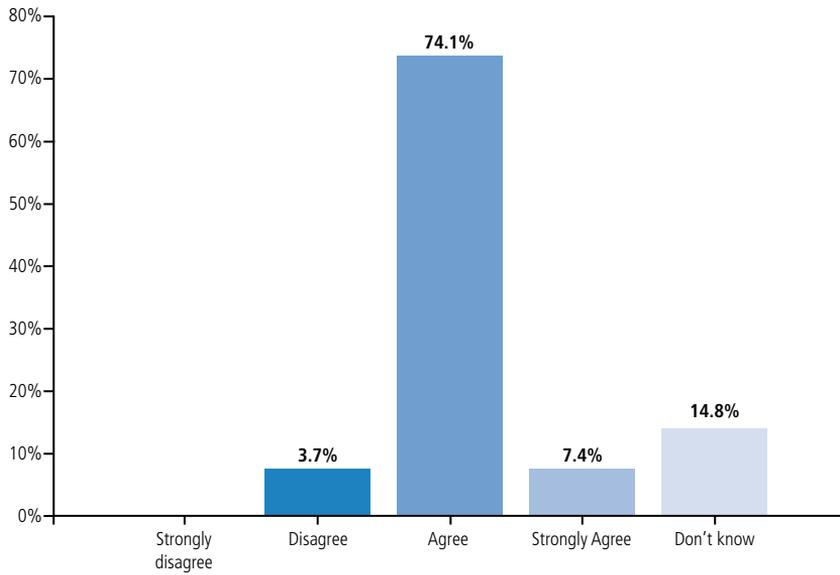
The programme interventions are technically sound



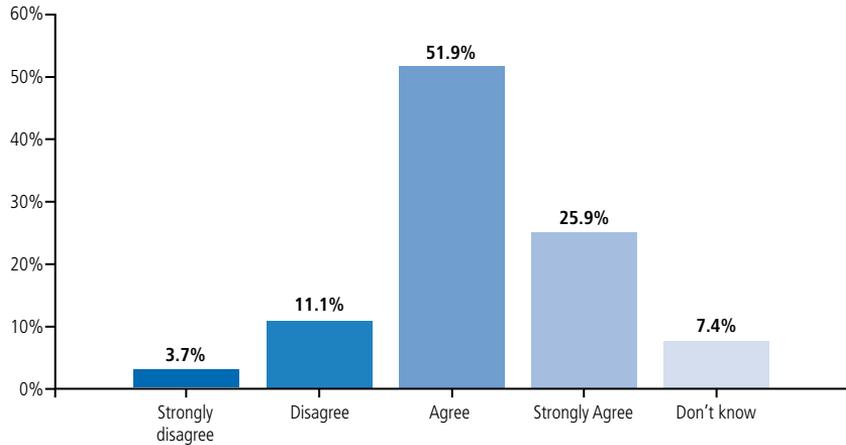
The programme addresses priority needs of the urban poor



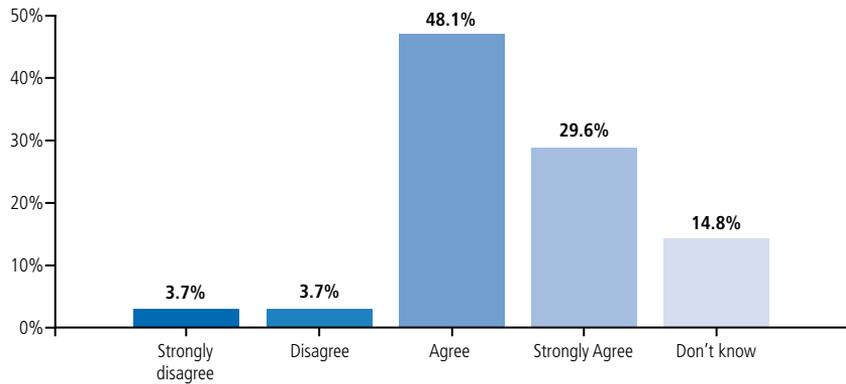
The programme is well focused (on a few thematic and geographic areas)



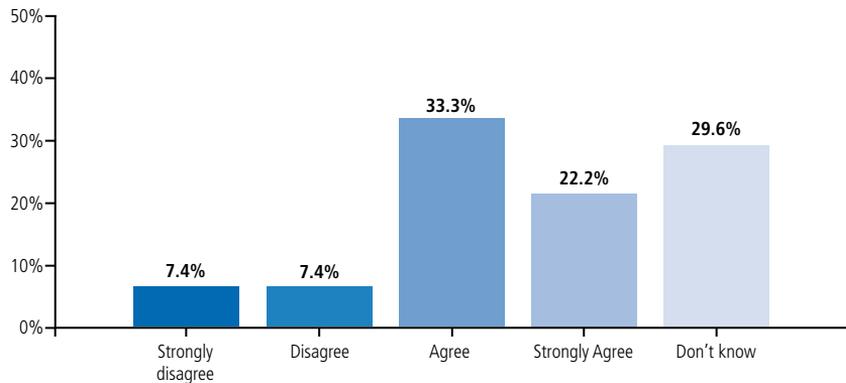
The programme combines well normative and operational activities



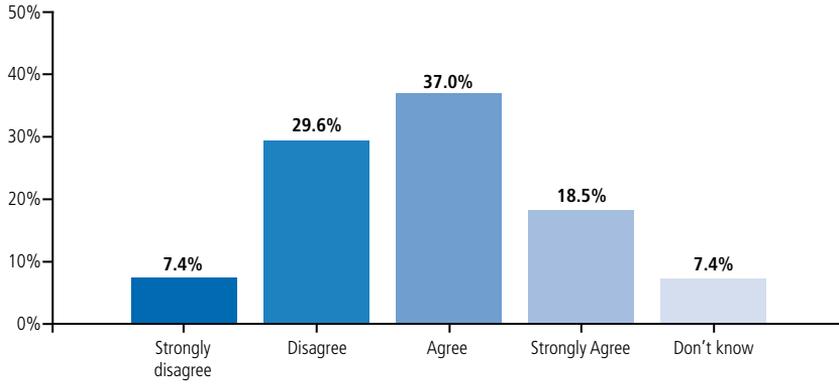
Attract people with relevant experience and professional skills



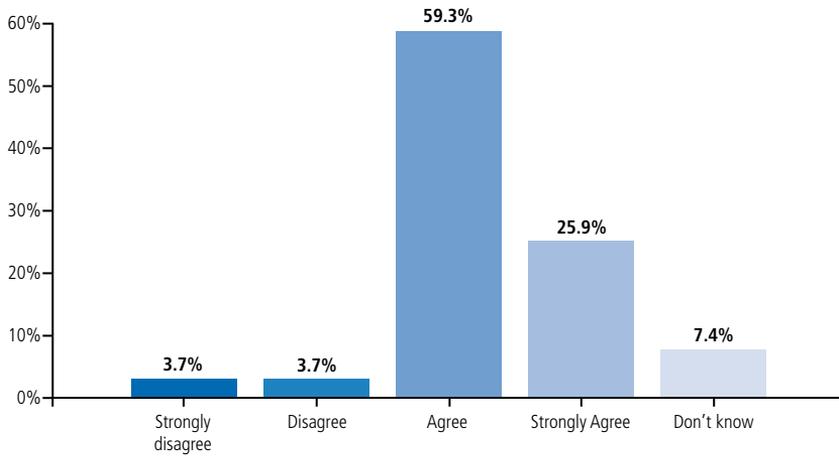
Ensure that staff composition reflects a fair gender and equity policy

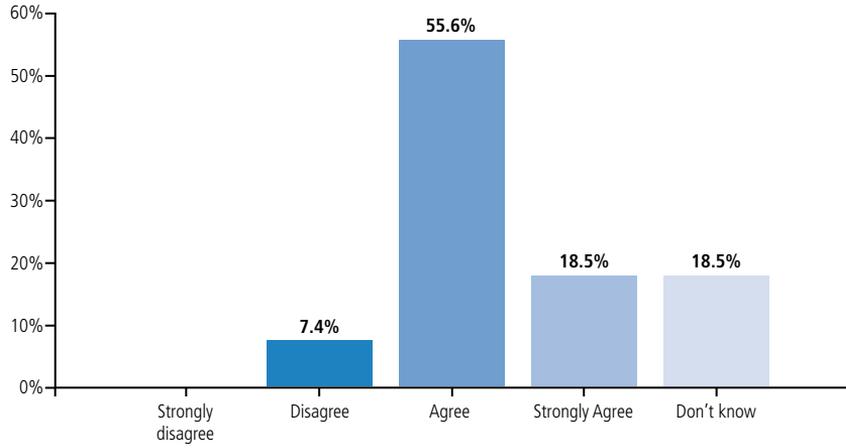


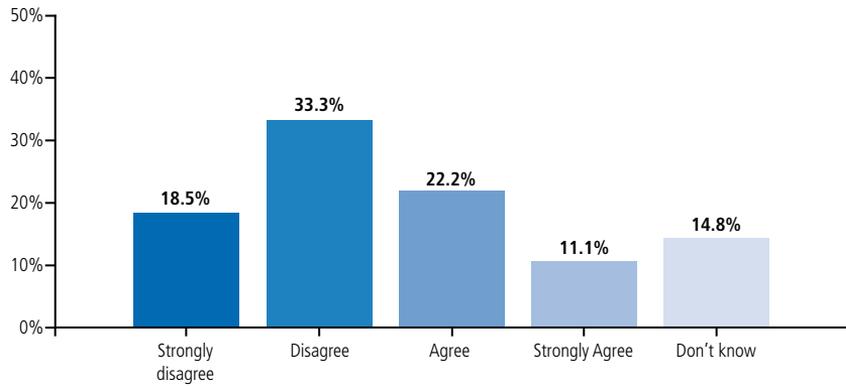
Carry out plans and projects in a timely manner



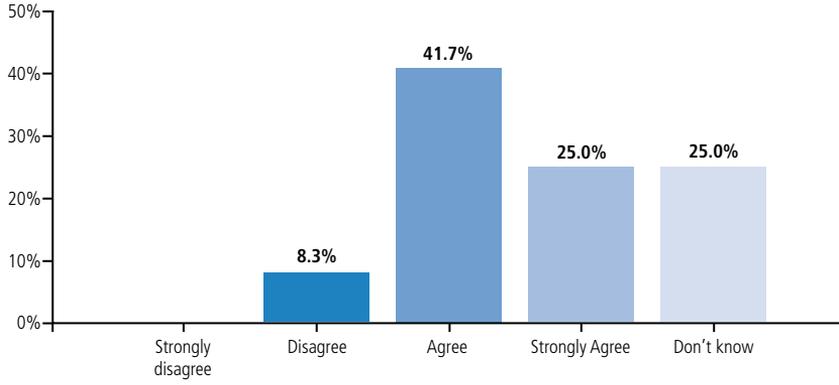
Monitor and report on activities



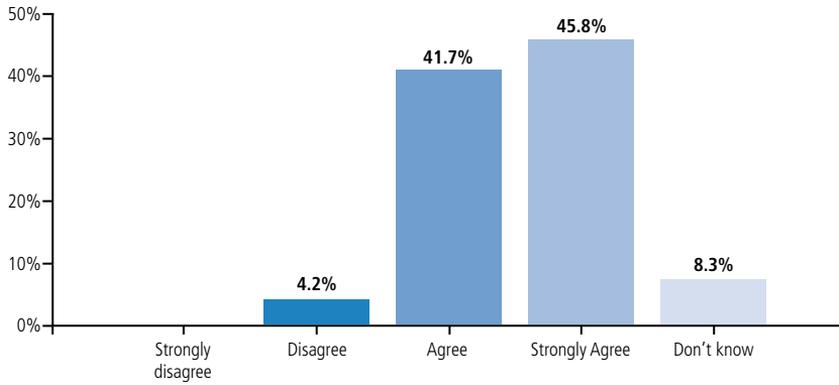
Resources are effectively leveraged from partners (Governments, Banks, etc.)

Funds are available when needed for planned activities

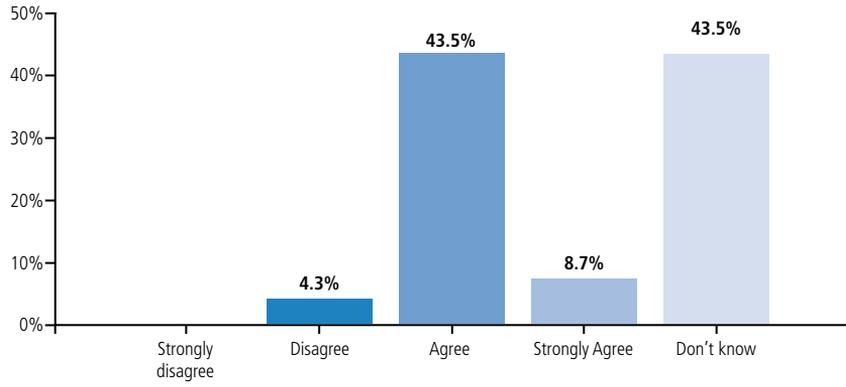
The programme is owned by and anchored in national governments



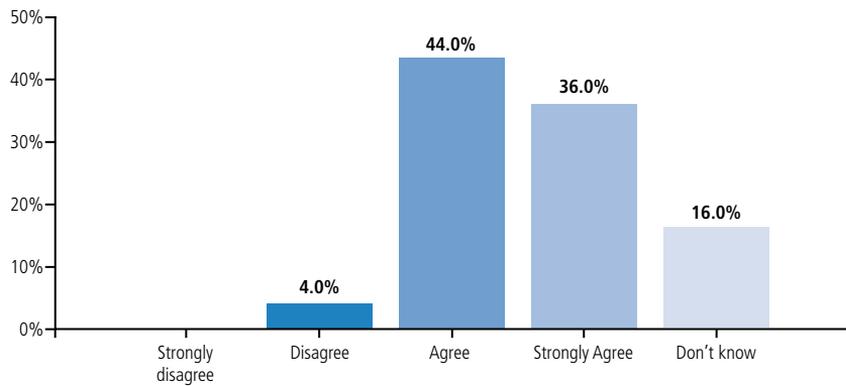
The programme works effectively with local government/municipalities



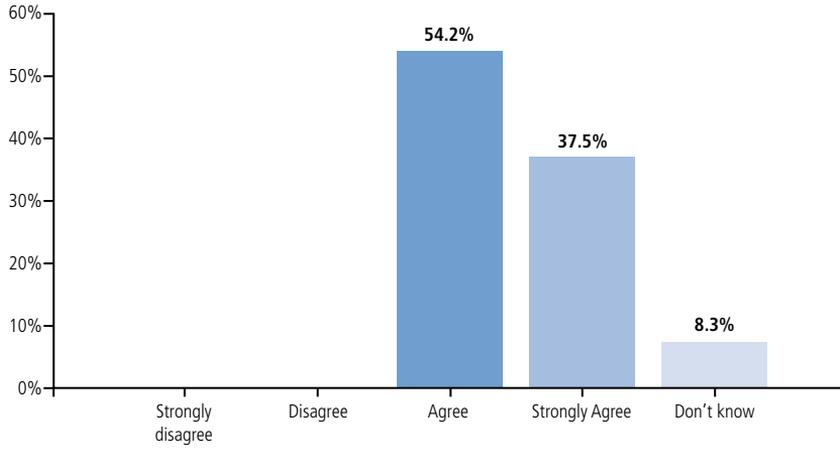
The programme has expanded and become involved in new areas of work



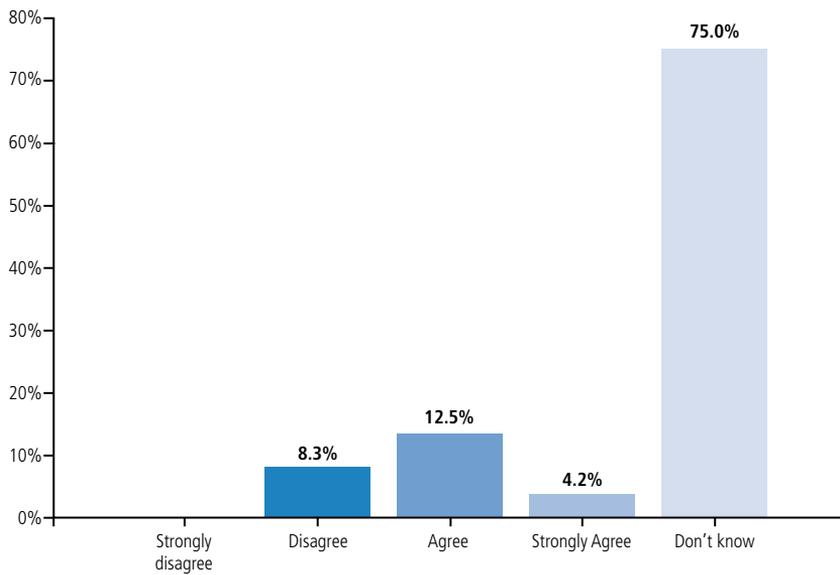
The programme is incorporated in national W & S sector plans



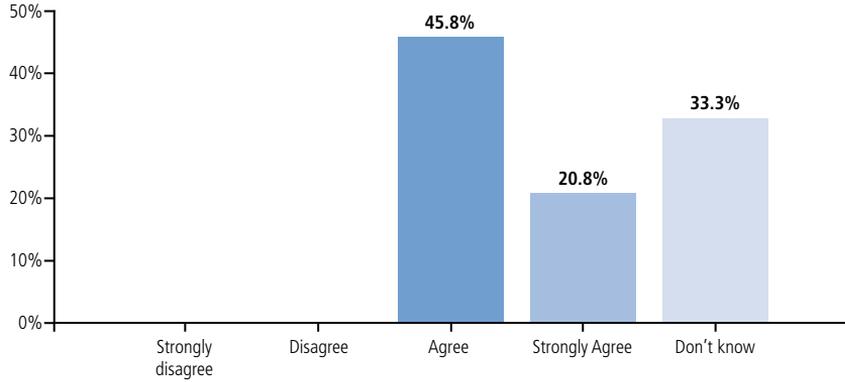
The programme has been innovative



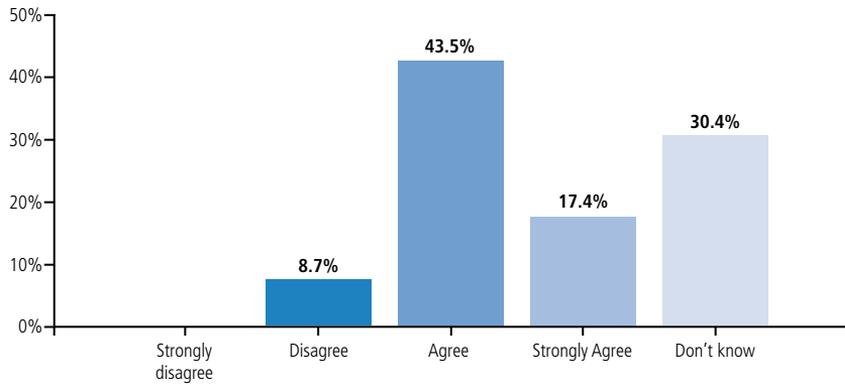
An exit strategy is prepared



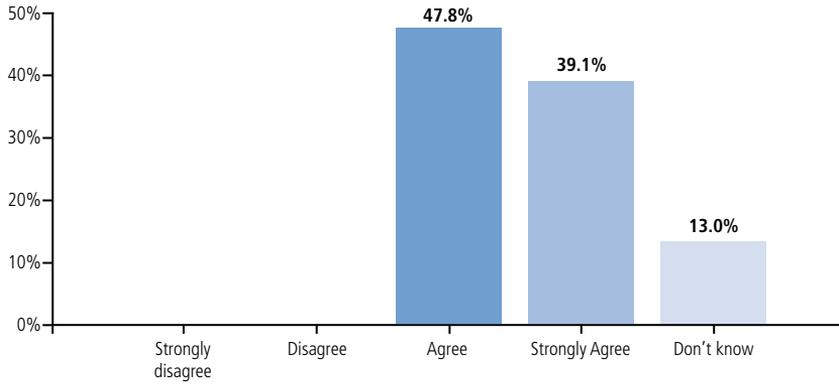
The programme has been replicated in other settings



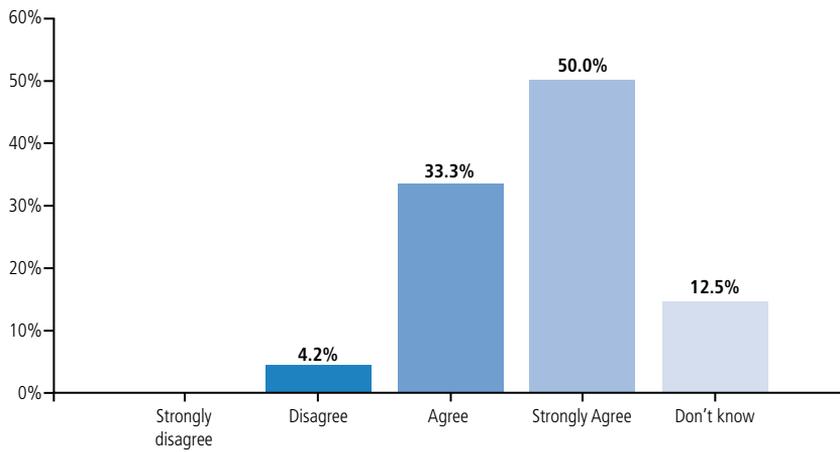
The programme has contributed to changes in national policy



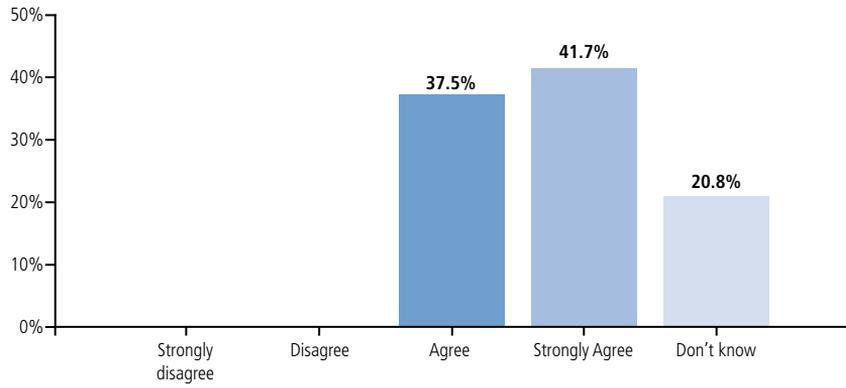
The programme has contributed to achieving the W & S MDG targets



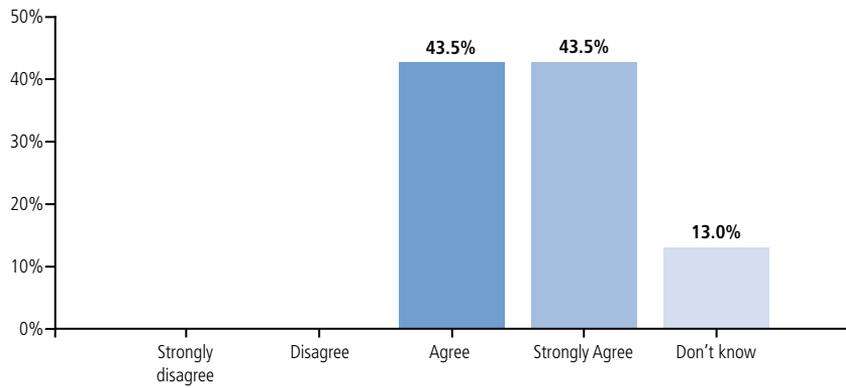
The programme has created visible results at the level of beneficiaries



The programme provides assistance in ways that support self-sustaining local organizations



The programme results and benefits are likely to be durable



Summary of Country Studies

The following present some of the main findings and conclusions from the four regional/country studies.

ETHIOPIA AND INDIA

INTRODUCTION

The main objective of the Water for African Cities is to tackle the urban water crisis through efficient and effective water demand management, build capacity to mitigate the environmental impacts of urbanization on freshwater resources and boost awareness and information exchange on water management and conservation. In Ethiopia, implementation of WAC II started in 2005. The programmes in Ethiopia are focused on improving sustainable water and sanitation services in informal settlements in peri-urban areas, raising awareness and water and sanitation education.

In India, The Water for Asian Cities Programme (WAC) is a collaborative initiative of UN-HABITAT, the Asian Development Bank (ADB) and the Government of India. The programme was launched in March 2003. The stated objective is to promote pro-poor investments in water and sanitation to support MDGs in Asian cities, specifically promoting pro-poor governance, water demand management, increased attention to environmental sanitation and income generation for the poor linked to water supply and sanitation.

POLICIES AND STRATEGY/ RELEVANCE

The programme in both countries addresses the needs of the poor by

targeting peri-urban areas, informal settlements and slum areas that are frequented by many people on a daily basis and often neglected by authorities. Programmes in India are, however, more advanced than is the case in Ethiopia.

PRODUCTS AND SERVICES

Under the umbrella of WAC in Ethiopia, public water points have been constructed, serving an estimated number of 5,400 people. Moreover, 15 rainwater harvesting tanks have been constructed as well as public toilet complexes. In addition, awareness raising, training and water and sanitation education has been carried out in schools, in poor communities and among policy decision-makers.



In India, UN-HABITAT, under the WAC, is supporting initiatives in four cities. The pivotal activities relate to urban environmental sanitation, pro-poor water and sanitation governance, water demand management, gender mainstreaming and capacity building by involvement of communities. In terms of general outputs, WAC in India has provided the installation of 400 demonstration toilets, 20 community toilets in each city, rooftop rain water harvesting in 20 schools and 20 school toilet blocks. Other achievements include the creation of water points, the extension and repair of piped water supply systems, awareness programmes in schools and capacity training and workshops for selected representatives of top- and middle-level Municipal Corporation personnel.

In India, programmes are in the process of being phased out, while Ethiopia is in a different stage of implementation. As such it is possible to draw more conclusions on the impacts in the former than in the latter country.

Indeed, India has come a long way. Elements that mark the work in India is the strong emphasis on community-led approaches through establishing self help groups, focusing on a pro-poor governance framework and capacity building for government and municipal officials. An indication that the programme is well anchored within national and local governments is that the State Government and Municipal Corporations have made use of UN-HABITAT's poverty-mapping data in their preparation of Municipal Action Plans for Poverty Reduction.

Furthermore, UN-HABITAT's recommendations made on water-demand management have been crucial in policy papers regarding the municipal water charges collection. Gender mainstreaming is also well developed in India, and has

had an impact on local and national level. The Gender Mainstreaming Strategy and the Rapid Gender Assessment formulated for the WAC has been adopted and approved by the government of MP for use at local level in 2007.

This suggests that, through its partners in India, UN-HABITAT has been able to advise and expertly guide national and municipal governments to ensure that its models can be taken up on a sustainable basis. In Ethiopia, community-led approaches and gender mainstreaming are also progressing, but arguably at different rates and effectiveness.

PARTNERSHIP AND RESPONSIVENESS

UN-HABITAT's choice of partners in projects in Ethiopia, and especially India, seems well balanced with a mix of local NGOs and governmental authorities in the former, with the latter having a wider spectrum of partnerships including various local and national governmental agencies, research institutes, NGOs and pioneering its Private–Public Partnership with Coca-Cola.

Partners seem unanimously satisfied with UN-HABITAT. In discussions with partners and beneficiaries in India, they emphasize how the international clout by virtue of being a UN organization opens doors to all networks, UN-HABITAT's ability to attract expertise (technically and normative) by means of its UN identity gives it a role as facilitator and network builder and catalyst.

An added value of the programme in India is the combination of strong local UN-HABITAT leadership led by Chief Technical Advisors (CTAs) and relevant and good local partners. A major part of the India programme's success can also be attributed to the expertise of the staff on ground as well as the latter's cooperating and networking capabilities, which is

essential in what the Mid-Term Review calls “achieving last mile delivery”.

RESULTS AND ACHIEVEMENTS

A general programmatic finding is that India can show to a broader programme which is more in line with national and municipal priorities and policies. The fact that impacts are more noticeable and profound in India is perhaps not a surprise given that the projects in India are being phased out.

The WAC II projects in Ethiopia on the other hand, have only been implemented for some years and given the need of long-term focus it can be more difficult to assess these impacts. It should be noted, however, that it is problematic to quantitatively compare the results from the two countries as the frame conditions are different and, likewise, the scope and objectives and resources of the implementing and cooperating partners.

In short, the overall findings in India and Ethiopia suggest that WSTF has made a commendable attempt to fulfill its objectives, encapsulating various programmes, vast thematic areas and geographic regions. The programmes are relevant in a context of poor, unstable

and rapidly growing peri-urban areas and settlements, often neglected by policy makers.

LAKE VICTORIA (LVWATSAN)

INTRODUCTION

The LV-initiative was launched in 2004, the MoUs with the three governments were signed in 2006, and the project effectively started in 2007 with the preparation of needs assessment studies of the towns.

The LV-Watsan has identified the following five key areas for intervention: attaining the water and sanitation related MDGs in smaller urban centers; urban poverty and health; integrating infrastructure and physical planning; capacity building in the WSS sector and solid waste management and drainage. The total budget of the LV-Watsan is USD 5.888 million.

POLICIES AND STRATEGY/ RELEVANCE

The LV-Watsan interventions, especially public standpipes and toilet facilities, benefit the poor and vulnerable people such as single-headed households and



orphans. In general, the stakeholders appreciated the activities of UN-HABITAT in the LV region. The fast track + roll out approach by bringing resources to the target towns, combined with capacity building and a pro-poor focus, received high marks from the stakeholders. Also, the approach to combine water supply, sanitation, storm flow and solid waste was valued.

PRODUCTS AND SERVICES

Some of the achievements of the initiative include the construction of 2,408 new latrines, with an estimated number of beneficiaries of 27,870 persons. Concerning water supply, LV-Watsan has focused on strengthening of the water supply companies by the rehabilitation of the upstream part of the network such as water intakes, treatment plants, main pipelines and so on. Furthermore, the coverage of safe water increased from 23 per cent to 55 per cent.

The project has introduced several interesting social innovations, such as the creation of the local MSFs and the concept of micro loans for sanitation. Although these ideas are not completely new and not always very successful, the experiments are relevant in the present situation. On the technical site, the programme is not seen as very innovative other than experimenting with Ecosan latrines.

On software areas, LV-Watsan has concentrated on capacity building for the management and has made good progress in the capacity training of local partners such as WSP, municipalities and local NGOs/CBOs. More specifically, the water production has increased, the amount of non-revenue water has been reduced, and the income generated by selling water has increased. Indeed, the improvement in performance of the WSPs is seen as one of the main assets of the UN-HABITAT initiative.

PARTNERSHIP AND RESPONSIVENESS

The LV-WATSAN programme cooperates with an impressive number of partners which are national, regional and international, such as the national governments of Uganda, Tanzania and Kenya; NGOs and well as municipal councils in the various towns of the region to mention but a few.

RESULTS AND ACHIEVEMENTS

The LV-WATSAN initiative operates in an environment of densely-populated small towns around Lake Victoria. This is challenging, however, the response from the stakeholders has been largely positive.

A general finding is that LV-Watsan has acted mainly as a service provider and capacity builder, to a lesser degree as a model tester and occasionally as a model builder. One of the most successful new approaches is the creation of the MSF. The MSF has facilitated the acceptance of the programme; it has encouraged gender mainstreaming and ensured ownership of the water supply infrastructure.

THE MEKONG REGION WATER AND SANITATION INITIATIVE

INTRODUCTION

The MEKWATSAN initiative was formulated in response to the Greater Mekong Sub Region (GMS) initiative as a collaborative effort between UN-HABITAT, the Governments of the Greater Mekong Sub-region and ADB. The objective of this initiative is to support the participating countries in attaining their water and sanitation related to the MDGs. The budget of the initiative is USD 8.6 million.



MEK-WATSAN promotes pro-poor urban water governance, urban water conservation and demand management, integrated urban environmental sanitation and income generation for the urban poor through community-based water and sanitation services. This is attained by extending water and sanitation systems, enhancing institutional and human resource capacities at local and regional levels to sustain water and sanitation services, supporting economic development in secondary towns through improved water and sanitation and related income-generating activities, gender mainstreaming and social inclusion and MDG monitoring as well as other activities.

POLICIES AND STRATEGY/ RELEVANCE

MEK-WATSAN is found as being relevant in view of the poor coverage of water and sanitation in the small towns, comparing the coverage in the rest of the countries. Furthermore, stakeholders ranging from ministry to beneficiary level expressed

their appreciation of the activities of MEK watsan initiative.

PRODUCTS AND SERVICES

The team finds that the initiative is making progress in providing safe water supply and sanitation in villages and small towns. When interviewed, families confirmed that they understood the health effects of proper hygiene. The project put as initial targets for the roll out phase 1 of 90,775 and 190,365 beneficiaries for water resp WHAT DOES 'RESP.' MEAN, PLEASE?. Later on these figures have been increased to 97,252 and 200,539. These figures are according to the Contribution Agreements signed between UN-HABITAT and the implementing partners. The fast track resulted in 37,690 beneficiaries for water and 45,310 for sanitation (Dec 2010) and it still in progress.

On the software side, capacity and institutional development has included a number of training courses and workshops, targeting water utilities, municipal authorities, CBOs and NGOs.

PARTNERSHIP AND RESPONSIVENESS

The Mekong Initiative has a balanced partner selection. Partnerships range from formalized cooperation agreements with the following ministries on national level: MIME in Cambodia, MPWT in Lao PDR and with MoC in Vietnam. In addition, UN-HABITAT cooperates with local NGOs and provincial water supply utilities in Cambodia, Lao and Vietnam and is formulating agreements with the private sector such as Coca-Cola.

RESULTS AND ACHIEVEMENTS

Beneficiaries and authorities in the three countries confirmed their appreciation about the activities of UN-HABITAT and their preference for the continuation and extension of its activities in more or less the same way. The most frequently cited strong points were community participation and contribution, the relatively fast project implementation, the connection of all levels in society and good cooperation with the project management.

However, similar to the conclusion drawn from the Lake Victoria study, the MEK-Watsan is seen mainly as a service provider and capacity builder and, to a lesser degree, as a model tester and occasionally as a model builder.

THE LATIN AMERICA AND CARIBBEAN REGION

INTRODUCTION

The Water for Cities Programme in Latin America and the Caribbean (WatSan-LAC) is a regional operational initiative that was initiated in Mexico and Bolivia in 2008. During 2009 and 2010, the Programme concentrated its attention on consolidating the local programmes in

Mexico and Bolivia and started its activities in other countries of Central America (Nicaragua, El Salvador) and the Andean Region (Peru, Ecuador, Colombia) as well.

The main objective of the WatSan-LAC is to contribute to the sustainable access to safe drinking water and basic sanitation for the poor, particularly in the urban and peri-urban areas, and the Programme focuses on the following areas: pro-poor urban water governance, integrated urban environmental sanitation, implementation of integrated water resource management in urban settings, democratic governance, decentralization and empowerment, capacity building, water, sanitation and hygiene education and strengthening water operators.

POLICIES AND STRATEGY/ RELEVANCE

The strategy was found relevant in Mexico and in Bolivia because the projects and activities seem to target peri-urban and urban poor areas, strengthening software developments, improving the efficiency of WatSan providers and promoting community-led approaches.

PRODUCTS AND SERVICES

In terms of on the ground results and achievements, most projects are in a first stage of implementation; as such, it is too early to assess the impact on infrastructure and hygiene awareness, or health benefits. During visits to projects in Cochabamba-Bolivia, however, the team observed advances on the ground, both hardware and software improvements. For instance, on one of the sites, a PTAR-D (Decentralized Treatment Plant for WasteWater) was already installed and ready to operate.

In terms of capacity and institutional development, the programme is implementing several initiatives that aim to build capacity of WatSan Operators and



increase the institutional development of national and municipal activities.

This is particularly evident with the WOPS-LAC. The latter has promoted 13 joint initiatives between several watsan operators in the LAC region. Another example of institutional development is found in Bolivia, with two projects cooperating with the Municipality of La Paz and the Municipality of Cochabamba. In the field of gender mainstreaming, ten workshops have been delivered and WatsanLAC is contributing to a "Gender Resource Book" in Spanish. That said, measuring normative progress is not straight forward as the WatSanLAC is in a phase of consolidation.

PARTNERSHIP AND RESPONSIVENESS

The programme has forged strong partnerships with different governments, with the IADB and international NGOs, local organizations, technological institutions and national and municipal

water utilities and operators. WatSan LAC has supported a combination regional and normative activities and policy dialogue work with on-the-ground pilot and demonstration water and sanitation projects focusing on pro-poor water and sanitation service delivery. This illustrates that UN-HABITAT is promoting several region networks that are developing synergies and complementarities between countries and institutions.

RESULTS AND ACHIEVEMENTS

Although in its early stages, the team finds that the WatsanLAC country programmes are promising. According to the consultant, assured long-term funding and a field management retention policy should enable continuity and enhance the prospects of sustainable impact. A crucial weakness is, however, the heavy financial reliance on the Government of Spain, an issue which can only be solved by finding other and new mechanisms of financing activities in the region.

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