

DOCUMENT

01

MAIN REPORT OF THE FIRST
WATER AND SANITATION
TRUST FUND

IMPACT STUDY



UN  **HABITAT**
FOR A BETTER URBAN FUTURE

DOCUMENT **01** **MAIN REPORT OF THE FIRST
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UN  **HABITAT**

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Document 1, Main Report of the First WSTF Impact Study

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Acronyms

ADB	Asian Development Bank	MuAN	Municipal Association of Nepal
AfDB	African Development Bank	MWSP	Melamchi Water Supply Project
CA	Co-operation Agreements	MTSIP	Mid-Term Strategy and Institutional Plan
CBO	Community Based Organisation	MWI	Ministry of Water and Irrigation
CSS	Country Support Strategy	NCWSC	Nairobi City Water and Sewerage Company
DED	German Development Service	NWSC	Nepal Water Supply Corporation
DUDBC	Department of Urban Development and Building Construction	O&M	Operation and maintenance
DWSS	Department of Water Supply and Sewerage	PAN	Practical Action Nepal
EIB	European Investment Bank	RBM	Results Based Management
ECOSAN	Ecological Sanitation	RBTS	Reed Bed Wastewater Treatment System
ENPHO	Environment and Public Health Organisation	PRSP	Poverty Reduction Strategy Paper
ENOF	Enhanced Normative and Operational Framework	RWH	Rainwater Harvesting
JMP	Joint Monitoring Program (UNICEF and WHO)	STWSSP	Small Towns Water Supply and Sanitation Project
KfW	German Development Bank	SWAp	Sector-Wide Approach
Kibera WATSAN	Kibera Integrated Water, Sanitation & Waste Mgmt Project	SWM	Solid Waste Management
GoK	Government of Kenya	TDF	Town Development Fund
GoN	Government of Nepal	UCs	Users' Committees
GTZ	Deutsche Gesellschaft für Technische Zusammenarbeit	UDLE	Urban Development through Local Efforts
HH	Household	UEIP	Urban and Environment Improvement Project
KUKL Limited	Kathmandu Upatyaka Khanepani	UEMS	Urban Environment Management Society
KVWMSP	Kathmandu Valley Water Management Support Programme	UNICEF	United Nation's Children Fund
LF	Logical Framework	WAC	Water for African Cities
LFA	Logical Framework Approach	WAsC	Water for Asian Cities
LUMANTI	Lumanti Support Group for Shelter	WAN	Water Aid Nepal
LVWATSAN	Lake Victoria Region Water and Sanitation Initiative	WATSAN	Water and Sanitation
MDGs	Millennium Development Goals	WOP	Water Operators Partnership
MoF	Ministry of Finance	WSB	Water Services Board
MoHP	Ministry of Health and Population	WSIB	Water, Sanitation and Infrastructure Branch
MoU	Memorandum of Understanding	WSP	Water Service Provider
MPPW	Ministry of Physical Planning and Works	WSTF	Water and Sanitation Trust Fund
MSF	Multi-Stakeholder Forum	WUA	Water Users' Association



Executive Summary

This document is the overall summary and synthesis of the first impact study of initiatives supported by UN-HABITAT's Water and Sanitation Trust Fund (WSTF). It has been undertaken by a team of three international consultants¹ from October 2009 to January 2010.

The objective of the WSTF, which was established in 2003, was to bring in new investment and ideas to expand the water and sanitation (WATSAN) service coverage for poor urban dwellers and help build momentum for achieving the MDGs. Its strategic plan for 2008 - 2012 envisions three key outcomes:

- Increased institutional capacity in partner countries for 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 WSTF interventions
- Improved MDG monitoring mechanisms in place in partner countries, with improved benchmarking of water and sanitation service providers.

The UN-HABITAT's Water, Sanitation and Infrastructure Branch (WSIB) is seeking to maximise the impact from the WSTF and this impact study is the first of a series of impact assessments planned to be undertaken over the next five years. This first assessment selected three

components of UN-HABITAT's operations:

- 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 mainstreaming and pro-poor initiatives

The two country impact studies were based on assessments of the achievements and impacts of selected sample studies that were considered representative for the UN-HABITAT portfolios in each of the two countries. The gender thematic study has reviewed the Water and Sanitation Programmes of UN-HABITAT in nine countries in three different regions², selected in consultation with the WSIB and the UN-HABITAT Gender Mainstreaming Unit.

The study methodology involved: reviewing the strategic framework (including the WSTF Strategic Plan and the UN-HABITAT WATSAN Country Support Programme); assessing the project design; verifying achievements and impact on the ground; assessing impacts and undertaking a strategic impact analysis. On the basis of the points listed above, strategic and operational recommendations have been provided to the WSIB.

The assessment steps involved documents reviews, field trips, project visits and interviews with UN-HABITAT Headquarters staff, project staff and stakeholders. The detailed findings from each of the study

¹ Lotta Nycander took primary responsibility for the Gender study, Piers Cross for the Kenya study and Torbjorn Damhaug for the Nepal study.

² Ethiopia, Ghana, Kenya and Nigeria in Africa; India, Lao PDR, Nepal and Vietnam in Asia; and Nicaragua in the Latin America and Caribbean Region.

components are presented in separate documents³. This first volume provides an overall synthesis of the main findings and suggests some overall implications and recommendations.

MAIN FINDINGS

GENERAL

Relevance of Mission and Reputation:

The UN-HABITAT's 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 recognised as critical. UN-HABITAT has a good reputation in Kenya and Nepal, especially amongst national water authorities, municipal authorities, communities, NGOs and local institutions.

Leverage: UN-HABITAT's project activities on the ground, in all three areas of this review, 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.

Sustainability: The impact studies show that, whilst project solutions are often innovative and solve obstacles to serving the poor, achieving service sustainability remains a significant challenge in some projects. The successful shift from pilot to

sustainable service development requires additional project design features.

Scale of Impact: UN-HABITAT is the UN agency mandated to focus on the global problems of the urban poor and the WSTF projects have made significant insights and added important human and monetary resources to address this challenge.

Even taking into account the excellent leverage effect that has been achieved, the resources available to the WSTF are still far outstripped by the scale of resources, the expertise requirements and implementation time that is needed to roll out pilots at the scale necessary to meet MDG goals or to address fully the complex problem of integrating within urban management effective WATSAN approaches which reach the poor.

Planning Framework: There is a close linkage between project outcomes and planned WSTF results in all three components of this assessment. The WSIB operates under an evolving strategic framework and there is more than one logical framework (LF) against which impacts could be measured. In the consultants' opinion, the introduction of a Result-Based Management (RBM) alongside with LF in key planning documents adds little value and there is scope for simplification by only using the LF. The assessment of specific quantitative impacts in this study was limited by the fact that projects do not consistently use the LF, gather baseline data or regularly report against LF indicators.

³ Document 1: Summary of the First WSTF Impact Study; Document 2: Kenya Country Impact Study. Document 3: Nepal Country Impact Study; and Document 4: Gender Mainstreaming Impact Study

COUNTRY STUDIES IN KENYA AND NEPAL

Quantitative Impact: The general WSTF strategy to achieve an impact from country projects is to mobilize partners to focus on serving the urban poor, community involvement, institutional capacity-building at municipality and community level and improving governance and gender-focus. UN-HABITAT has demonstrated significant impacts in terms of problem-solving, new ideas, and improvements in quality and relevance of the projects.

UN-HABITAT has also achieved significant leverage on post pilot follow-up investments, especially with AfDB and ADB, which is a very encouraging sign. But the order of magnitude of the impacts of the UN-HABITAT WSTF interventions in Kenya and Nepal is limited in terms of the increase in WATSAN coverage required to achieve the MDGs.

Country Strategies: More focus is required on the development of clearly articulated country strategies, developed and discussed with key 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 as such has been developed.

With Nepal, all of the WSTF funded activities take place under the auspices of the Water for Asian Cities (WAsC) and the associated Country Support Strategy (2008-12) that is linked to the National Water Plan and the Three Year Interim Plan (TYIP) (2007-10).

The country strategy demonstrates innovative approaches to the WATSAN sector. The, rather large, project portfolio contains a large number of small projects each aiming for replication at a larger scale. UN-HABITAT is supporting the sector in Nepal to move towards stronger coordination and the development of a sector-wide approach.

Project Selection: In Kenya, UN-HABITAT's project portfolio reflects some excellent and strategically selected projects, which draw on UN-HABITAT's comparative advantages, and collectively address the country's tough urban service challenge. In Nepal, there is an identified need to adjust the WAsC Country Support Strategy and internal strengthening of the organisation to reflect a shift of focus from pilot project implementation to "strategic influencer" of the urban sector: influencing policy and investment.

Project Implementation and Donor Coordination: The project implementation approach in Kenya is developing a growing partnership with sector investors for follow-on projects. Whilst the Lake Victoria Region Water and Sanitation Project (LVWATSAN) is well integrated with national institutions, the project portfolio does not consistently support core national strategic sector reform processes. There is also scope to strengthen UN-HABITAT's participation in Kenya development partner coordination.

The UN-HABITAT WAsC Nepal Country interventions are well integrated with relevant authorities, institutions, and development partners at national and municipality level and contribute to the creation and achievement of Government

of Nepal's urban development strategies. The WSTF projects on the ground in Nepal add significant value to ADB capital investment projects. Nevertheless, the MoU between the HQs of the UN-HABITAT and ADB is not effective at country level, and the WAC/WAsC contributions deserve greater recognition. In both countries, UN-HABITAT country operations demonstrate long-term commitment to addressing the complex problem of improving services to the poor. In Nepal, the programme performance has had the additional challenge of high government staff turnover and political instability.

Staffing: Whilst the Nepal country programme has clear coordination, the Kenya UN-HABITAT team does not have an assigned single staff member with country coordination duties. The recommended shift in focus from this study towards greater policy dialogue, focus on reforms and less focus on pilot project management has an implication for WSIB staffing skills development.

GENDER

Impact of Gender Mainstreaming:

Gender mainstreaming strategies (normative work) are of good quality, and clearly stand above the work of many other international development organisations. Though some of this work has influenced policies, many WSTF gender mainstreaming initiatives remain project focused, which limits their impact.

The direct project impacts of increased safe water nearer to people's homes is reported to save time for women and girls, time which may be used for economic activities. Access to improved sanitation in public and private areas has benefited many. Women, young girls and children

benefit much more from toilets near their homes than in public places, but interesting exceptions are found.

Data Gathering: With some notable exceptions, such as the excellent data in LVWATSAN, gathering, processing and disseminating gender-disaggregated information and data has not always been consistent. Without gender-disaggregated data, evaluations cannot determine level of achievements with respect to gender.

Gender-Targeting: Poor communities in urban informal settlements have been specifically targeted for operational activities and are informed by poverty and gender assessments undertaken in most countries. There is a strong focus on community participation and recognition that women, in particular, who have special responsibilities in the field of water supply and sanitation, are important agents for change. Challenges faced include tensions in relation to ethnic and/or religious norms and political instability, especially in some African countries.

Integration with Income-Generation:

Most of the programmes have introduced some form of economic and income generating activities and benefits for women and youth, in the case of Nepal, as part of the WATSAN work.

MAIN RECOMMENDATIONS

Greater Focus on Policy and Strategic Influence:

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 adjusted focus will require increased engagement in national policy dialogue, and involve key government policy makers

more centrally in the development and implementation of country activities.

A change of balance is recommended between the current focus on pilot projects and assisting national policies and development partners, to adopt longer term, sustainable and scaleable approaches. The specific recommended activities related to such focus adjustments are increased engagement in national policy dialogue and CAs with key government authorities and policy makers; further increasing UN-HABITAT's already positive role in MDG achievement monitoring mechanisms; continued and increased active involvement in donor coordination forums and financing partnerships liaising with the respective governments focusing financial mobilisation for scaleable investments; strategically-motivated cooperation agreements with accountable municipality sector institutions and utilities and promotion of Sector-Wide Approach (SWAp). These activities are further elaborated below.

Country Strategy Adjustments: Make necessary adjustments of UN-HABITAT's operations and its CSS with greater focus on its role as strategic influencer, including a more strategic selection of activities and projects. In Kenya, develop UN-HABITAT country support strategy in close collaboration with the lead government sector agencies responsible for urban service development and in collaboration with key sector stakeholders and development partners. In Nepal, the country strategy should be adjusted to capture and direct the ongoing shift from demonstration interventions to strategic advocacy, investment partnership and resource mobilisation.

Mobilization of Investments: To build on the excellent progress made in leveraging in investment finance from AfDB, ADB, EIB and so on from pilot projects, UN-HABITAT should give even greater and earlier focus to follow-up financing from its pilot projects, so that solutions can be rolled out at the scale needed. This will imply even greater attention towards establishing/reinforcing partnerships with agencies (such as the ADB, AfDB, the World Bank and other new bi-, multi-lateral and private financiers) with the capacity for large-scale investments to ensure that demonstration projects are taken to scale.

For example, to strengthen UN-HABITAT position in the ADB STWSSP (2010-2015) in Nepal and similar programmes, increased and formal cooperation with the regional development banks such as ADB and AfDB through MoUs, as has been done in Lao PDR, and specific CAs, is recommended.

Engaging with Municipalities and WATSAN Utilities: UN-HABITAT's country projects should consistently support utilities to deliver on their responsibilities to serve the poor. This would complement UN-HABITAT's regional support to utilities from the Water Operators' Partnership (WOP) and help to create impact and service sustainability.

Donor Coordination and Promotion of Sector-Wide Approaches (SWAp): UN-HABITAT should strive to play a central role in coordinating donors involved in the urban WATSAN sector. This would also include reinforced engagement in promoting Sector-Wide Approaches (SWAp) as a key sector objective aligned to Government strategies working alongside key national authorities, development partners, and sector stakeholders.

Although effective donor harmonisation is hampered in some cases by donor competition and differing agendas, UN-HABITAT is well positioned to enhance donor harmonization as a respected adviser to the governments focusing on the urban sector and the multi-donor nature of the WSTF.

Enhancing the Impact of Gender Mainstreaming: Country programmes such as Nicaragua that still have not included specific gender mainstreaming activities should be supported to do so. Capacity-building and refresher training on gender mainstreaming need to be continued. The WSIB strategy for large-scale take up of micro-finance supporting income generation should be further developed so that its impact is more prominent. UN-HABITAT should continue to champion gender mainstreaming at the level of policy engagement.

Strengthen Information Management and MDG Monitoring: UN-HABITAT has real comparative advantage in urban sector information. There is an excellent fit between country level information, development projects such as Maji Data and UN-HABITAT's global information work, which includes its market-leading geo-referencing initiative with Google and the development of the next generation monitoring approaches with the Joint Monitoring Programme.

In its country operations, UN-HABITAT is encouraged to enter into strategic agreements consistently with the key accountable sector institutions responsible for information monitoring. This will ensure that UN-HABITAT information projects develop sound data bases, encourage cross-country learning and help to build long-term capability in

this neglected area of institutional development.

Strengthen UN-HABITAT's Project and Programme Administration: Explore possible ways to streamline project cycle management and disbursement cooperation between UN-HABITAT Country Operations and HQ; improve the Project Document by including a log frame with performance indicators for project and non-project operation and establish systematic performance monitoring and reporting mechanisms of WAC/WAsC projects, including their collective achievements, to reflect the overall significance and impacts of UN-HABITAT's operations;

Strengthen Impact Monitoring of WSTF Funded Interventions: UN-HABITAT should upgrade the current impact monitoring arrangement for better oversight over the entire project cycle such as by looking at how projects are being created planned, approved and monitored. This will require the preparation of CA/ Project Document (PD) format and/or Project Appraisal Report (PAR) comprising a LF matrix that specifies goals, objectives, activities, outputs, verifiable indicators, means of verification and assumptions/risks which will serve as a vital basis for the assessment of project achievements and impacts versus the planned ones.

Baseline data should be collected more consistently to enable tracking and targeting of impact. Project information gathering should consistently include gender-disaggregated data to enable assessment of gender impacts. These adjustments to its project planning, reviewing and approval procedures, including the format of the CA, will facilitate systematic assessments of impact in future reviews.

Internal Capacity and Staffing Profile:

The shift from a better balance between pilot project implementation to increased policy engagement implies a significant shift in staffing profiles. Recommended measures to increase capacity include: strengthen capacity in municipal service

management, project cycle management, performance monitoring, reporting, budgeting and financial mobilisation. It is recommended to assign/appoint one staff member with Kenya country coordination duties.

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Background and Methodology

1.1 BACKGROUND

World leaders, at the United Nations Millennium Summit in 2000, committed themselves to attaining the Millennium Development Goal (MDG) 7, target 10, which aims to reduce by half the proportion of people without sustainable access to safe drinking water by 2015. In 2002, the World Summit on Sustainable Development (WSSD) in Johannesburg added another target: to halve by 2015, the proportion of people who do not have access to safe sanitation.

The goal of the UN-HABITAT Water and Sanitation Programme 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 equitable social, economic and environmental development. The development objective is to support developing countries in expanding access to environmentally sound basic infrastructure and services, with a special focus on the un-served and under-served populations.

In 2003, to give a greater focus to the challenge of improving access for the urban poor to water supply and sanitation, UN-HABITAT re-organized its water and sanitation activities into a comprehensive programme under the aegis of a "Water and Sanitation Trust Fund" (WSTF) supported by a number of donors.

The objective of the Trust Fund was to bring in new investment and ideas, expand service coverage for poor urban dwellers and help build momentum for achieving the MDGs. Managed by the Water, Sanitation and Infrastructure Branch (WSIB) under the Human

Settlements Financing Division of UN-HABITAT, the Trust Fund currently supports "Water and Sanitation for Cities Programmes" in Asia, Africa and the Latin America and the Caribbean regions.

The Trust Fund also supports two unique regional initiatives, the Lake Victoria Water and Sanitation Programme and the Mekong Region Water and Sanitation Initiative. Activities under these programmes combine policy dialogue and normative work with on-the-ground pilot and demonstration initiatives.

Based on a number of years of experience working globally within the water supply and sanitation (WATSAN) sector, and incorporating lessons learnt through its normative and operational work, the Trust Fund developed a Strategic Plan for the years 2008 – 2012.



The plan envisions the following outcomes for the programme:

- 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 WATSAN catalysed by Water and Sanitation Trust Fund interventions
- Improved MDG monitoring mechanisms in place in partner countries, with improved benchmarking of water and sanitation service providers

The majority of WSTF-supported activities are undertaken through "Cooperation Agreements" (CA) signed between UN-HABITAT and a cooperating partner which could be a local government authority, a public utility, an NGO or an academic institution. However, "normative" work, such as development of tool-kits and guidelines, awareness raising and training and dialogue on policy issues with government, are also important components of the WSTF-supported work.

1.2 RATIONALE

UN-HABITAT has identified a need to initiate a rolling strategic assessment of impact at the country and thematic programmatic levels on a regular basis. Such periodic assessments will assist UN-HABITAT's management and the realignment of projects to WSTF's strategic priorities.

This first review has three foci: case studies of Kenya, case studies of Nepal and a thematic focus on gender. Kenya and Nepal were selected as countries in which UN-HABITAT has a number of years of programme operations and which contain a variety of core activities supported by the Trust Fund being implemented under different CAs, enabling the team to study the collective impact of these aspects under the water and sanitation programme.

The impact study also responds to WSTF donors' requests for more information on program impact and the findings will be presented at the next WSTF Board meeting in March 2010.

The need to integrate a structured programme of impact studies into the activities of the WSTF is supported by recent changes in the strategic context for UN-HABITAT's work. These include the adoption of the UN-HABITAT Mid-Term Strategy and Institutional Plan (MTSIP) 2008-2013, which calls for an Enhanced Normative and Operational Framework (ENOF) approach to programming. This approach is driven by a number of external and internal factors, namely the HABITAT Agenda, the need to accelerate progress in meeting the MDG, the Paris Declaration, 'One UN' reforms, increased focus on alignment and coherence in UN-HABITAT activities and the priority now being given to Results Based Management (RBM).

Given the emphasis on results, joint programming and efforts to align activities with desired outcomes, there is now a need to undertake an impact study that informs the WSTF management on the level of integration of these factors into the overall programming at the country level and its resulting impact.

1.3 OBJECTIVES OF THE STUDY

This impact study initiated by the Water, Sanitation, and Infrastructure Branch (WSIB) is an assessment of the impact of WSTF activities in selected areas. This consultancy is the first phase of a plan to assess the impact of the WSTF on a regular basis over the next five years.

Based on the results of this study a long-term impact evaluation mechanism will be established. The specific purposes of this consultancy are to undertake a study of impact of:

WSTF's operations in Nepal and Kenya
WSTF activities globally on the theme of "Gender Mainstreaming"

1.4 APPROACH AND METHODOLOGY

1.4.1. WSTF OUTPUT CATEGORIES

The initial step of the country project assessment was to review the main strategic planning instruments for the programme. The stated outcomes of the WSTF projects and interventions fall into three broad categories:

Increased capacity in the partner countries for pro-poor WATSAN initiatives and policies and assisting the national counterpart agencies in prioritising the water and sanitation sector in the overall national development programmes ("normative" impacts)



Increased flow of investment (resource mobilisation) into WATSAN sector catalysed by WSTF interventions

Improved information, knowledge and MDG monitoring mechanisms in partner countries with improved benchmarking of service providers

1.4.2 WSTF IMPACT OPPORTUNITIES AND EXPECTATIONS

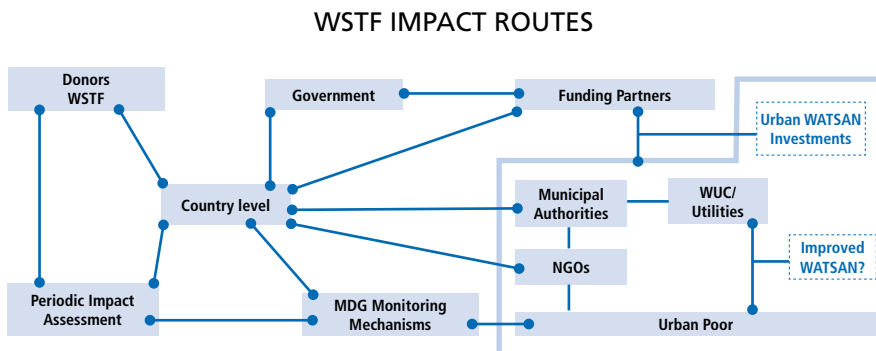
In addressing the impacts of the WSTF funded operations it is essential to have a realistic and systematic picture about the nature and magnitude of expected achievements and impacts of the WSTF interventions. Given the three major outcomes of the WSTF in Section 1-4.1, which were institutional capacity to pursue pro-poor and gender sensitive urban WATSAN development; increased flow of investment to benefit the urban poor and improved MDG monitoring to verify the impacts of the interventions, Figure 1-1 gives a simple illustration of how the WSTF resource are channelled towards tangible improvements on the ground for the urban poor.

The impacts of the WSTF-funded interventions are the collective effects of engaging with different authorities, cooperating partners, and stakeholders in a country. A cardinal question is how the WATSAN situation would have been for the target groups (the “urban poor”) with and without the WSTF funded interventions. Having in mind the numerous entry points and approach opportunities to ultimately benefit the urban poor, one of the dilemmas is how the relatively scarce human and economic resources of the WSTF and UN-HABITAT can best be used to effectively benefit the target populations.

The majority of WSTF-funded activities are performed under “Agreements of Cooperation” (CA) signed between UN-HABITAT and a cooperating partner, which could be a government ministry, a municipal authority, a public utility, a NGO or an academic institution.

The direct cooperation with a governmental institution would involve advocacy for pro-poor policies, capacity building or other “**normative**” work such as development of tool-kits and

FIGURE 1.1 Channelling of WSTF Funds for Impact Achievement



guidelines, awareness raising and training and dialogue on policy issues with government. Such approach is a direct answer to the 1st WSTF key outcome: "Increased institutional capacity in partner countries for pro-poor water and sanitation initiatives and policies with focus on gender equity, renewable energy and efficiency, and environmental sustainability".

Engaging with the major funding sources such as the regional development banks, water sector donors and private sector investors is also an important **strategic impact route** to promote pro-poor WATSAN orientation and investments in response to the 2nd key outcome of the WSTF on "Increased flow of investment to benefit the urban poor".

The **direct community impacts** involve cooperation with selected municipal authorities to build awareness and institutional capacity. It will also pave the way for increased WATSAN services to the poor through demonstration projects, as a basis for large-scale replication.

Such interventions are directly connected to the 1st WSTF outcome on pro-poor capacity building at municipality level and the 2nd outcome on increased investments to the WATSAN sector. A similar momentum-creating intervention is to engage directly with designated water and sanitation utilities (in Nepal, these are User Committees (UCs)), and undertake urgently required augmentation of water and sanitation infrastructure.

Such intervention will provide rapid impacts in terms of immediate service improvements and thereby enhanced stakeholder motivation. A third direct impact route is channelling WSTF funds

through NGOs as an outreach mechanism to mobilise the targeted urban populations and connect them to the municipal authorities and utilities.

The last type of intervention on Figure 1-1 concerns the 3rd WSTF outcome: "Improved MDG **monitoring mechanisms** in partner countries". The main value of this intervention is to provide reliable information about the achievements of WSTF and other investments against the applicable MDGs, so that the supporters of these programmes are confident about the development effects of their allocations. That is why this activity should be given ample attention and be connected to the long term impact assessments mechanism planned to be undertaken by WSIB over the next five years.



The indicated interaction between WSTF/ UN-HABITAT HQ and the respective country offices has bearings on the impacts of the WSTF operations in terms of administrative and project cycle management efficiency, and has therefore been addressed by this Impact Study.

1.4.3. IMPACT VERIFICATION AND ANALYSIS PROCESS

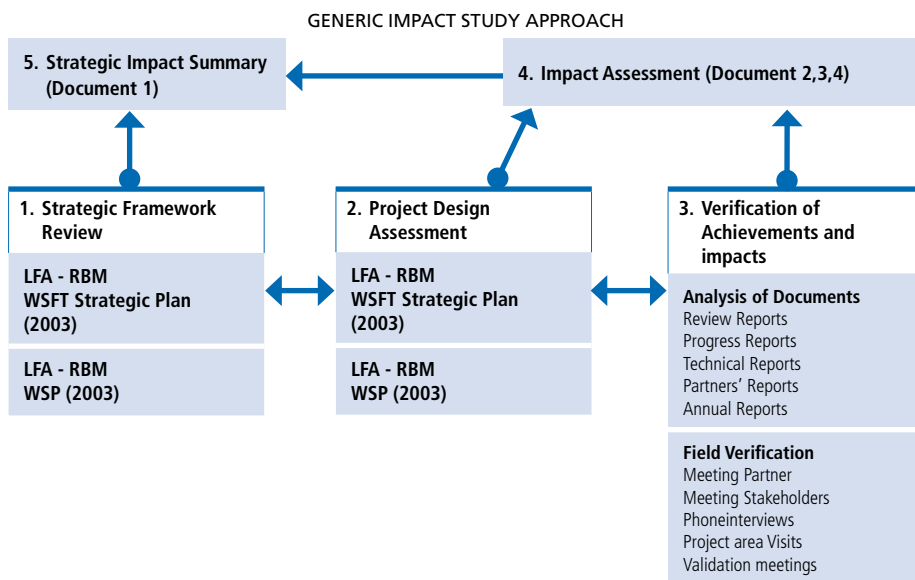
This Impact Study and its recommendations have been performed against the impact routes and connections illustrated in Figure 1-1. The methodology developed for this study was prepared during an October 2009 briefing for the consultants held in Nairobi with the divisional director HSF, section chiefs of WSIB/CTAs and key programme staff and outlined in the consultant's Inception

Report. The methodology was presented in the inception report.

UN-HABITAT's planning framework is evolving and there are several relevant planning documents, including:

- The LFA-RBM for the WSP Programme Document (2003)
- The LFA of the WSTF Strategic Plan (2008-12)
- The UN-HABITAT MTSIP Overview Result Framework (2008-09)
- The UN-HABITAT MTSIP (2008-2013)
- The Task Force on the Enhanced Normative and Operational Framework (ENOF) towards a policy and roadmap

FIGURE 1.2: Approach of the Country Impact Study



The first step was to make an assessment of the Result-Based Management and Logical Framework Approach (LFA-RBM) matrices of the main planning documents that provide key information on the intended effects and associated monitoring indicators for the UN-HABITAT WSTF Programme. The key documents were the WSTF Strategic Plan (2008-12) and the WSP Programme Document (2003).

The consultants found the information given in the LFA matrices quite useful for picturing the intended strategic impacts, whereas the RBM matrices were basically echoing the same pieces of information structured in a different way and did not add any value as such. This issue has been further addressed in the Findings chapter.

It was agreed that the most appropriate log frame for this study would be the WSTF 2008 Strategic Plan, since this provides a forward-looking orientation. The assessment also took into consideration the LFA for the WSP (2003) since most sample projects have been designed this framework. Figure 1-2 illustrates the proposed generic approach of the impact study in each of the two focal countries.

The impact evaluation methodology was to undertake visits to key selected projects to meet with selected project staff and stakeholders and to study real impacts and achievements against the expectations of key planning documents. The field work for the impact studies was undertaken between October 2009 and January 2010 on a schedule developed in consultation with UN-HABITAT staff.

1.4.3 SELECTION OF SAMPLE PROJECTS

A selection of sample projects for specific impact study was selected in consultation with UN-HABITAT staff at the initial briefing bearing in mind projects which seek to have outputs in all three output categories above and the projects with the largest resource allocations.

Three projects were selected for the impact assessment in Kenya:

- Two complimentary projects in Kibera, Nairobi focussing on improving WATSAN services to the urban poor and subsequent scaling up of investments
- The Kenyan projects of the Regional Lake Victoria Water and Sanitation Programme, with a specific focus on Homa Bay; Kisii and Bondo
- The Maji Data Project

In Nepal, 16 Sample Projects (SPs) were selected by the Consultants in consultation with UN-HABITAT Nepal. The selection sought to gain a cross section of WASC's interventions in Nepal.

The impact assessment in Nepal reviewed the following projects:

- SP1 Pro poor Urban Governance by Poverty Mapping and Gender Assessment in Municipalities, and Enforcement of Urban Environmental Guidelines
- SP2 Community Based Sanitation Improvement in Urban Poor Communities in Hetauda Municipality
- SP3 Demonstration of Water Bottling System for Urban Poor Communities in Kathmandu Valley

- SP4 Capacity Building, Dissemination, Demonstration and Promotion of Rainwater Harvesting in Kathmandu and selected towns in Nepal
- SP5 Initiative for Strengthening Networking and Advocacy Capacities of CSOs in South Asia Working Towards Achieving the Rights to WATSAN
- SP6 Integrated Approach to Improve WATSAN System and Increase Agricultural Productivity in Selected Communities in Khokhana, Lalitpur
- SP7 Demonstration of Localizing MDG on Water and Sanitation through Capacity Building of MuAN and Kalaiya Municipality
- SP8 Strengthening Water, Sanitation and Hygiene Treasuring Health (SWASHTHA)
- SP9 Water, Environmental Sanitation and Hygiene Programme for Urban Poor (Bharatpur, Lubhu, Narayantole)
- SP10 Capacity Building of WUCs for Pro poor Service delivery in selected four Small Towns (Parsa, Khairanitar, Bandipur and Lekhnath - CA I)
- SP11 Country Level Capacity Building of Stakeholders on Total Sanitation and Promotion of School Led Total Sanitation in Bharatpur and Ratnanagar
- Sp12 Blanket Arsenic Testing of Ground Water Sources in Seven Terai Districts of Nepal
- SP13 Enhancing the International Year of Sanitation 2008 to Create an Enabling Environment for Promoting Total Sanitation in Nepal
- SP15 Establishment of a Community Based Waste Water Treatment Plant for Dhulikhel Municipality
- SP15 Community-based WATSAN Pilot project in Peri-urban Community of Siddhipur within Kathmandu Valley
- Sp16 Provision of Total Coverage of Safe Drinking Water and Sustainable Sanitation Facilities in Urban Poor Communities in Hetauda Municipality



For the Gender Impact Assessment study, a selection of programme countries (all countries have initiatives supported by the WSTF) was made. Selected countries needed to have relevant project experience and ensuring regional representivity across three continents: Asia, Africa and South America. Nine countries were selected for inclusion in the study: Ethiopia, Ghana, India, Kenya, Lao PDR, Nepal, Nicaragua, Nigeria and Vietnam.

Synthesis of Findings and Impacts

UN-HABITAT's mission for its WSTF finance is compelling, and the scale of need amongst the urban poor for water and sanitation services is tremendous and growing. UN-HABITAT's comparative advantage is its focus on the complex problem of the urban poor and the ability to integrate WATSAN approaches across the urban sector.

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 recognised to be on the critical issues. WSTF's work has a good reputation and its work is highly appreciated by many partners and beneficiaries. UN-HABITAT has a depth of experience in the issues, a strong track record in innovative solutions and a solid reputation for delivery. UN-HABITAT, through the WSTF, is making a very significant contribution to one of the toughest development challenges.

2.1. KENYA COUNTRY IMPACT STUDY

2.1.1 OVERALL

The impact study reviewed WSTF's strategic intentions, examined the Kenya country context, UN-HABITAT's country strategy and undertook an impact study of specific projects following the approach presented in Figure 1-2. Information was gathered by reviewing project documents, interviews with key stakeholders, including beneficiaries, and field visits to the three sample projects selected for review.

2.1.2 COUNTRY PROGRAM FINDINGS

Country Strategy Design: 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). No coherent country strategy for UN-HABITAT WATSAN interventions in the country has been developed. Nevertheless, there is a rather good alignment of global and project objectives and some sound strategic choices have been made in project selection. The absence of a process to develop a country strategy means that Kenyan institutions are not always fully engaged in UN-HABITAT's strategic choices, and UN-HABITAT may not always be sufficiently harmonized with other stakeholders regarding country program design.

Project Selection: Project selection has been excellent: projects focus on improving services for the urban poor in informal settlements, in big cities and small towns and on improving sector data amongst these populations.

Support to Institutional Reform and National Policy Dialogue:

Lead governmental Kenyan agencies acknowledged UN-HABITAT's active engagement and positive contribution to the WATSAN sector. Government agencies also encouraged UN-HABITAT to consistently position their programme more explicitly in support of countries' sector reform programme and support for the development policies, and large-scale solutions, to address the WATSAN challenges of the urban poor.

The opinion was expressed in Kenya that UN-HABITAT should further increase its engagement in national policy dialogue, and involve key government policy makers more centrally in the development and implementation of UN-HABITAT country activities. Several key institutions such as the Water Regulator (NCWSB) had not been fully consulted in the design of UN-HABITAT's country programme activities.

Although the LVWATSAN is strongly connected to the regional and town water utilities, there is a perception that this regional programme was not conceived of in sufficient consultation with MWI and, at some points, appears to be driven by regional concerns and priorities, rather than national ones.

The absence of a strategy and long-term goals and uneven involvement in donor

coordination limits alignment with GoK processes. For example, a key ongoing sector problem in Kenya is the lack of institutional and policy leadership in addressing urban sanitation. UN-HABITAT could make a significant contribution to resolving the question of institutional accountability for urban sanitation improvement and helping GoK to develop a sound national policy on urban sanitation and solid waste.

Modes of Implementation: In Kenya, UN-HABITAT does not always have the main accountable government institutions as its implementation partners. In general, UN-HABITAT prefers to develop CAs with NGOs. The appointment of implementing agencies set apart from the accountable institutions in for example, Kibera, misses the opportunity to help build capacity of accountable institutions and to develop



effective government implementation systems for the long term.

Coordination and Harmonization:

The Development partner coordination situation in Kenya is quite complex. There are a large number of donors, and external support activities are generally rather disjointed. Effective donor harmonisation is hampered by cases of donor competition, conflicting donor agendas and lack of transparency. UN-HABITAT's work is known to other development partners, but some expressed misgivings that there was insufficient knowledge and dialogue in the course of its development and lack of location of the programme within the overall country support strategy.

UN-HABITAT's sector investments are not fully integrated into the official programme of development partners' assistance and UN-HABITAT should consider playing a more visible role in the existing donor coordination forum, currently led by Germany. This would provide further opportunities to mobilize resources from urban WATSAN investment partners and take UN-HABITAT's ideas to scale.

Balance between Pilot Projects and Strategic Influencing Projects: 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 service improvements.

Many stakeholders expect UN-HABITAT to play a leading role in helping guide the

development of ideas that might work at scale. More could be done to operate at this strategic influencing level, with less effort spent on implementing pilot projects.

Linkages to Utilities: In Lake Victoria, LVWATSAN operations are implemented in direct support of the LV South Water Services Board and work with local authorities, utilities, and multi-stakeholder forums of the three project towns in Kenya. By contract, in Kibera, efforts are directly channelled to the targeted slum areas via an NGO with less direct engagement and linkages with established water operators to help them deliver on their responsibilities to serve the poor. UN-HABITAT should consistently focus its country work more explicitly on helping utilities, complementing UN-HABITAT's regional support to the WOPs and helping to create impact and service sustainability.

Strategise the Quick Impact Approach:

The so-called "Quick Impact Approach" of investing in rapid visible rehabilitation and engaging with stakeholders, service provider, and authorities has shown to be remarkably effective in the LVWATSAN project. The approach quickly builds stakeholder confidence and commitment and creates significant enthusiasm and expectations among the beneficiary populations. In order to up-scale the Quick Impact Approach, it is necessary to strategise and promote this concept in cooperation with the major WATSAN sector funding agencies, especially to avoid creating a financing vacuum after the first quick impact..

Sustainability: The projects reviewed show that UN-HABITAT is able to attract and support a highly innovative range of projects. Whilst many projects, such as



Kibera and LVWATSAN, are path-breaking, they will need to mobilize substantial resources to create an impact at scale. UN-HABITAT has already supported AfDB in the project formulation and appraisal of their structural investment project under the Kibera Support Programme but the AfDB funding has not yet been made effective.

An example where further consideration of project sustainability could have been considered is the otherwise sound and important Maji Data project. A significant issue that was not resolved before project commencement is the future hosting of Maji Data and responsibilities for updating, maintaining and financing the data base. Experience from the development of similar data bases are that finding a suitable long-term host institution and

creating incentives which enable the database to be used and maintained, are critical success factors.

2.1.3 MAIN PROJECT FINDINGS

1. Kibera Projects

UN-HABITAT's two complimentary Kibera projects have made a significant contribution in one of the toughest of development settings: improving services to the urban poor in one of Africa's most notorious slums. UN-HABITAT's distinctive contribution is to put in place interventions that both make a significant and direct impact on the poor, and also provide a model with key features that could be replicated at scale.

UN-HABITAT's Kibera initiative puts into practice many of the key lessons learnt in addressing water and sanitation in informal settlements. The project is both horizontally integrated in the urban environment (addresses water, sanitation, solid waste disposal, roads, drainage and housing) and has some strong features of vertical integration (the Athi Water Services Board (AWSB), the community, women and the youth). A key success factor has been developing momentum in community-NGO-local authority and state dialogue.

The project has successfully managed to take the lessons of the pilot project to a larger scale through the Kibera Support Programme? in cooperation with AfDB, thus it has a high leverage ratio on AfDB and GoK finance. Although there is little data on direct project beneficiaries and verifiable impacts, and the numbers directly served with improved water and sanitation services are rather small

compared with the scale of the problem, the project has the potential to make a large impact on policy and overall strategy on Nairobi's slums.

While the project is visionary, in its totality it will need to mobilize substantial resources and this does raise questions about the overall sustainability and replication viability of the approach. There is a long road ahead and the mobilization of resources, from public sector, private sector and user fees will be critical to future success.

On the basis of the lessons learned from the Kibera pilot, UN-HABITAT should place greater emphasis on political advocacy and promotion of increased flow of investments to scale up Kibera interventions. UN-HABITAT should begin an explicit programme to mobilize investments from potential investors such as AfDB, KfW, EIB, and the World Bank.

A design component which might be addressed in future projects is the greater involvement of the NCWSC and AWSB at the outset of the project. Developing a strategic relationship with NCWSC is also critical for the next steps in water service development in Nairobi and for conceiving of and implementing successful approaches to sanitation and solid waste disposal for poor urban communities.

2. Lake Victoria Region Water and Sanitation Initiative

The LVWATSAN has introduced effective approaches for accelerating the achievements of the WATSAN MDGs that will serve as model-setting approaches for up-scaling WATSAN development in the Lake Victoria Region and elsewhere. The LVWATSAN Kenya projects in Homa Bay, Kisii and Bondo have achieved tangible



results on the ground. The "Quick Impact Approach" with its combined and rapid efforts of undertaking immediately-needed repair works with limited investments and establishing the Multi-Stakeholder Forum (MSF) and institutional strengthening, is a significant, but under-communicated, achievement of the LVWATSAN interventions. The provision of micro-credit for construction of private latrines is also an important instrument for pro-poor

sanitation development, even if further efforts will be needed to broaden the benefits to the poorer citizens of the towns.

The achievements and lessons learned from the LVWATSAN projects will provide a valuable platform for UN-HABITAT to continue and upgrade its involvement in other WATSAN initiatives in the Lake Victoria region and elsewhere. Continued regional management, however, does detract from local ownership and support to Kenya sector reforms.

3. Maji Data

Maji Data is an excellently-conceived initiative, strategically important and execution by UN-HABITAT support through the Water Services Trust Fund brings great added value. Through this project

UN-HABITAT is generating strong leverage on WSTF and the anticipated pipeline of investment in future urban sector investment. The verification of the actual impacts of the Maji Data project needs to wait until the system starts disseminating the information and data products.

The project start omitted a key step of processing test data and testing out the database and project products before commissioning the main data collection exercise. This has introduced a risk that the information products do not match the requirements or expectations of users of the data. It is also recommended that baseline data contains key gender indicators so that gender impacts can be tracked.

With its focus on low-income and informal urban settlements, Maji Data



is an important contribution to the overall WATSAN sector monitoring and information systems. A significant issue that has not been resolved is the future hosting of Maji Data and responsibilities for updating and maintaining the data base.

The Maji Data base is being developed and hosted by the secretariat of the Water Services Trust Fund but, being an externally funded entity, the Trust Fund may be an institution of limited longevity. A common opinion was that the Water Services Regulatory Board (WASREB) would be the most appropriate host institution for future management of Maji Data.

Key arguments are that WASREB have the most to gain from an updated sector information system on urban poor WATSAN services and that WASREB has regulatory powers which could be used as an incentive for service providers to provide required data. The issue about future host institution and maintenance of the Maji Data system should be clarified soon and the transition of the system, including start-up support and future strategies to finance data maintenance, should be part of the Project activities.

Project Design and Documents: The Agreement of Cooperation (CA) is a “what to do” document and does not provide the project design information that one would find in a project document or appraisal report and which is required to facilitate a sound impact assessment. In some projects, the lack of documented baseline information and recent monitoring results has meant that no precise quantitative assessment of the impacts of the project could be made. To avoid this in future, all projects should

establish a baseline of information to assist in easy identification of impact.

2.1.4 IMPACTS

The main areas of intended impacts implicit in WSTF, as illustrated in Figure 1, include engaging with GoN ministries and agencies, development partners and through the three outreach channels to the urban communities: municipal authorities, service providing utilities and the NGO to engage with the communities at large. The types of expected impacts will be:

- Strengthened Institutional Capacity and Policy Framework to pursue pro-poor and gender sensitive urban WATSAN development (“normative” impacts)
- Increased Flow of Investment and Resources Mobilisation to increase Service Access (MDGs)
- Improved MDG and Performance Monitoring to verify the impacts of the interventions and investments

1. Strengthening Institutions/Policy/ Capacity

In general the reviewed sample projects show that, for the most part, the projects have a considerable positive impact at the intended target level. Impacts include policy reforms and capacity building at national and municipal level, pro-poor and gender sensitive urban WATSAN development, strengthening of service utilities, implementation of demonstration investments, employing NGOs to engage in community involvement and improved MDG monitoring. None of the projects was aimed directly at increasing the flow of investments, but several projects

managed to improve the pro-poor performance and sustainability of larger WATSAN infrastructure projects.

2. Increased Flow of Investment and Resources Mobilisation

In general, UN-HABITAT Kenya has demonstrated a good record in preparing the ground for attracting complementary project funding, although no project has mobilisation of funding for large capital investments as a main objective. For a relatively small project cost, the reviewed UN-HABITAT projects achieved good value for money and an impact well beyond their proportion of financial flows.

Model-Setting Impact: The primary importance of many reviewed projects is in their model-setting impact. The Kibera project, for example, has the potential to impact upon the entire slum population in Kenya, though the direct impacts in water and sanitation service improvement are relatively minor. The Quick Impact Approach used in three Kenyan towns under the LVWATSAN is a potentially powerful approach.

Multi-Stakeholder Forums: The use of multi-stakeholder forums, for example in the LVWATSAN project, is highly effective.

They strengthen governance and create awareness, commitment, transparency, accountability in project communities, and provide an important watchdog function over authorities and service providers.

Successful Partner Funding Arrangements:

The LVWATSAN project has successfully managed to raise supplementary funding for the FOR THE WHAT, PLEASE?(EUR 1 million) from the AWF/AfDB. The Kibera projects have a high leverage ratio on AfDB and GoK finance The AfDB is preparing to fund structural investments under the Kibera Support Programme.

Impacts on Large-Scale Capital Investment Projects:

In general, UN-HABITAT's impacts have been to improve operational quality and pro-poor relevance, rather than to leverage financial flows at the scale required. In Kibera and LVWATSAN larger investment projects are planned to follow the initial pilot project. But the scale of the need to address services for the poor in Kenya requires substantial investment from governments and investment banks.

Direct Impacts on Service Access – MDG Impacts:

Although there is little

Summary of Influence on Capital Investment Projects

Capital Investment Project		Associated UN-HABITAT Projects	
Project	No Benef.	No. Benef.	Strategic Impacts
Kibera WATSAN	800,000	Water 4,000 Sanitation 3,000	Community mobilisation and replicable WATSAN Centres
Kibera Support Programme	150,000	Not yet effective	Project design and methodology inputs
LVWATSAN	Water 230,000 Sanitation 220,000	22,400 Homa Bay 30,000 Kisi 7200 Bondo	Demonstration of highly effective "Quick Impact Approach" suitable for large scale replication
Maji Data	TBD	TBD	Not yet effective

data on direct project beneficiaries and verifiable impacts, and the numbers directly served with improved water and sanitation services are rather small compared with the scale of the problem, the studied projects have the potential to make a large impact on policy and overall strategy on Nairobi's slums from a relatively small investment.

The projects reviewed have an impressive record of direct impacts and most immediate project impact goals are met. The LVWATSAN project, for example, has increased water production, water service connections, revenue streams, reduced non-revenue water and improved school sanitation and solid waste collection. Yet the project should not lose sight of its main goal to develop interventions that test out approaches which can make a significant and direct impact on the poor and provide a model that could be replicated at scale.

3. Improved MDG and Performance Monitoring

Improved Information, Knowledge and Monitoring: UN-HABITAT's focus on improving knowledge and data has been highly successful. The project portfolio contains highly innovative projects and many, such as LVWATSAN, are producing insights and data with an impact across the entire sector and well beyond the immediate project goals. The niche of

data development in projects, such as Maji Data, is one in which UN-HABITAT has excelled and it should consistently focus on this area in all its countries of operation.

Gender-Disaggregated Data:

Gender-disaggregated data is critical for determining levels of achievements with respect to gender. Whilst UN-HABITAT has a strong record in gathering gender-disaggregated data, there are still projects such as Maji Data where this is neglected.

2.1.5 SUMMARY OF MAIN RECOMMENDATIONS KENYA

- Develop a UN- HABITAT Kenya country strategy in consultation with the main Kenyan sector agencies
- Enter into strategic agreements with the key Kenyan accountable sector institutions such monitoring information with WASREB and pro-poor investment with WSBs and WSPs. In future phases, shift the implementation of Kibera, LV and Maji Data projects to these national sector agencies
- Assign/appoint one staff member with Kenya country coordination duties
- The Quick Impact Approach concept to be applied to other projects and its impact analyzed

Identified Direct Impacts on Service Access of the Sample Projects in Kenya

Project	Direct Impact
Kibera WATSAN Project	Improved water supply services for 4,000 people and improved sanitation for 3,000
Kibera Support Programme	Estimated to lead to improved WATSAN services for 150,000 people.
LWATSAN Homa Bay Town	Increased water supply for 22,400 people. Improved sanitation for 1,000 school children. Improved water supply for 1,400 prisoners and staff

- UN-HABITAT should strengthen its systems to provide systematic impact monitoring for oversight over the entire project management cycle such as how projects are being created planned, approved, and monitored. This process would involve the participatory preparation of a Project Document (PD) and/or Project Appraisal Report (PAR) comprising a LFA matrix that specifies goals, objectives, activities, outputs, verifiable indicators, means of verification and assumptions/risks. The LFA will serve as an important basis for the assessment of project achievements and impacts versus the planned ones.
- It is recommended that UN-HABITAT consider adjusting its project planning, reviewing and approval procedures, including the format of the CA, to a system of project design documents that will enable systematic reviews and impact assessments
- CA progress reports submitted to UN-HABITAT should report according to a uniform format, which clearly caters for gender-related activities and data, and has an attached activity/output plan for the subsequent period. This will assist future assessments and evaluations to better follow up on achievements against planned outputs.

2.2. NEPAL COUNTRY IMPACT STUDY

2.2.1 OVERALL

The impact study reviewed WSTF's strategic intentions, examined the Nepal

country context, UN-HABITAT's country strategy and undertook an impact study of specific projects following the approach presented in Figure 1-2. Information was gathered from reviewing project documents, interviews with key stakeholders, including beneficiaries and field visits to the three sample projects selected for review. Collectively, these three sample projects will represent a basis for the assessment of the impacts of the three key outcome areas of the WSTF Strategic Plan.

The objectives and outcomes of UN-HABITAT's interventions are woven into several associated projects and activities performed by other development partners. Hence, it is not feasible to undertake precise assessments of the impacts that can be attributed directly to the UN-HABITAT country support programme so the impacts addressed in this report are rather in terms of incremental impacts and value added.

UN-HABITAT is a newcomer to the urban WATSAN sector in Nepal, but has managed to establish itself as a notable development partner in this field. Overall, very good work has been accomplished under (sometimes) difficult circumstances in Nepal, such as a high government staff turnover, political instability and lack of NGOs with sufficient experience to mobilise urban poor communities.

UN-HABITAT has an excellent reputation in Nepal amongst national water authorities, municipal authorities, communities and NGOs and local institutions. The UN-HABITAT WAsC Nepal Country interventions are well integrated with relevant authorities, institutions and development partners at national and municipality levels, and contribute to the



creation and achievement of GoN's urban development strategies.

2.2.2 COUNTRY PROGRAM FINDINGS

Country Strategy Design: There is a sound coherence between the project outcomes of the WAsC Nepal Programme 2008-2012 and those envisaged by the WSTF Strategic Plan 2008-2012 and UN-HABITAT's main Nepal focus - solutions to serving the informal urban poor and gender mainstreaming in cities and small towns - are widely recognised as critically important issues.

One important aspect of the UN-HABITAT funded Water Supply, Sanitation & Waste Management projects is focus on local institutional capacity building, which is crucial for the effectiveness and sustainability of the large investment programmes.

In Nepal, all of the WSTF-funded activities take place under the auspices of WAsC programme and the associated Country Support Strategy (2008-12) that is linked to the National Water Plan and the Three Year Interim Plan (TYIP) (2007-10).

The aim of the Country Strategy is to demonstrate innovative initiatives to the WATSAN sector for further up-scaling to reach the MDGs. The country strategy could be adjusted to better capture the ongoing shift from a wide-range of demonstration projects to a greater focus on strategic change-making, development partner coordination and MDG monitoring.

Project Selection: UN-HABITAT's experience has enabled some sound strategic choices in project selection. There is generally a good fit between country project objectives and WSTF's overall strategic objectives of capacity building, leveraging investments and improving data and knowledge. The Nepal project portfolio reflects an extremely energetic programme of approximately USD 9 million of which about USD 4 million is WSTF funded and some USD 5 million is generated from partner funding of some 48 projects covering a diverse range of initiatives that have generated a sound conceptual basis for larger scale replication.

The situation is about to stabilise as the number of new projects have gone down drastically since 2007. Nevertheless,

it has been noted that UN-HABITAT Nepal is determined to shift the style of its operations from that of a big entrepreneurial NGO to that of a strategic partner and influencer of future sector directions.

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, was 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.

The establishment of show-case projects strengthened UN-HABITAT's visibility and credibility to deal with pro-poor development challenges. This position provides a sound platform for the intensified involvement as a strategic advisor and promoter of pro-poor approaches.

Support to Institutional Reform and National Policy Dialogue: UN-HABITAT's liaison with leading sector policy-makers, institutions and stakeholders is well accomplished in Nepal. Lead government agencies acknowledged UN-HABITAT's active engagement and positive contribution to the sector. The UN-HABITAT Nepal operations are now gradually moving from implementation of a large number of demonstration projects towards the role of strategic facilitation including development partner coordination and sector-wide approaches. This area should receive more attention and the proposed country support strategy adjustments.

Modes of Implementation: UN-HABITAT has signed CAs with governmental and national institutions such as: Department of Urban Development and Building Construction (DUBDC), Ministry of Physical Planning and Public Works (MPPW), Department of Water Supply and Sewerage (DWSS), Municipal Association of Nepal (MuAN) and Town Development Fund (TDF). The preparation, signing, and implementation of agreements with these institutions is more demanding than entering into agreements with NGOs, due to the more bureaucratic procedures and practices of the governments.

Donor-Coordination: In Nepal there are relatively few major WATSAN funding agencies and WATSAN development assistance budget is relatively low. The donor coordination mechanisms between GoN and WATSAN development partners in Nepal are weak. UNICEF has recently taken an initiative to organise donor coordination meetings regularly and UN-HABITAT is one of the main stakeholders. This will be an important entry point for enhanced strategic impacts on the Government's WATSAN development policies and investment programmes.

UN-HABITAT should continue to strengthen its engagement in country level coordination working alongside key national authorities, development partners, and sector stakeholders. This also includes promotion of Sector-Wide Approach (SWAp) and other harmonized approaches aligned to Government strategies. UN-HABITAT is well positioned to play a leading role in establishing better co-ordination in Nepal.

Linkage to Water Services Utilities: UN-HABITAT has a comparative advantage in supporting utilities and water operators.

In Nepal, the WATSAN utility role at municipality level is assigned to Water User Committees (WUCs) or Water and Sanitation User Committees (WSUC). Several WASC projects are engaged in the strengthening of the WUCs for pro-poor service delivery and increase water and sanitation coverage in poor clusters of the towns. This includes the "Post Construction Support" projects linked to the ADB Small Towns WATSAN Project, which has significantly enhanced the impact of ADB capital investments in terms of usefulness and sustainability.

At a relative small incremental investment of USD 5 per capita, UN-HABITAT has improved operational and financial sustainability and pro-poor service provision. UN-HABITAT has also provided significant planning input to the upcoming 2nd ADB Small Town Project.

Resource Needs for Pro-poor

Promotion: UN-HABITAT is the UN Agency mandated to focus on the global problem of the urban poor. Yet the resources available to the WSTF are far outstripped by the scale of resources needed to address effectively the complex problems of integrating effective WATSAN approaches, which reach the poor, within urban management.

Examples from Nepal show that there are substantial and probably underestimated needs for expertise, funding, and implementation time to ensure effective community participation and pro-poor impacts in urban WATSAN projects. This will have consequences for the resource needs and effectiveness of large scale replication.

Some of the demonstrated community and pro-poor approaches are relatively

costly to replicate and will need further streamlining. It is therefore a challenge to strike a balance between the scope (avoid going too broad) and a more pragmatic approach to the community related scale-up interventions to lower the per capita funding and manpower needs for such interventions.

Fast Tracking of Community Based Projects.

Important lessons have been learned concerning the constraints facing fast-tracking of community based and pro-poor approaches. The fast-track approach has been quite successful in showing rapid establishment of WSUCs and timely improvement of WATSAN services. Nonetheless, too much speediness will leave the pro-poor concerns behind.

Lessons learned shows that community participation and pro-poor interventions are very time (and resource) consuming. This is a valid point when it comes to recognition of the time, funds and staff resources needed for up-scaling of the "soft" parts of WATSAN projects.

Sector Monitoring and Information Systems:

UN-HABITAT Nepal is increasingly involved in improving relevance and coordination of WATSAN sector monitoring in agreement with the focal objective of WSTF concerning Information, Knowledge and MDG Monitoring. It is recommended that this activity should be further upgraded as part of an adjusted UN-HABITAT strategy in Nepal.

Project Cycle Management: The UN-HABITAT Nepal has developed a lean project cycle management arrangement, and project processing time is low despite the large number of projects, the limited staff (six staff, three



of whom are involved in project task management) and the environment in Nepal. Several projects are experiencing implementation delays attributed to political and sector governance and partly due to internal project preparation, approval, and disbursement procedures. UN-HABITAT funds are managed from the HQs in Nairobi and disbursement is considered slow, especially second and third payment releases due to required reporting and fulfilment of CA conditions for UN-HABITAT HQ approval. Possible streamlining options should be looked into.

Project Documents and Procedures:

The project documents, mainly the CAs, are of uneven quality and insufficient format as they do not include log-frame analysis on goals, objectives, activities, outputs, verifiable indicators, means of verification and assumptions/risks. The LFA will serve as an important basis for the future impact assessments. UN-HABITAT should consider augmenting its project documents including approval procedures

with a view to facilitating efficient and consistent future impact assessments.

2.1.3 MAIN PROJECT FINDINGS

The consultants studied the achievements and impacts of some 16 Sample Projects (SPs) that had been suggested by UN-HABITAT Nepal.

SP1: Pro-poor Urban Governance through Poverty Mapping and Gender Assessment in Selected Municipalities and Enforcement of Urban Environmental Guidelines

The project is implemented by the Department of Urban Development and Building Construction (DUDBC), which is executing the ADB-supported UEIP in eight municipalities. The purpose is to prepare basic information system of urban poor through poverty mapping, gender assessment and identifying the WATSAN needs of the poor.

The project outputs are significant as they add value in terms of including the needs of the poor in planning and implementation of direct WATSAN investments, contributing to achievement of the MDGs for 270,000 people (ultimately 320,00 people) under the UEIP at a project cost equivalent to USD 1.6 per beneficiary.

The experience of developing a GIS-based tool, urban environmental guideline and experience in rainwater harvesting, may also have large-scale impact through replication by other municipalities. The project is also interacting with several other WAsC projects. This activity should be linked to UN-HABITAT's increased involvement in MDG monitoring at national level.

SP2: Community Based Sanitation Improvement in Urban Poor Communities in Hetauda Municipality

The project is implemented by the NGO ENPHO in cooperation with Hetauda Municipality (HM) and local communities. It involves capacity building of the municipality and local CBOs, sanitation improvement revolving fund for total sanitation local water source improvement, a capacitate HM for municipal-owned water supply management.

The project has enhanced the performance of the ADB supported UEIP in addressing issues related to community-based sanitation services and poverty reduction. It contributed the achievement of the MDG target by extending coverage to un-served households and pro-poor sanitation for 5,550 people at a cost equal to 29 USD per beneficiary and improved school sanitation. The project has in many ways enriched the UESP by demonstrating Community- and School-Led Total Sanitation (CLTS) and WHAT'S THIS?(TSLTS), and by mobilising communities to declare Open Defecation-Free (OD) areas. It demonstrated the success of engaging students as change agents of hygiene behaviour. New women's savings and credit groups increased household-based toilet coverage and income-generating activities benefiting women.

The project addressed Solid Waste Management (SWM), Rain Water Harvesting (RWH), and road and drainage improvements. The project has also enhanced the awareness of the Environmental Sanitation Section (ESS) of the DWSS. There is an issue that the project goes beyond the sanitation focus



reflected in the project title. Like some other projects it is complex and quite demanding for the implementing partners. It is advisable to focus the activities more on the core WATSAN issues having in mind the limited financial resources and the large number municipalities in need of support. It is also important to assure that the project outcomes will be internalised so that the community will be able to continue the pro-poor actions with their own resources.

SP3: Demonstration of Water Bottling System for Urban Poor Communities in Kathmandu Valley

The project implemented by the Urban Environment Management Society (UEMS) has successfully demonstrated local water bottling and distribution as a viable alternative of providing safe drinking water to the urban poor. Among achievements can be mentioned that the pilot supplies affordable drinking water (USD 0.05 per 20 litres) to some 4,000 people at a project cost equivalent to USD 5 per beneficiary. It has improved personal hygiene and helped reduce the incidence of water-borne diseases like diarrhoea,

jaundice, and typhoid, but no data is available to quantify these impacts.

The concept has a noteworthy “replication potential” to benefit other poor communities. The Low Income Consumers’ Unit (LICU) of KUKL and UNDP/PPPUE have expressed interest to collaborate with UN-HABITAT to spread this concept. The long term operational and financial sustainability of this undertaking through cost-recovery needs to be further monitored.

SP4: Capacity Building, Dissemination, Demonstration and Promotion of Rainwater Harvesting (RWH) in Kathmandu and Selected Towns in Nepal

The project is managed by the NGO Forum for Urban Water and Sanitation (NGOFUWS) and paves the way for systematic use of rainwater to mitigate urban water scarcity. RWH has been promoted by establishing demonstration sites and conducting awareness-raising and capacity-building activities. As a result of massive staff training campaigning and demonstration activities in DUDBC, DWSS, and in nine municipalities, GoN has decided to make installation of the RWH system mandatory in all new government buildings and a RWH policy paper has been drafted. The RWH efforts have also received international recognition. The project adds incremental value to the achievement of water supply MDGs under the UESP and in other investment programmes such as ADB, KfW and so on. One issue that has to be further elaborated and clarified is the pro-poor effects of RWH and the technological options and approaches that will ensure pro-poor benefits.

SP5: Initiative for Strengthening Networking and Advocacy Capacities of CSOs in South Asia Working Towards Achieving the Rights to Water and Sanitation

The project is implemented by NGOFUWS in cooperation with Freshwater Action Network (FAN)-South Asia. It is relevant for the urban water and sanitation sector development projects in Nepal, by increased attention to the need for building the capacities of CSOs in WATSAN development. The project comprises various activities such as workshops, orientation of FAN champions, national and regional FAN-SA meetings and so on. Although it is not straightforward to identify tangible impacts of such project it will add to the ability of CSOs to influence decision-makers relating to the achievement of the WATSAN MDGs.

SP6: Integrated Approach to Improve Water and Sanitation System and Increase Agricultural Productivity in Selected Communities in Khokhana, Lalitpur

The project is implemented by LUMANTI Support Group for Shelter in cooperation with the Community Learning Center. The impact of the project lies in the demonstration of decentralized and integrated peri-urban waste and wastewater management by meeting the needs for more water by rehabilitating traditional water sources and ensuring a supply of irrigation water.

The project has addressed Khokana’s pressing need for more water by rehabilitating traditional water sources and ensuring a supply of irrigation water. It includes essential structural investments

sewer pipes from latrines connected to a biogas digester, while grey water is treated through Reed Bed Treatment System. The actual impacts on achievement of MDGs of the project is improved WATSAN for some 2,000 people at a project cost of about 35 USD per beneficiary. The project has also led to increased agricultural productivity and production by the renovation of the traditional irrigation canal in Khokana that was blocked and broken some 20 years ago.

The project was targeted for integrated WRM and best utilisation of rainwater so that all traditional water sources can be revived so that the poor will have access to drinking water from sources such as dug wells and stone spouts. In this respect, the project has resolved a variety of water-related challenges in the community thus benefiting the poor and adding another case study to the collective experience base.

SP7: Demonstration of Localizing Millennium Development Goal (MDG) on Water & Sanitation through Capacity Building of MuAN and Kalaiya Municipality (KM)

The project is executed by Municipal Association of Nepal MuAN in association with Kalaiya Municipality. MuAN, an umbrella organization of all municipalities of Nepal, is instrumental to advocacy and lobbying at national level for policy reforms and strategies to up-scale the provision of WATSAN services to the poor municipal dwellers. It has been launching a campaign on localizing MDGs in municipalities of Nepal involving partnership with member municipalities, central government agencies, donors and other stakeholders.

Kalaiya Municipality has been selected as a model site for implementing MuAN's Poverty Reduction Strategy by sharing lessons learned among the municipalities and partners. The demonstration project has strengthened the capacity and capability of MuAN and the pilot municipality. About 5,280 people are directly benefiting from improved sanitation and hygiene at a cost in the order of USD 31 per beneficiary, which also includes the training of MuAN staff. The project is related to several other UN-HABITAT projects MISSING WORDS-SHOULD IT BE 'SUCH AS '? the ADB Small Towns Project.

The main impact of this project will be at the strategic level by its enhancement of the capacity of MuAN and the Urban Resource Centre to enable other municipalities in localizing MDGs and Poverty Reduction Strategy. In this respect, further examinations of the up-scaling effects of the outcomes of the project are recommended and, if necessary, provide the necessary support to enable MuAN-URC to transfer the knowledge into practice.



SP8: Strengthening Water, Sanitation and Hygiene Treasuring Health (SWASHTHA)

The project is implemented by Practical Action Nepal (PAN) in cooperation with ENPHO, MuAN, and targeted municipalities and communities. It aims to support the GoN's initiatives on the Year of Sanitation (YoS-2008) on its commitment to help achieve MDGs, by developing participatory water and sanitation Master Plans for the clusters of Municipalities and small towns.

The project includes education and awareness building and pilot demonstration projects. Thanks to better quality water being supplied to the targeted poor households the project has reportedly drastically reduced occurrences of scabies and waterborne diseases such as diarrhoea, typhoid, jaundice or worms. The project's actual contribution to the achievement of MDGs consists of improved sanitation and hygiene practices for 50,000 people, at a project cost equivalent to USD 9 per beneficiary. It is related to several other WASC projects and is closely integrated with the ADB UEIP and the Small Town Water Supply and Sanitation Project.

The project has effectively delivered the intended outputs in the pilot communities, thus added more value to the common urban WATSAN knowledge and experience base. More attention needs to be paid to the strategic and efficient use of the acquired insight and knowledge in the future.

SP9: Water, Environmental Sanitation and Hygiene Programme for Urban Poor

The project is managed by WAN in

cooperation with LUMANTI, and CIUD. It demonstrated urban water, environmental sanitation and hygiene for the urban poor and this included an effective model of partnership for fast tracking such projects. WATSAN services to the urban poor communities were not adequately covered by the UEIP, so one of the project purposes was to strengthen its pro-poor orientation and provide a valuable basis for replication in other towns. The project has involved capacity building of WAN and other NGOs.

The project's actual achievement is an improved water supply for 9,025 people and improved sanitation for 12,000 people. Assuming there are 19,025 beneficiaries, the WATSAN improvement cost is about USD37 per beneficiary including dissemination of demonstration outcomes and replication efforts. The project is corresponding to other community-based water supply, environmental sanitation programme for the urban poor funded by the WSTF. The project has also delivered some important model-setting results concerning the water rights of the informal urban settlements (see BOX 2-1).



SP10: Capacity Building of Water and Sanitation User's Committee for Pro poor Service delivery in selected four Small Towns

The project is managed by DWSS of MPPW in association with STWSSSP, TDF, and WSUCs DON'T KNOW WHAT 'WSUCs' and would advise dropping some of the acronyms – do we need the 'in association with' ones?. The project is associated with the ADB-funded Small Town Water Supply and Sanitation Sector Project (STWSSSP) to improve health and quality of life of the people living in the 29 small towns by upgrading the WATSAN and drainage systems and providing health and hygiene education. The UN-HABITAT funded project is effectively performing "Post Construction Support" in terms of capacity building and financial sustainability (i.e. for repayment of TDF loans) of the UCs in four small towns for sustainable pro-poor service delivery and to increase water and sanitation coverage in poor clusters of the ADB project. UN-HABITAT is committed to rolling this out to a total of 14 towns. The project has benefited 66,000 people, equivalent to USD 5 per beneficiary.

NEW DATA The per capita cost of the ADB funded WATSAN investments in small towns are typically in the order of 63 USD per beneficiary, so an incremental investment of USD 5 per capita (8%) to make such investments poverty responsive and operational is considered good value for money. Following the experience from the UEIP and first Small Town projects, community-oriented projects are quite resource- and time-consuming and these activities should basically be included in the capital investment programme and not addressed as post-project "add-ons".

The second ADB Small Town Project has significantly benefited from inputs from UN-HABITAT (See BOX 2-3). Since UN-HABITAT has no formal position in the second project, it has recommended consider vitalising the MoU with ADB at country level in Nepal to ensure better impacts and recognition of UN-HABITAT's services.

SP11: Country Level Capacity Building of Stakeholders on Total Sanitation and Promotion of School Led Total Sanitation in Bharatpur and Ratnanagar

DWSS Environmental Sanitation Section (ESS) manages the project in partnership with WSSD/SDO and stakeholders. The joint effort of DWSS and UN-HABITAT in training technical professionals has resulted in changed DWSS attitudes and priorities when it comes to community and school-driven sanitation development as sanitation has now become a recognized area with political support and own budget lines and allocations. DWSS has taken an initiative to promote nationwide SLTS. The project has contributed to favourable chances of achieving the Nepal Country Plan for the IYS-2008 targets.

The consultants could observe the results of these efforts on the ground, as several communities arranged Open Defecation Free (ODF) area ceremonies during the field visits. The project also contributes to the achievement of the MDG in specific demonstration communities totalling 15,000 people with a project cost equivalent to 18 USD per beneficiary. This also includes expenditures for DWSS training, so the actual cost of the pilot demonstration of Total Sanitation will be lower.

The project has added important value to the common urban WATSAN knowledge and experience base on total community based sanitation. UN-HABITAT should put more vigour into strategic replication of the collective knowledge acquired from this and other demonstration projects.

SP12: Blanket Arsenic Testing of Ground Water Sources in Seven Terai Districts

The project is managed by DWSS Water Quality Section, MPPW and strategic Partnership with WHO and UNICEF. The project has supported the water quality monitoring responsibility of the WQS by mapping of arsenic-contaminated wells thus generating systematic knowledge about the arsenic problem as a potential public health risk factor. The outputs of the project have contributed to the arsenic mitigation programme in nine arsenic-affected districts of Nepal by the Nepal Red Cross Society (NRCS) in close coordination with local government and line agencies.



An important outcome of this project is the strategic partnership with relevant UN agencies such as UNICEF and WHO. It was undertaken in response to a demand from GoN to UN-HABITAT to join forces with other organisations to clarify and combat the arsenic problem of the country. UN-HABITAT's contribution was to provide technical support and capacity building of local entrepreneurs able to produce arsenic filters that are mainly installed in urban centres.

SP13: Enhancing the International Year of Sanitation 2008 to Create an Enabling Environment for Promoting Total Sanitation in Nepal

The project is executed by DWSS, Water Quality Section, and MPPW. It resulted in the preparation of the Nepal Country Plan for IYS-2008, which was implemented as an alliance among government agencies, donors, UN Agencies, international/non-governmental organizations (INGOs), local bodies, civil societies, mass media, private sector, users committees, schools and general public.

Thanks to this collaboration the GoN allocated, for the first time, a separate budget for sanitation promotion thus recognizing the social, economic and health implications of sanitation that demonstrates the government's growing concern and commitment towards sanitation promotion in more systematic and coherent ways. The project is also important for UN-HABITAT's visibility and credibility as a key sanitation sector development partner of the GoN to continued support awareness building and recognition of the importance of sanitation and hygiene and facilitation of large-scale replication interventions.

SP14: Establishment of Community Based Wastewater Treatment Plant for Dhulikhel Municipality

The project was implemented by Dhulikhel Municipality in cooperation with the Shreekhandapur UC and ENPHO. The project included the establishment of a community-managed Reed Bed Treatment System (RBTS) with biogas digester as a treatment system serving a small community. The system is maintained and operated by the community (UC) with technical assistance from a local NGO. This system functions as a learning site for professionals and technicians from other municipalities to replicate the system under the ADB-funded UEIP in seven municipalities and is already being replicated in Bharatpur, Kamalamai.

The project is benefiting some 2,500 people and the project cost is about USD 57 per direct beneficiary. This cost includes pilot, dissemination and replication efforts so the per capita replication cost would probably be lower. The project demonstrates a well functioning RBTS for researchers, sanitation engineers, students, and relevant stakeholders and is being replicated the project to UEIP small towns and others. The project enriches UN-HABITAT's technological knowledge base and it should be further promoted beyond the ongoing replication under the UEIP.

SP15: Community Based Water Supply and Sanitation Pilot Project in Peri – Urban Community of Siddhipur within Kathmandu Valley

The Environment & Public Health Organization (ENPHO) implements the project, in cooperation with Siddhipur Water Supply and Sanitation Committee.

The project demonstrated community-oriented approaches and processes such as familiarizations meetings among local stakeholders, formation of a technical team and sub-committees to carry out activities, legal institutionalization of the WSUC, setting up administrative arrangements and monitoring.

The WSUC also demonstrated tap connection options to meet the needs of the extremely poor, involving funding through cooperatives and women's savings and credit groups including pro-poor water pricing. Other activities included installation of sanitation systems through CLTS and SLTS campaigns.

The project's actual MDG impact was improved sanitation for 6,200 people at a project cost of 61 USD per beneficiary, which may appear surprisingly high for the community aspects. The project is conceptually corresponding to several other WASC projects. The project illustrates well the ample needs of human and monetary resources to actually implement the pro-poor principles on the ground (see BOX 2-2).

SP16: Provision of Total Coverage of Safe Drinking Water and Sustainable Sanitation Facilities in Urban Poor Communities in Hetauda Municipality

The project is carried out by Hetauda Municipality (HM) and Tole Development Committees. The UEIP has placed its main focus on construction of water supply and wastewater facilities and other infrastructures.

The UN-HABITAT project is supplementing the project with more community-based, onsite sanitation facilities and solid waste management and assisting local people in

improving their traditional water sources and systems in poor areas where UEIP investment may not be sufficient.

The project has prompted people to construct toilets in cooperation with community groups under the auspices of Community Led Total Sanitation (CLTS) and School Led Total Sanitation (SLTS) through a pro-poor micro credit scheme for providing water and sanitation facilities. Hetauda municipality has developed a scheme for providing loan for water and sanitation facilities and a similar kind of mechanism managed by Users' Committees (UCs) is being developed in 14 small towns of the ADB Small Towns Water and Sanitation Project (SP10).

The project's actual impact on achievement of MDGs is improved sanitation for 4,500 people at a project cost 45 USD per beneficiary and it should be recognised for its achievements in addressing the challenges facing the targeted communities. However, it has a high complexity and diversity that makes its implementation and cost efficiency quite demanding. For future up-scaling, it is necessary to prioritise and focus on the essential interventions, having in mind the limited financial resources and the large number of municipalities in need of similar support.

It is also a question MISSING WORDS – QUESTION OF WHAT? if the mission of the project is fully accomplished so that there is no more need for external support to maintain the momentum of the introduced solutions. It is recommended to take this into consideration in connection with a more strategic orientation of the Nepal Country Support Programme.

2.2.4 IMPACTS

The main areas of intended impacts implicit in WSTF as illustrated in Figure 1 include engaging with GoN ministries and agencies, development partners and through the three outreach channels to the urban communities; namely the municipal authorities, the service providing utilities, and the NGO to engage with the communities at large. The types of expected impacts will comprise:

- Increased Institutional Capacity and Policy Framework to pursue pro-poor and gender sensitive urban WATSAN development ("normative" impacts)
- Increased Flow of Investment and Resource Mobilisation to increase Service Access (MDGs)
- Improved MDG and Performance Monitoring to verify the impacts of the interventions and investments

1. Increased Institutional Capacity and Policy Framework

Reform and Policy Impacts: In general the reviewed projects show that most of the sample projects have a considerable positive impact at the intended target level, ranging from policy reforms and capacity building at national and municipal level to pursue pro-poor and gender sensitive urban WATSAN development, strengthening of service utilities, implementation of demonstration investments, employing NGOs to engage in community involvement and improved MDG monitoring.

Stakeholder Mobilisation: The creation of different stakeholder forums is highly effective in strengthening the governance and rising of awareness, commitment, transparency, and accountability in project

BOX 2.1: WSTF-FUNDED PROJECTS HELP IN DE-BLOCKING RESTRICTIONS FACING INFORMAL URBAN SETTLEMENTS

An important, albeit under-emphasised, impact of the Bharatpur project (SP9) is concerning the lack of tenure rights of poor residents in informal urban communities and subsequently the lack of rights to municipal WSS and other public services. Through assistance by the project, the municipal authorities were convinced to grant the necessary guarantee for NWSC to allow public water connections.

NEW PARAThe Municipality also constructed toilets, as well a wastewater interception channel along the river. It is reported that OD has now stopped and the river bank zone has become an attractive public area. The success can be attributed to i.a. WHAT'S 'i.a.'? the UN-HABITAT project resulting from advocacy at NWSSC and municipality level that helped allow the connection of WSS services to the poor and land-less. This case may pave the way to assistance for other landless urban people on a larger scale. The project has added important value to the common urban WSS knowledge and experience base. UN-HABITAT should put more vigour in the future into systematic and strategic replication of the acquired knowledge.

communities. The Nepal operations have promoted the creation of several vibrant community groups that act as key driving forces in development of community- and school-led total sanitation initiatives and pro-poor water supply arrangements

Model-Setting for Up-scaling Impact:

The primary importance of many reviewed projects is their model-setting impact with the view to enhance the pro-poor priority and relevance of the WATSAN projects. The project portfolio reflects a large number of small projects providing

an ample conceptual knowledge base that is suitable for replication and up-scaling under large capital investment programmes to achieve the WATSAN MDGs.

The main challenge facing the UN-HABITAT Nepal is to help refine and translate these model-setting projects into tangible investment programmes. This will require a more candid involvement in the role as strategic facilitator involving development partner coordination and sector-wide approaches.

Community and Pro-poor Approaches are Resource Demanding:

Analysis of achievements and impacts of projects are not complete unless they are measured against the backdrop of the costs and efforts incurred. An interesting outcome of the UN-HABITAT demonstration and pilot projects in Nepal is the creation of useful cost data for pro-poor and gender sensitive community-based projects. Expressed in cost per beneficiary, the findings indicate that the "post construction support" to STWSSP focusing on strengthening the municipal UC required about USD 5 per capita (equivalent to 8% of capital investments). The more broader scope of interventions typical for the support to the Urban and Environment Improvement Project (UEIP) was in the range of USD 29 to 57 per capita (25-50% of capital investments).

For future up-scaling, it is important to prioritise and focus the interventions more candidly and to have in mind the limited financial resources available and the large number municipalities in need of support

2. Increased Flow of Investment and Resource Mobilisation

Successful Partner Funding

Arrangements: The Nepal operations have managed to attract substantial funding contributions from the implementing partners and counterparts. Out of an accumulated project portfolio of about USD 8.6 million, USD 3.7 million (44%) is funded by WSTF and the remaining USD 4.9 million (56%) is contributed by implementing partners and beneficiaries.

BOX 2.2: IMPLEMENTATION ON THE GROUND OF PRO-POOR PRINCIPLES IS RATHER DEMANDING.

In connection with the Community Based Water Supply and Sanitation Pilot Project in Peri – Urban Community of Siddhipur (SP10) the consultants noted with interest some observations made in a recent MSc Thesis (by J. W. van Rooij) where the author points out the contradiction between project speediness and poverty responsiveness of the project. The fast-track approach has been quite successful in showing rapid establishment of WSUC and improvement of WATSAN services, nonetheless this has been at the expense of community involvement since community participation and pro-poor interventions have proven to be very time (and resource) consuming.

NEW PARAThis is an extremely valid point when it comes to recognition of the time, funds and staff resources needed for up-scaling of the “soft” parts of WATSAN projects. Yet, this project has achieved great progress, and much development has been set in motion. Important lessons have been learned concerning the constraints facing the fast tracking of community based and pro-poor approaches. The experiences from this project will add value to the common knowledge base of urban WATSAN approaches. In the future, more attention should be paid to the use of this knowledge for scaling up planning.

Financial Mobilisation for Large Capital Investments:

Increased flow of investments to the urban WATSAN sector with the view to achieve the MDGs is an essential objective of the WSTF and WAsC Nepal. In general UN-HABITAT has demonstrated a good record in preparing the ground for attracting complementary project funding. None of the projects has mobilisation of funding for large capital investments as a main objective but financial mobilisation is implicitly addressed in many WAsC projects in terms of their direct or indirect contributions to the large investment projects funded by ADB and others. The funding requirements to meet Nepal’s future WATSAN targets is almost USD 50 million per year in addition to the massive efforts required to rehabilitate non-functional WATSAN systems.

Impacts on Large-Scale Capital Investment Projects:

None of the projects was aimed directly at increasing the flow of investments but several projects have managed to improve the pro-poor performance and sustainability of larger infrastructure projects.

Direct Impacts on Service Access –

MDG Impacts: UN- HABITAT’s main project activities on the ground show innovation and are making a substantial impact from a small investment. The majority of projects reviewed have an impressive record of direct impacts and most immediate project impact goals are met.

The Table indicates cost per capita invested to achieve improved pro-poor WATSAN services. Many of these demonstration projects have high initial transaction costs and there is scope for reduction of these costs when streamlining and up-scaling the interventions.

Summary of Influence on Capital Investment Projects in Nepal

Capital Investment Project		Associated UN-HABITAT Projects	
The ADB Small Towns Project (2000-09)	252,000	66,000	Demonstration of effective Post Construction Support and UC capacity building
The 2nd ADB Small Towns Project (2009-16)	240,000	No UN-H project so far	Significant community, pro-poor, and gender value added to project design
The UEIP (2003-10)	320,000	43,000	Broad-based approaches beyond WATSAN showing good results but at a high price
UDLE (2008-2010)	(data needed)	5,230	Improved sanitation, hygiene and gender equality

Identified Direct Impacts on Service Access and Cost per Beneficiary of Sample Projects

	Project	Direct Impact	USD/c
SP1	"Pro-poor Urban Governance by Poverty Mapping and Gender Assessment in Municipalities, and Environmental Guidelines"	Poverty mapping leading to more focus on pro-poor WATSAN services affecting a population of 270,000 people	1.6
SP2	"Community Based Sanitation Improvement in Urban Poor Communities Hetauda Municipality"	Improved sanitation services for 5,550 people	29
SP3	" Demonstration of Water Bottling System for Urban Poor in Kathmandu Valley"	Improved drinking water access for 4,000 people	5
SP6	"Integrated Approach to Improve WATSAN System and Increase Agricultural Productivity in Communities in Khokhana, Lalitpur"	Improved water supply and sanitation for 2,000 people	76
SP7	" Demonstration of Localizing MDG on Water and Sanitation through Capacity Building of MuAN and Kalaiya Municipality"	Improved sanitation and hygiene practices for 5,230 people	31
SP8	" Strengthening Water, Sanitation and Hygiene Treasuring Health (SWASHTHA)"	Improved sanitation and hygiene education affecting 50,000 people	9
SP9	" Water, Environmental Sanitation and Hygiene Programme for Urban Poor (Bharatpur, Lubhu, Narayantole)"	Improved water supply and sanitation for 19,025 people	37
SP10	"Capacity Building of WUCs for Pro poor Service delivery in selected four Small Towns (Parsa, Khairanitar, Bandipur and Lekhnath "	Improved water supply and sanitation for 66,000 people	5
SP11	"Capacity Building of Stakeholders on Total Sanitation and School Led Total Sanitation in Bharatpur and Ratnanagar"	Improved sanitation for 15,000 people	18
SP14	" Establishment of a Community Based Waste Water Treatment Plant for Dhulikhel Municipality"	Improved sanitation for 2,500 people	57

SP15	"Community-based WATSAN Pilot project in Peri-Urban Community of Siddhipur within Kathmandu Valley"	Improved water supply and sanitation for 6,200 people	61
SP16	"Provision of Total Coverage of WATSAN Sustainable Facilities in Urban Poor Communities Hetauda Municipality"	Improved water supply and sanitation for 4,500 people.	45

Enhanced Involvement of UN-HABITAT in new WATSAN Investment Programmes. UN-HABITAT has contributed to the 2nd ADB STWSSSP (2010-15) and the 2nd Urban Environment Improvement Project (UEIP) 2010-15

BOX 2.3: SIGNIFICANT UN-HABITAT INPUTS TO THE 2ND ADB SMALL TOWN PROJECT

The design and preparation of the 2nd ADB Small Town Project (STWSSSP) has followed a participatory approach including workshops at central level and in the towns attended by key stakeholders, government departments, NGOs, and development partners including UN-HABITAT. The latter played an active role during project design, through workshops and several meetings with the ADB project appraisal consultants, with particular emphasis on pro-poor project interventions and involvement of the civil society which is one of UN-HABITAT's comparative advantages. Thus, UN-HABITAT has contributed to the inclusion of lessons learned into the new project. The project preparation workshops have contributed to a strong stakeholder support to the project. Participation of stakeholders, including poor and vulnerable groups, are also key elements during project implementation supported by NGOs assisting WUSCs and DWSS in mobilizing communities and ensuring beneficiaries' participation. The project will thus directly capitalise on UN-HABITAT's valuable, albeit under-recognised contributions that also may involve complementary projects addressing community involvement and pro-poor orientation.

benefiting from lessons learned from the UN-HABITAT projects (see BOX 2-3). Yet, UN-HABITAT has no formal position in the STWSSSP that would have been desirable for enhanced recognition and strategic cooperation. In order to better position the UN-HABITAT in this and similar projects, it is recommended to consider vitalising the MoU with ADB at country level in Nepal.

3. Improved MDG and Performance Monitoring

Improved MDG Monitoring and Reporting Mechanisms. There are only two sample projects that have bearings on MDG monitoring and reporting, namely: SP1: "Pro poor urban governance through Poverty Mapping and gender assessment in selected municipalities, and enforcement of Urban Environmental Guidelines" and SP7: "Demonstration of Localizing MDG on WATSAN through Capacity Building of MuAN and Kalaiya Municipality". The former has created an important GIS based poverty information system that also provides a tool for documenting the baseline situation for water and sanitation in the poor urban settlements. The latter will enhance MuAN's capacity to participate in MDG performance monitoring. As recommended, UN-HABITAT Nepal is already actively involved in a coordinated monitoring of the achievement of MDGs and this activity should be intensified as part of an adjusted country strategy.

2.2.5 MAIN RECOMMENDATIONS FOR NEPAL

- UN-HABITAT Nepal should now give greater weight to its role as a strategic influencer and with a clear vision about what is needed to address the challenges of urban WATSAN. This new role will also require increased engagement in national policy dialogue, involve key government policy makers more centrally in the development and implementation of country activities and focus its strategy on longer-term scalable approaches. This will also require a more strategic selection of activities and projects.
- Play a leading role in supporting GoN in WATSAN sector coordination and in development of SWAp arrangements and enhance its role as a strategic development partner and support UNICEF's initiative to organise regular donor coordination meetings. This will be an important entry point for UN-HABITAT to support GoN to develop its WATSAN policies and increase investment in urban programmes.
- In order to strengthen UN-HABITAT's position in the new ADB STWSSSP (2010-2015) and similar projects, it is recommended to formalise the cooperation with the ADB through a MoU at country level (as has been done in Lao PDR)
- Give greater focus to mobilizing resources from urban investment partners who could take UN-HABITAT ideas onto a larger scale. UN-HABITAT should consider extending its cooperation with new partners such as KfW, JICA, the World Bank and other bi- and multi-lateral financiers.
- Carry out a synthesis and assessment of the experiences of the community and pro-poor interventions of all projects. The purpose would be to organise shared lessons, optimize the scope of pro-poor interventions, sharpen project focus and increase the impact of human and monetary resources in future local community WATSAN interventions.
- Adjust the WASC Country Support Strategy to give greater emphasis on UN-HABITAT's role as a strategic influencer and resource mobilizer. This strategic adjustments will also have a bearing on future staffing priorities for UN-HABITAT Nepal operations
- Make necessary adjustments to UN-HABITAT's operations and its CSS for Nepal in order to enhance its role as a strategic influencer. The shift from pilot project management to increased policy engagement implies a significant change in staffing profiles. Other recommended measures to increase capacity include strengthening capacity in municipal service management, project cycle management, performance monitoring, reporting, budgeting and financial mobilisation.
- Improve the Project Document by using a standard format including a log frame with indicators of achievement and impact that are SMART (Specific, Measurable, Achievable, Realistic and Time-bound). The same requirements should also apply for non-project operations/
- Establish systematic monitoring and reporting mechanisms of the performance and achievements

of the WAsC projects including their collective achievements that will reflect the overall significance and impacts of UN-HABITAT Nepal operations

- Explore possible streamlining options for the project cycle management and disbursement cooperation between UN-HABITAT Nepal and HQ

2.3. GENDER MAINSTREAMING IMPACT STUDY

2.3.1 OVERALL

The Gender Mainstreaming Impact assessment has reviewed global, regional and country initiatives in nine countries: Ethiopia, Ghana, Kenya and Nigeria in Africa; India, Lao PDR, Nepal and Vietnam in Asia and Nicaragua in the Latin America and Caribbean region.

Global Thematic Design: WSIB is addressing gender issues with technical support from the UN-HABITAT Gender Mainstreaming Unit in a range of projects drawn from different initiatives rather than being derived from one global programme on gender.

The WSTF-supported initiatives which include specific gender components are Water for Africa Cities (WAC); Lake Victoria Region Water and Sanitation Initiative (LWATSAN); Water for Asian Cities (WAsC) and Mekong Region Water and Sanitation Initiative (MEK-WATSAN). Countries' own approaches evolve and many projects are innovative and impactful. This decentralized approach has meant that gender mainstreaming



is managed unevenly, even though UN-HABITAT as an institution has developed global gender strategies and tools and is linked to relevant global networks, such as the Gender and Water Alliance (GWA).

UN-HABITAT is delivering excellent work on **poverty and gender mapping**. This is appreciated and in use by UDLE and DWSS. The tools and methods are also replicated in projects in Vietnam, Lao PDR, and India. The assessment of projects reveals impressive community work, concrete results and high levels of effort. There is a need for continued gender training for staff, including project staff, and a deeper understanding among stakeholders that the gender concept involves the roles and need of women, men, youth, girls and boys and is not equivalent to "women participation" in WATSAN activities.

Gender Mainstreaming: Gender mainstreaming strategies (normative work) are of good quality, and clearly stand above work of many other international development organisations. Though some

of this work has influenced policies, many WSTF gender mainstreaming initiatives remain project focused and this limits their impact. In some instances “gender fatigue” was identified, which also limits project impact.

The direct project impact of increased safe water nearer to people's homes is reported to save time for women and girls, time which may be used for economic activities. Access to improved sanitation in public and private areas has benefited many in the project communities but women, young girls and children benefit much more from toilets near their homes than from those in public places.

Targeting of interventions: Operational activities have specifically targeted poor communities in urban informal settlements, which and, in most countries, are informed by poverty and gender assessments. There is a strong focus on community participation and recognition that women, who have special needs and responsibilities in the field of water supply and sanitation, are important agents for change. Challenges faced include tensions in relation to ethnic and/or religious norms and political instability, in particular in some African countries, as well as high turnover of government staff.

Integration with Income-Generation: Many of the country initiatives have introduced some form of income-generating activities and benefits for women and youth as part of the WATSAN work. This should be further developed, as such activities are in high demand, and linkages to other organisations providing training on management skills (including book-keeping and accounting) as well as micro-finance providers should be facilitated whenever possible.

2.3.2 MAIN FINDINGS

Pro-poor and Gender Related

Strategies: The achievements made by UN-HABITAT and WSIB in the field of gender strategies related to informal urban settlements are important elements of the stated normative activities, which have received support from the Gender Mainstreaming Unit.

These are found to be of good quality, and clearly stand above work of many other international development organisations. They emphasize the benefits of entrusting the responsibility to communities and groups of both women and men, in order to participate and take control of solving their water and sanitation problems at the local level. Normative work also includes influencing policies and such impact has been found in some countries.

WSIB's Logical Frameworks (general and gender specific):

Logical Frameworks (LF) are management and evaluation instruments to monitor progress and, in a transparent way, allow all stakeholders to have information and influence decisions about subsequent steps and adapt to the reality on ground. The fact that more than one LF exists has complicated the process of arriving at conclusions regarding results in comparison with plans.

Although indicators of achievements are developed, they are not Specific, Measurable, Achievable and Time bound (SMART) which has made it difficult to use the log frames as instruments of assessment. This applies even in cases where baselines and benchmarks exist.

The MTSIP framework is a good one which can supplement the LF/RBM as it is user-friendly and has a structure that is

easy to follow. It should not replace the conventional log frame matrix as it lacks 'objectives', 'activity areas', 'means of verification' and 'assumptions'.

In reviewing the MTSIP LF, it was observed that gender-disaggregated data is mentioned in Focus Areas 1 and 5, however, it is not at all mentioned as a factor at any level in the Focus Area 4 (the WATSAN area) – which is quite a deviation from the RBM/LF 2004-2007 where gender and pro-poor issues are frequently mentioned, and at several levels. Further, Focus Area 4 (WATSAN area) should have included references to gender in outputs/outcomes or results, and gender disaggregated data should have been mentioned. 'Assumptions' should always be defined as conditions being outside the control of the programme.

Data gathering and project reporting:

The Poverty and Gender Mapping and Baseline Surveys are examples of comprehensive work in several countries. However, at the time of the assessment there seemed to be no established system to collect, disseminate and report on gender-disaggregated data on a regular basis, which makes these early baselines seem like "stand-alone" exercises with no systematic link to activities and progress. It has since emerged that formats have been developed to be used periodically in projects.

Building capacity and appreciation through Gender Training:

WSIB has also made great efforts in its operational work through its country initiatives to raise gender awareness and training its partners and stakeholders through efforts which included basic gender training workshops. As this study shows, progress has been identified in several countries and in Asia

in particular. An important finding is that, when programme/task managers are knowledgeable and interested in gender issues, it almost immediately translates into positive results both at field and Headquarter levels.

Since 2005, gender mainstreaming training workshops at different levels have been organised regularly for policy makers and women's representatives in participating towns - which also benefit field staff. UN-HABITAT fully appreciates that this area of work deals with changing mindsets, attitudes and behaviour in vastly diverse socio-cultural environments. "Gender" is often understood by many partner organisations to solely mean "women representation", such as the number of women represented in WATSAN user committees, or "women participation", such as women participating in construction work. Gender mainstreaming, in particular, is often met with fatigue and sometimes perceived in developing countries as donor-driven.

Gender Focal Points: WSIB has strived to set up gender-balanced project staff teams with one staff member assuming the role as Gender Focal Point (GFP). In some WAC II countries, including Ghana and Mali the GFP is based in the ministry in charge of gender issues who, jointly with the implementing partners, ensures that gender priorities are taken into consideration in the projects (e.g.). In all cases, these government officers are members of the Steering Committees of WAC II projects, and also participate in UN-HABITAT training on gender in human settlements in countries and occasionally participate in WUFs, at the invitation of the Gender Mainstreaming Unit.

Use of training materials/guidelines:

This study has come across some of the diversity that exists in countries, regarding socio-cultural norms and attitudes toward gender issues. The assessment is that the programmes, in cooperation with the GWA, have generally appreciated that different contexts require different approaches, that “tailor-made” training materials and guidelines need to be developed and that language translation is often not sufficient as adaptation to local contexts. However, this realisation has not always been translated into practice - sometimes due to lack of timely resources.

Activities related to women

empowerment: The study found that WSIB has supported the recruitment of women at higher levels, in government agencies and institutions. Good efforts have been made in many countries to empower women by encouraging their voice and participation in decision-making bodies such as WATSAN committees and Multi-Stakeholder Forum at Municipality levels. In many countries, the norm is about 30% women members in such committees while in India, this may go to 50% as result of a new Government policy.

Less information has been received about empowerment of male and female youth and their participation in various bodies – with some exceptions such as Kenya and Nepal - and in some countries it was specifically reported that the youth have not shown interest in getting involved in activities.

More emphasis on improved

sanitation: All urban areas targeted in the programmes under review have, at the outset of interventions, had inadequate access to basic WATSAN services. With regard to sanitation, this has been treated as a matter of particular importance for

women and girls, and related to security, health, privacy, and human dignity. Poor maintenance of facilities leads to low utilization, especially by women and girls.

The introduction of well-maintained responsive community toilet models with separate doors is greatly influencing sustainable management of the facilities and thus encouraging utilization. Lack of toilets and sanitation is a cause for adolescent girls to drop out of school.

The programme has stressed the importance of developing “gender sensitive models” for water, sanitation and hygiene in the community and schools. Social marketing has been an important activity in this regard to create demand for sanitation facilities as there are number of socio-cultural issues and norms that make the task of improving sanitation a rather slow and difficult process and more so than the task of providing water.

This seems to be the case particularly in the African countries and it has been suggested by one WSIB project CTA that the third phase of Water for African Cities would focus even more on improved sanitation than earlier phases.

Economic Activities and Micro Finance

Related to WATSAN: Opportunities for both women and men to gain incomes in relation to WATSAN interventions have been supported in country programmes, which is a good development. Women in particular show great interest in informal economic-oriented activities. For instance, women have assumed tasks as caretakers of WATSAN facilities (toilets and water taps), water sellers managing water kiosks and waste collectors. The micro-credit (revolving) schemes set up in most countries under WAC to speed up the attainment of the sector MDGs, has been

directed to the construction of toilets at household level.

In some countries, the “selling” of the idea of poor people borrowing money for a non-productive purpose has met quite some challenges as this does not generate any income per se to repay the loans. The planned activity in, for example, LWWATSAN in Kenya to involve beneficiaries in training on activities such as waste management as part of Local Economic Development (LED) seems useful.

Gender Specific Strategies and Frameworks:

UN-HABITAT has placed much effort in developing gender specific strategies and frameworks. ‘Gender mainstreaming’ is defined as “the process of accessing the implications for women and men of any planned action, including legislation, policies and programmes, in any area and at all levels”.

Its strategy is to make the concerns and experiences of women as well as men an integral part of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and social spheres. The above definition makes it clear that “gender” is not related to the needs and roles of women only, but men and women - which would include boys and girls, youth and elderly.

UN-HABITAT’s Gender Mainstreaming

Unit: UN-HABITAT initiated a Women and Habitat Programme in 1992 which developed into the current Gender Mainstreaming Unit. In 2002, a gender policy was developed as a guide for management and staff to mainstream and promote a gender perspective including collaboration with partner organizations.

Gender Equality Action Plan for 2008-2013:

In 2008, inhouse consultations began regarding the development of a Gender Equality Action Plan (GEAP) for 2008-2013⁴. GEAP was endorsed in 2009 by the member states of the Governing Council overseeing UN-HABITAT’s work programme and budget. It stated that the strategy is the organization’s “most comprehensive and ambitious strategy to date on incorporating gender issues into housing and urban development and into the work needed to create better conditions for the world’s one billion slum dwellers”⁵.

The GEAP was formulated to ensure that UN-HABITAT supported initiatives promotes both men and women participating in the planning and provision of urban services that cater for their basic needs, while managing the risks of urban pollution. It is regarded as road map - covering each area of UN-HABITAT’s Medium-Term Institutional Plan (MTSIP) for 2008-2013⁶. Under its fourth focus action area (access to environmentally-sound

⁴ This document is followed “Gender Equality for a Better Urban Future, An overview of UN-HABITAT’S Gender Equality Action Plan (2008-2013), UN-HABITAT 2008.

⁵ <http://www.unhcr.org/content.asp?cid=6504&catid=5&typeid=6&subMenuId=0&AllContent=1>

⁶ The incorporation of gender aspects within the water and sanitation programmes draws heavily from MTSIP Gender Action Plan, Habitat Agenda Para 46 on gender equality and women empowerment, UN-HABITAT Gender Policy, ECOSOC resolution 1997/2 on gender mainstreaming in all UN entities and UN HABITAT Governing Council Resolutions (i) GC 19/16 on women’s roles and rights in human settlements development and slum upgrading of 9 May 2003, (ii) GC 20/5 on access to basic services for all within the context of sustainable human settlements, (iii) 20/7 on gender equality in human settlements development Programmes and the MDG 7, target 10 and 11 (Terms of Reference, UN-HABITAT, October 2009).



urban services), gender concerns relate to water and sanitation, among fuel use, public transportation and urban pollution.

The plan outlines the key tasks for the organisation, as helping to establish better governance and infrastructure on basic services, such as clean drinking water, sanitation and transportation, for which women have different priorities and needs from men; working with city planners to ensure women are engaged in the design, management and evaluation of services; training municipalities and providers of water and sanitation services on gender-responsive planning, budgeting and programming and developing women-led sanitation and microfinance programmes.

However, due to women's and girls' specific needs in relation to water

and sanitation as mentioned above, UN-HABITAT has adopted a dual focus regarding gender and has declared that women empowerment is to be given particular attention which includes supporting women's participation in decision-making, implementation and follow-up - in ways that are defined by the involved women themselves.

The rationale for gender mainstreaming in the sector is drawn from the internationally agreed commitments on gender equality. Lessons learned from pilot and demonstration projects, in which advocacy and awareness campaigns, mainstreaming rights-based concepts and gender concerns and promoting participatory institutional mechanisms have been implemented - have all gradually informed water and sanitation policies and strategies.

Staff Composition, Training and Gender Focal Points:

UN-HABITAT Headquarters staff in Nairobi have been exposed to gender training through workshops and there are plans to involve staff further in training during 2010. However, according to one WSIB's Senior Manager, capacity-building on gender mainstreaming for *project* staff has been inadequate and more training is required.

The Water for Cities Programme has strived to establish gender balanced staff teams in which one staff member assumes the role of Gender Focal Point among other tasks, and often also having regional responsibilities. In Nepal, for instance, the Gender Focal Point has made important inputs in Lao PDR and Vietnam regarding gender training and strategies, which were to be followed by inputs in UN-HABITAT's programme in India.

The Role of the Gender and Water

Alliance: UN-HABITAT has, for a number of years, collaborated closely with Gender and Water Alliance⁷ (GWA), whose contributions to the organisation's efforts in this field have clearly been instrumental IN WHAT, PLEASE?. GWA, a not-for profit organisation and global network established in conjunction with the 2nd World Water Forum (WWF) in 2000, promotes women's and men's equitable access to and management of safe and adequate water, for domestic supply, sanitation, food security and environmental sustainability. UN-HABITAT and GWA jointly carried out Rapid Gender Assessments (RGA) in WAC II and LVWATSAN project countries in 2005. Based on the findings that emerged, 14 Gender Training Workshops in 17 cities of the WAC II programme were jointly organised and seven Gender Training Workshops in Kenya Uganda, and Tanzania.

The Mombasa Gender Workshop: In 2005, UN-HABITAT WATSAN programme organised an Expert Group Meeting (EGM) on gender mainstreaming in Mombasa, Kenya, under WAC II. The meeting was a critical step in the implementation of an overall Gender Mainstreaming Strategy Initiative (GMSI). Participants interviewed have referred to this as an "eye-opening" event – to be followed up by gender action plans in programme countries.

Key Thematic Priority Areas for WAC

Phase II: As one of the results of the Expert Group Meeting in Mombasa, the following key thematic priority areas for WAC Phase II were identified:

pro-poor governance and follow-up; sanitation for the urban poor; urban catchment management; water demand management; water education in schools and communities; advocacy, awareness raising and information exchange and a synthesis report was produced.

Gender Mainstreaming Strategy

Framework: A Gender Mainstreaming Strategy Framework (GMSF) was designed under the Water and Sanitation for Cities programme in 2006. The main objective is to "address imbalances and inequalities in the provision of water and sanitation services". It emphasizes the need to strengthen democracy and good governance through the participation of women at the municipal level. It proposes a bottom-up approach, starting at the community level to advocacy, training and capacity building and project planning and management.

This framework has facilitated the documentation of critical issues across the African and Asian continents, such as Rapid Gender Assessment Surveys (RGA) of urban water and sanitation utilities and selected poor neighbourhoods, from a gender-sensitive perspective. The RGAs were conducted in 2005 by GWA Facilitators who, through using participatory approaches, led multi-stakeholder survey teams, comprised of representatives of key water and sanitation agencies. RGAs have been carried out in 17 cities to identify the particular problems faced by women slum residents, and their potential roles in local water governance, to enable improvements in mainstreaming gender in projects.

⁷ GWA's main objective is to achieve gender mainstreaming in integrated water resources management. The network has a total membership of more than 1200 members mainly distributed in 110 countries in Asia, Africa and Latin America. African GWA members account for more than one third of the total membership, approximately 450 members.

Gender Mainstreaming Toolkit: This “toolkit” is intended to aid various WATSAN stakeholders to mainstream gender in the project cycle and within Institutions, and is developed in relation to Water for African Cities and Lake Victoria programme (under preparation). It has drawn much experience from earlier work, including the Mombasa workshop and the RGAs, as well as GWA’s global experiences from the sector. The toolkit has been simplified to ensure easy use by staff in programme management, technical work and monitoring and evaluation.

2.3.3 IMPACTS

Overall: This Gender Impact Assessment has found that, overall, great progress has been made by UN-HABITAT’s WSIB in collaboration with its Partners, in demonstrating that pro-poor governance, gender mainstreaming and empowering women to participate in decision-making – clearly contributes to water and sanitation improvements and benefits all members in a community. The pilot initiatives have generated a “critical mass” of achievement and experience.

Gender Specific, Pro-poor Governance Strategy Documents & Guiding Frameworks⁸

Gender Specific & pro-poor Frameworks	What it is	Under which unit
Navigating Gender in African Cities: Synthesis Report of Rapid Gender and Pro-Poor Assessments in 17 African Cities (2005)	Overview and analysis of poverty and gender status in selected cities as basis for project WATSAN capacity –building & implementation.	WSIB (developed based on the Mombasa Gender Workshop – under Water and Sanitation for African Cities)
Gender Mainstreaming Strategy Framework (2006)	Strategy that addresses imbalances and inequalities in the provision of water and sanitation services.	WSIB (developed under the Water and Sanitation for Cities programmes)
Gender Equality Action Plan for 2008-2013 (full version); and Gender Equality for a Better Urban Future - an overview of UN-HABITAT’S Gender Equality Action Plan 2008-2013	“Road map” for mainstreaming cross-cutting issues that explicitly addresses the goal of realising gender equality and empowering women (covering each area of UN-HABITAT’S MTSIP 2008-2013 ⁹).	UN-HABITAT
Gender Mainstreaming Toolkit for Water and Sanitation Actors - Gender mainstreaming in the Project Cycle and within Institutions (draft).	A toolkit for that can assist sector stakeholders to incorporate/mainstream gender concerns in programmes, institutions.	WSIB (developed in relation to Water for African Cities & LWATSAN programme).

⁸ For information about some key strategy documents developed - examples of normative work produced relating to cross-cutting issues apart from those listed in Table 2 - see Annex III. References.

⁹ The incorporation of gender aspects within the water and sanitation programmes draws heavily from MTSIP Gender Action Plan, Habitat Agenda Para 46 on gender equality and women empowerment, UN-HABITAT Gender Policy, ECOSOC resolution 1997/2 on gender mainstreaming in all UN entities and UN HABITAT Governing Council Resolutions (i) GC 19/16 on women’s roles and rights in human settlements development and slum upgrading of 9 May 2003, (ii) GC 20/5 on access to basic services for all within the context of sustainable human settlements, (iii) 20/7 on gender equality in human settlements development Programmes and the MDG 7, target 10 and 11 (Terms of Reference, UN-HABITAT, October 2009).

As shown in the table above, the majority of the countries assessed have to a varying degree implemented work and models that are replicable, such as influencing state-wide sector reform to put in place community-based funding mechanisms; gender strategies; case study models (Unheard Voices) for wider audiences; multi-stakeholder forums; water kiosks; micro-credit for sanitation; poverty and gender mapping; CTLS/SLTS and OD-free zones and water-bottling activities.

There are also examples of “multiplier effects” of approaches and models developed by UN-HABITAT - such as identified in Vietnam, Nigeria, Lao PDR, India, Ethiopia – promoted by national governments using their own funds to spread models in other urban areas as well as some water utilities and international organisations promoting workable models.

Summary Assessment of Achievements and Impact at Country Level:

The four important “common denominators” (100, 200, 300 and 400) in the LFA/RBM framework that combine policy dialogue and normative work with on-the-ground pilot and demonstration initiatives are used as a basic “activity platform area” for all country initiatives. It should be noted that in connection with some country work, a vast amount of information has been received – and therefore only examples of achievements can be reported here – while in other countries, less information has been made available.

The expected outcome for all four sets of activity areas, as stated in the Trust Fund’s Log frame, are: “Enabling environment in human settlements created, particularly in urban areas, to facilitate pro-poor, gender

Normative Activities (100 in RBM/LF) - Summary of Achievements, Challenges & Impact

Country	Achievements	Challenges/Gaps	Identified impact
Ethiopia Addis A., Dire Dawa, Harar	WAC: WUC Guidelines produced; pro-poor urban governance strongly promoted; gender strategies developed in the cities.	Overall GM Strategy for Ethiopia not found.	Good normative work impacting significantly on communities’ own action (esp. Dehoch, Harar city).
Ghana Accra, Zabon Songo	WAC: GM Strategy, Committees almost 50% women; support to new Education Policy (for HVBWSHE). Encouraging GWLC to do more on pro-poor governance, and disseminate lessons in sector.	GWLC work plan need to include gender-specific as outputs have “gender relevance”.	Good work developed. GWLC’s & other implementers willing to promote pro-poor/gender concerns in Steering Committee, but more commitment required.
India Bhopal, Indore, Jabalpur, Gwalior,	WAC: GM Strategy for Madhya Pradesh & Action Plan; state-wide sector reform for community funding mechanisms & GM strategies (four cities); gender budgeting advocated for; “Unheard Voices” exhibited in New York.	No particular challenges reported from India.	Excellent normative work developed, notably gender budgeting. GM Strategy for MP & AP to be adopted by Municipal Corporations. “Unheard Voices” disseminated widely.

Kenya Homa Bay (Bondo, Kisii), Kibera	LVWATSAN: MSF with designated roles for involved stakeholders. GM Toolkit (draft, applicable for also other projects). Micro credit guidelines. Kibera WATSAN – WAC: Settlement Ex. Com. ensures benefits to women, men, youth through rotation of labour contracts. Maji Data: Normative issues not identified.	Overall GM Strategy for Kenya not found (apart from generic GM strategies, UN-HABITAT Nairobi)	Good work developed overall. Guidelines for sanitation micro-credit need follow-up & advice on how to proceed with revolving funds for economic activities. GM strategy for Kenya should be developed.
Lao PDR 12 small district towns	MEK-WATSAN & WAC: GM Strategy with action plans & budgets: WUCs: > than 30 % members; Assessment and Strategy in 3 towns; Sector assessment & GM Strategy in policies (re. Water Law, 2009); MPWT incl. gender issues in plans, 1st time, 30% new jobs in community reserved for qualified women; Equal access to VEIs (pref. to proposal submitted by women).	Gender disaggregated data gathering (in general) mentioned by GRID (project GM partner) as greatly inadequate & assistance requested.	Excellent normative work has influenced sector policies, other UN agencies & ADB to incorporate community focus & GM.
Nepal	WAC: Implementers requested making Gender Action Plans in through GM workshops.	Overall GM Strategy not found.	Very good work on poverty & gender mapping appreciated and in use by concerned gov't dep't & skills transferred to projects in Vietnam, Lao, India. Follow-up on GM APs required.
Nicaragua Managua	WSTF support in LATAM & Caribb: Pro-poor or GM normative work not developed. Project's small allocation for GM & SWM in 2009 (USD 25,000)	UN-H staff Project expert finds GM "not easy" to introduce in Project. No funds used in 2009 & no plans for 2010 as yet	Relevance & potential for Pro-poor & GM needs urgent clarification & follow-up by UN-HABITAT
Nigeria Jos	WAC: Implementers insisting women participation in WUCs; WDM Strategy paper	Complex socio-cultural situation & unstable political circumstances. Overall GM Strategy not found.	Good efforts made and some good results. GM Strategy should be developed
Vietnam 8 towns M-WATSAN, 5 towns WAC	WAC & MEK-WATSAN: Women's Union to "draw up gender action plans"; WCDM Strategy developed	Overall GM Strategy not found	Good work developed influencing other agencies (through "One UN"). Too much responsibility for normative guiding (GM) to Women's Union may counteract mainstreaming



sensitive water and sanitation investment; enhanced participatory involvement of local authorities and communities in WATSAN activities and increased access to safe drinking water and basic sanitation with special emphasis for the urban poor in participating countries.”

The table above contains a summary of identified **normative initiatives** in the selected nine countries that relate to the development of pro-poor and gender sensitive governance frameworks, including policy options, norms, standards and management toolkits, for the urban WATSAN sector:

It needs to be stated at the outset that the gender concept has not been easily understood in the programme country environments and often mistakenly interpreted as “women participation” or concerns of women and girls, only. The findings therefore reflect this situation and refer to what has been reported on women and their roles – as very little has transpired regarding the role, needs or activities of men, children (boys and girls) and elderly. These are examples of statements that reflect this situation:

- *“We are really taking gender into account in this Municipality - women are participating, they even dig the trenches for the water pipes!” (Kenya).*
- *“The project formed inclusive CBOs involving both men and women. As a result of women’s direct involvement, women’s participation was high in all stages, even construction. They helped in paving, rehabilitating water sources*

and the Rajkulo. Such inclusiveness made the project gender-sensitive...”¹⁰ (Nepal).

Good efforts are noted, to raise awareness on what UN-HABITAT means by “gender mainstreaming” within its normative work, from the part of project staff. NGOs, research institutions, government mass organisations (Women Unions in Lao PDR and Vietnam) have been involved in particular, as well as ministries/ departments.

The vast majority of programme countries have developed country-specific strategies, guides and frameworks. Most have also attempted to follow the guidance provided by Headquarters, through WAC/ WAsC programme assisted by the GWA expertise and Gender Focal Points with an exception being the project in Nicaragua, which reportedly has not undertaken work in this field.

The outputs are generally of good quality, in particular in some Asian countries, such as Nepal, Lao PDR, Vietnam and India. The work has been appreciated also by organisations outside the UN-HABITAT programme environment and, most probably, has impacted on greater understanding of “software” issues in predominantly “hardware” water infrastructure sector.

Some strategies such as in Lao PDR seem overworked and too “ambitious” and UN-HABITAT should consider producing realistic and user-friendly plans. Information about the actual use of these materials by Municipal stakeholders, such as Water Utilities, has not been forthcoming in this review



¹⁰ This statement is found in an Evaluation Report regarding one of the UN-HABITAT’s projects in Nepal.

and the likelihood is not high, although participatory/inclusive approaches have been used when developing them.

The overall assessment is that the gender awareness-package has been picked up in most countries, with the aid and drive of UN-HABITAT headquarters, its Gender Focal Point and GWA. It also seems that UN-HABITAT has been aware that there exists no such thing as “one-size fits all”. Thus, after initial introductions of the basic gender concepts in the WATSAN sector has made through workshops, the country programmes have been encouraged to analyse the country-specific situation and develop strategies that are adapted to

the respective country, or specific socio-cultural context within the respective country. Overall, it seems as if countries programme have been encouraged to develop tailor-made strategies – and not necessarily follow blue prints.

The table below summarizes **operational activities** that facilitate pro-poor gender sensitive investment through regional and gender responsive WATSAN programmes such as advocacy¹¹, awareness-raising and information exchange, value based water education, capacity building and training and gender mainstreaming and demonstration activities.

Operational activities (200 in RBM/LF): Summary Achievements, Challenges & Impact

Country	Achievements	Challenges & Gaps	Identified impact
Ethiopia Addis A., Dire Dawa, Harar	WAC: Advocacy/awareness-raising, HVBWSH sanitation in com's & girls schools; Rehab. & new public water taps & female-friendly toilet/shower complexes, waste bins & RWH (income to FHHs); Solid waste disposal facilities; Support to Gara-Ule WATSAN Assoc. & SBPs.	Difficult socio-political circumstances. Gender initially “misunderstood” requiring much campaigning efforts. Gender-disaggregated data not adequate; Lack of Gov't funds & skills for O&M (may affect sustainability).	Good work influenced attitude/behaviour, raised demands for service; Water supply “saved” time for women & girls; More sanitation & health awareness, less drop-out of school girls. Extra incomes to women for IGAs improving HHs situation.
Ghana Accra, Sabon Zongo	WAC: Gender training workshop; Gender assessment/baseline survey; Women managing standpipes and public toilets; School Water Clubs for sanitation & hygiene; Micro-credit for toilet construction to FHH (under preparation).	Significant socio-cultural issues affecting attitudes/behaviour reg. sanitation; HVBWSHE great challenge due to new educ. Reforms; Dispute over land for construction of school toilets.	Generally, results are satisfactory, efforts made to overcome difficulties, Ghana Water Aid played very positive role, promoting pro-poor governance, GM & sanitation services; Massive awareness creation needed (all levels) jointly with infrastructure; Land issues to be solved before implementation.

¹¹ Advocacy implies influencing action, effecting change/transformation, attention to the marginalized, engaging critical actors, awareness creation/raising follow up.

India Bhopal, Indore, Jabalpur, Gwalior	WAC: Poverty Pocket Situation Analysis; RGA (4 cities); GM awareness targeting policy makers and Gov't at different levels; Capacity building for women (O&M); 250 WATSAN SHGs formed, 33 public toilets handed over to SHGs; 3 CWASC managing water supply in 3 cities; Micro credit & a water connection funds scheme; IUSP launched 2009 (aim: "zero-OD").	No particular challenges reported from India.	Good work accomplished with high efforts and results in influencing policy-makers/policies in the State of MP.
Kenya Homa Bay (Bondo, Kisii), Kibera	LWATSAN: RGVA and GM workshops; Micro-credit for sanitation; savings schemes (Bondo) for SHGs; Water Kiosks managed by SHGs; LED training planned; Latrines in (informal) pre-schools benefitting HIV/AIDS orphans & volunteer teachers; Water supply rehab. for men & women staff & in prisons (3 towns). Kibera WATSAN/WAC: Small-scale community based initiatives (men, women) in water, sanitation and waste management, micro credit scheme, youth groups, SME and housing cooperatives formed. Maji Data: No information received concerning pro-poor & gender aspects.	Raising awareness among e.g. water companies has been a major challenge. Micro-credit sanitation scheme (women SHGs) much delayed, but in progress; Water kiosks not yielded extra income yet. Kibera WATSAN: No gender training carried out (as in other WAC initiatives)	MSF identifying & supporting target groups (e.g. FHHs & CHHs), supporting SHGs & cross-cutting issues & voice of marginal groups; VG participatory approaches. Some good results supporting SHGs; Monitoring pro-poor screening of micro-credit to be improved, LED (planned) training and water tanks (water kiosks) should be done. Maji Data: UN-HABITAT must ensure pro-poor & gender data is catered for in the system.
Lao PDR 12 small district towns (WAC)	MEK-WATSAN & WAC: GM Training Workshop; & a GM Strategy Workshop, Poverty assessments & GM exercises in 12 water utilities (to develop GM Action Plans) with GRID; Awareness-raising activities (community environment, health & sanitation). WAC: Poverty analysis (12 district towns - start in WAC phase I). CATs formed; MC for WATSAN; attention to women's reproductive health needs (relates to WATSAN); Consultation with women before the infrastructure works begin.	Gender disaggregated data inadequate in e.g. progress reporting & evaluation report. Case studies show men have started businesses as result of project but minimal benefit on reducing burden of women & children.	Very good ground work in cooperation with DPs, influencing sector policies. Good pro-poor & gender field approaches developed (GM Training Workshop described as "eye-opener").
Nepal	WAC: Gender & poverty mapping; 3 GM workshops in total; DPs to make gender APs; Inclusive approach re. target groups (e.g. ethnic minority groups); WATSAN improvements, RWH pilot work & micro-credit for women groups; Income and better health from water bottling; OD free promotion; 7 project evaluations' with findings on gender mainly positive.	Some project activities seemed not to benefit poor urban residents; Stakeholders often understand gender issues as "more women participation" – sometimes adding burdens on women.	Impressive community work results & high effort level but impl. spread too widely, needs consolidation; more efforts needed for "understanding of gender". Unintended effects of sanitation & hygiene: Municipalities declaring OD-free zones adding value to work. Field studies by MSc. Students good practice to follow in UN-HABITAT's projects adding to transp. & lessons learned.


Nicaragua Managua	WSTF support in LATAM & Caribbean region ¹² ; No GM work reported or planned for 2010.	Challenges to address GM - in this project exist at several levels. Community needs not yet addressed in this waste management project.	UN-HABITAT and its partners should urgently assist the Project in finding ways to address GM, community & poverty governance issues in 2010 - if not the reasons should be stated.
Nigeria Jos	WAC: Rapid sanitation profile; Basic Gender Awareness Workshop & a Workshop launching micro-credit for sanitation & MC scheme for toilets construction taken off: 120 Solidarity Groups formed & 10% (of 600) toilets constructed to date (demand has increased); Water supply & house connections increased; Water Kiosks constructed and are functional; HVBWSHE in schools & communities.	Difficult socio-cultural & political circumstances affected pace of work. A system for gender-disaggregated data seems to be lacking.	Good work has been accomplished regarding GM & pro-poor approaches: "Tremendous wakening of women in Jos" reported. (NGOs have been instrumental.)
Vietnam 8 towns M-WATSAN, 5 towns WAC	Rapid poverty mapping & gender assessment (5,000 HHs) & gender specific indicators developed; Gender TOT Workshop on WRM (Dong Ha) & GM workshops in 5 towns. MEK-WATSAN: Eight towns under improved services; Micro credit scheme for women for both water supply connections & latrine construction. WAC: Five towns in South & Central Vietnam: Water treatment plants & main pipes (3 of 5 towns completed by ADB); IEC materials in local language; WCDM Strategy developed; Distribution & connection (Gov's task); UN-HABITAT's focus: Sanitation with women as "change agents"; Micro-credit schemes for sanitation & IEC activities.	Project started late (2007), related to "ADB funding procedures". Progress Report 2008, describes - no mention about women, FHH, gender (!), only reference is that VWU is responsible. VWU should not be solely responsible for GM activities – could "counteract" GM.	Very good ground work: Poverty mapping & gender assessment skills learned from Nepal WAC. "Women take the lead" in organizing meetings with communities, competitions & public campaigns (particularly regarding sanitation).

The number of cities and informal settlements involved in the programmes vary. In Nepal, Lao PDR and Vietnam, many municipalities are involved while, in Nigeria and Ghana, the activities are concentrated in one or two towns, albeit in several settlements in the respective towns.

The programme has specifically "targeted" poor communities in urban and peri-urban informal settlements and those that

consist of residents who are vulnerable in more than one way, including female-headed households (FHH). An example is from Ethiopia, where Dire Dawa has a high incidence of urban poor, HIV/AIDS affected households and orphaned children, and Harar where the Dehoch community was chosen which consisted of extremely poor residents, some of whom were surviving through begging. Some countries have included poor settlements

¹² The project supported is: "Improving Capacity for Solid Waste Management in Managua".



in peri-urban areas that are rural in their nature than urban, such as households chosen for the micro-credit scheme in Homa Bay, Kenya, and communities in Nepal that have rural, agro-based features and activities.

UN-HABITAT has clearly appreciated that community participation in the water sector is essential and that women, in particular, who have special responsibilities in the field of water supply and sanitation, are important agents for change. Impressive attempts to plan for, and act, on this appreciation have been made.

The gender mainstreaming operational steps have more or less followed the same interlinked process in all countries although again, with the exception of Nicaragua. It has started off with Rapid Poverty and Gender Assessments (and/or Baseline Survey incorporating the same concerns) to determine availability of WATSAN facilities and residents' needs in the settlements in order to plan for targeted interventions. Basic gender training workshops for government, private sector, NGOs and other partners involved have been held – initially with technical support and facilitation by GWA. The workshops should result gender action plans.

Pilot micro-credit schemes involving women and self-help groups for the construction of toilets in individual households have been spreading in most countries. The scheme is intended to benefit poor female-headed households but as those who are poor are reluctant to take loans without means to pay back, this scheme is not suitable for the poorest households.

Introducing this scheme has not worked smoothly in some countries. Tensions were

found, in relation to ethnic and/or religious norm. Training materials disseminated that were not adapted to the context in which it was used. Delays were noticed, in Kenya and Nigeria for example. Among the reasons for delays was that borrowing money for toilet construction at household level does not have a “productive” purpose and does not generate money to repay the loans. Still, demands for these loans have increased in several countries.

The repayment may pose problems, as well as the mechanisms for the funds to revolve - an issue which would need guidance from UN-HABITAT. In Kenya, the 'Solidarity Groups' in Homa Bay were interested to use the revolving fund for economic activities once the toilets were in place.

Most of the programmes have introduced some form of economic and income generating activities and benefits for women and youth as part of the WATSAN work, for instance women from FHHs earning some income as caretakers of public toilet/shower complexes in Nigeria; selling water in the Kenyan and Nigerian Water Kiosks handed over to SHG by the water companies and the water bottling activities in Nepal. Others, such as Kenya's LVWATSAN programme, are planning training events on Local Economic Development (LED) on waste management, recycling and composting to benefit SHGs. Much should be done in this field.

UN-HABITAT, country projects and stakeholders need to strengthen its work on gathering, processing and disseminating information and data which is gender disaggregated, without which evaluations cannot determine level of achievements in this field.

Many Cooperation Agreements mention gender and pro-poor issues in vague or general terms, and some do not budget for any gender-specific or women supported activities in this area. This was one of the reasons that gender awareness/training workshops involving signatories of CAs as participants, were regarded so important. Even after workshops have been held and commitments made, progress may still be slow, as reported in some countries. The reasons given are related to “gender fatigue” and misunderstanding of gender as a concept and/or not appreciating the specific role gender plays in the sector.

It has been frequently pointed out that, when UN-HABITAT managers address gender vis-à-vis government and water utilities as being part of the priority areas, the work for focal points and field managers has become easier and progress is subsequently noted in the field.

Increased safe water supply nearer to people’s homes, to their “doorsteps” or

connections to houses are reported to have saved time for women and girls, time which mainly seems to have been used for more economic activities - with a few exceptions such as “more time to watch TV” (an evaluation report, Nepal). Safe water supply is reportedly already impacting on the health situation in several countries.

Access to improved sanitation in public and private areas have certainly benefitted many people. Women, young girls and children in particular, clearly benefit from latrines/toilets built nearer to their homes. Participatory approaches such as Community and School Led Total Sanitation have assisted Open Defecation-free areas/zones, as was evident in Nepal. It was reported that in Addis Ababa, Ethiopia, women also use the public toilet and shower facilities constructed near a busy market place. Latrines in household backyards in peri-urban areas in Homa Bay, Kenya, have certainly increased the status and comfort of the users.



Sanitation improvements in schools are said to have decreased the incidence of school drop out among young girls in Ghana for example but no figures have been made available to show that this was a result of the UN-HABITAT initiatives.

The table below summarizes examples of **Replicable Model Setting Initiatives** which provide strategic support to pro-poor, gender sensitive initiatives at the local level with a focus on participatory involvement of local communities in

Examples of Replicable Model Setting & Monitoring Initiatives Related to MDG/WSSD Targets

Country	Replicable model setting initiatives (300 in RBM/LF)	Monitoring initiatives (400 in RBM/LF) -
Ethiopia	Gara-Ule WATSAN Association & support for Strategic Business Plan (Harar); Community models (e.g. mobile toilets) supported and land provided by Government beyond the CA with UN-HABITAT; WATSAN public facilities managed by SHG/women.	
Ghana	GES HVBWSHE initiatives & capacity-building in "pilot schools" & Teacher Training College; support to educational reform incorporating HVBWSHE.	Ghana Government is undertaking Gender Budgeting and a Monitoring Unit will be established in 2010 – not WATSAN sector specific yet.
India	UN-HABITAT programme has catalyzed state-wide sector reform to put in place the community-based funding mechanisms & GM strategies (of 4 cities); (Sector) Gender Budgeting; "Unheard Voices": Very good case study model for wider sector audiences.	
Kenya	LVWATSAN: Combination of water supply infrastructure works with "software" activities involving users is excellent, should be made more known to other WATSAN players in LV region & elsewhere; MSF; Water Kiosks; MC for toilet construction; planned LED. KIBERA WATSAN: Youth group (women/men); Rotating labour contracts; Maji Data: Gender-disaggregated data collection/ dissemination.	
Lao PDR	Multiplier effects of UN-HABITAT's work resulting from good models; and MEK-WATSAN (Xieng Ngeun): Water utilities plan to expand community models to other "urban villages" with own funds (to be followed up).	WAC: Information/data on sanitation have been collected for sanitation expansion and grant support schemes; MEK-WATSAN: Preparatory monitoring of MDG Targets in 17 towns has started.
Nepal	Poverty & Gender Mapping & skills; CTLS/SLTS & OD-free zones; Water bottling activities.	
Nicaragua	---	
Nigeria	Jos South Local Government donated land for project construction work resulting from good models; Investments made by Gov't to sector, WB committed USD 5 M to support reforms; State gov't allocating 38 per cent of the total programme budget.	
Vietnam	Multiplier effects generated resulting from good models: More support to the sector from the World Bank; UN-HABITAT's initiatives shared with WHO, UNICEF through "One UN" sub-committee meetings.	

these initiatives as well as **Monitoring Initiatives** of Progress Towards Achievement of WATSAN related MDG/ WSSD targets.

Replication of Models within the WATSAN Project Environment: UN-HABITAT has put in place its programme normative models for community and stakeholder participation, for pro-poor governance such as water user committees – to ensure that these are fora used for decision-making for women, as well as men. The gender awareness “package” and gender strategies are all part of the normative model, quite successfully replicated throughout most countries assessed.

Replication of various operational “software” models within the programme, such as poverty and gender mapping and assessment work successfully developed in Nepal, enriched the analytical work in other countries in this region. Other examples of replication within are community and women groups managing WATSAN facilities, the micro-credit schemes and sanitation awareness campaigns in schools and communities – although with some difficulties faced in implementation, as earlier explained.

Replication of models in national structures and programmes: As for replication of various “software” normative and operational models within national organisations, or in other international organisations/programmes, some interesting information has been received, summarised below (the countries are listed in alphabetical order for ease of reference).

These are:

In **Ethiopia** the work with the Dehoch

community and the support to Gara-Ule WatSan Association in Harar town, has influenced the Government to consider supporting/developing similar community models, as well as the WATSAN public facilities managed by SHGs, including women while the **Ghana** Education Service has adapted and incorporated HVBWSHE initiatives in educational reforms.

In India, the programme has been able to influence gender budgeting in the sector and the exhibition of “Unheard Voices” in New York and the materials produced have certainly functioned as important case study model reaching a wide audience. Also in India,, the UN-HABITAT programme has catalyzed state wide sector reform to put in place the community-based funding mechanisms and gender mainstreaming strategies of the four participating cities. These are excellent and important models for case studies.

The combination of water supply infrastructure works with “software” activities in LVWATSAN in **Kenya** is a good model programme, which should be replicated in the Lake Victoria Region, and particularly its Multi-Stakeholder Forum. Also in Kenya, the Settlement Executive Committee ensures “rotating labour contracts” for as many residents as possible, and youth groups formed in the Kibera WATSAN project seem to be replicable models, as well as the Maji Data initiative which would be an extremely good data base model for any country, especially if it generates gender-disaggregated and poverty data which can easily be disseminated - and ownership of the system is clarified (see the Kenya Country Impact Report for further assessment of Maji Data).

In **Lao PDR**, UN-HABITAT's work has resulted in multiplier effects such as influencing the Water Act and policies, and through influencing organisations such as the Water Utilities in Xieng Ngeun to plan for expanding the MEK-WATSAN community models to other "urban villages" with its own funds – an important issue to be followed up in all countries. In **Nepal**, the poverty and gender mapping and skills, as well as models for Community and School Led Total Sanitation¹³ (CTLS & STLS) campaigns to have OD-free zones and the water bottling activities are also excellent workable models.

The **Nicaragua** programme has yet to develop some models. In **Nigeria** UN-HABITAT initiatives have inspired the Jos South Local Government to donate land for project construction work resulting from its models and the Government to invest in the sector. The World Bank is here reported to have committed USD 5 million to support reforms and the State government has allocating 38 per cent of the total programme budget for WATSAN.

Finally, **Vietnam** can also show multiplier effects resulting from good models. It is reported that more support to the sector has been forthcoming from the World Bank, and the UN-HABITAT initiatives and models are shared with WHO and UNICEF through the "One UN" sub-committee meetings (more details on the above examples are found in Chapter 4).

Monitoring Initiatives: Little information has been received regarding monitoring activities toward meeting the sector MDG

targets, but Lao PDR has reported that "preparatory monitoring" has started in 17 towns (MEK-WATSAN programme), and information and data on sanitation have been collected for sanitation expansion and grant support schemes through its WAC programme.

2-3.4 MAIN RECOMMENDATIONS GENDER STUDY

It is recommended that WSIB/UN-HABITAT should:

- Focus more in engaging all its partners and use the "critical mass" of results from pilot initiatives in policy dialogue with national governments in particular - with a vision to ensure that results are reflected in policies and improved systems supporting residents in informal urban settlements.
- Pilot initiatives on the ground being testing grounds for innovations and ideas should continue and be developed further with more emphasis on sanitation improvements and should not be viewed as contradicting the above-mentioned points.
- Assist and encourage those country projects/initiatives that have not to date developed any normative work in the field of pro-poor and gender strategies such as Nicaragua
- Strive to develop and maintain one uniform, user-friendly results-based LF for all its WATSAN programmes – one that has SMART indicators of

¹³ Although CTLS originated as a rapid rural approach for participatory community mobilization for improved sanitation, the way it has been "urbanized" in the UN-HABITAT projects in Nepal can be replicated in other countries. It is increasingly spreading in African countries as well, e.g. in Ghana.



achievement, including those that relate to gender and other cross-cutting LF components. It should be used in a flexible way, and indicators may be revised when required as new/more information is received. The top level WSIB LF should have clear links to the lower level LFs. Budgets should be clearly linked to the outputs, as the budget is a monetary expression of the LF

- Establish and maintain a system for gender disaggregated data collection on a regular basis and reporting, at the start of new interventions, following poverty and gender mapping and baseline surveys. It has since been found out that formats have been developed to be used periodically in projects
- Continue to carry out Gender Training Workshops at Headquarters and in all participating countries, and allocate funds for necessary capacity-building and refresher training in the future
- Continue to appoint staff assuming roles as Gender Focal Points. More programme/task managers who are in decision-making positions should “do their part”, as well, throughout planning, implementation and follow-up – as it was found that this has almost direct positive effects on implementation.
- Ensure that training materials and guidelines used are appropriate/suited to the country or culture-specific conditions in which they are used
- Identify innovative ways to engage and empower youth in WATSAN through, for example, linking youth clubs on water, sanitation and hygiene with income-generation and skills development and/or information and communication technologies (ICT) and education
- Focus more on sanitation improvements, as it has immediate benefits for women and girls in particular at household levels, and has direct relations to health, hygiene outcomes and saves time for women to devote to economic activities. Prevalent socio-cultural issues and obstacles should be taken into account in planning for an increased focus.
- Promote strategies in which micro finance delivery is linked to productive activities in order to ensure that low-income borrowers are able to repay their loans. It has been revealed that this is already under way.
- Make connections to organisations that can assist WATSAN users in



developing informal economic activities and environmental improvements in the sector. This could include management support/training such as book-keeping and accounting and promotion of non-traditional skills for women and youth in the sector.

- To increase the likelihood of continued and sustained benefits regarding pro-poor governance and gender strategies, UN-HABITAT

should further strengthen its efforts in encouraging governments to “buy in” and formulate policies that recognize the issues at hand and enables resources to be allocated and co-funding of WATSAN in urban informal settlements. This would include - but is not limited to - encouraging youth programmes and economic activities related to WATSAN, and gender auditing of organisations working in the sector.

ANNEXES

ANNEX 1: PEOPLE MET

1. INCEPTION

NAME	DESIGNATION
Bert Diphorn	Director HSF
Graham Alabaster	Chief Water and Sanitation Branch I, HSF
Andre Dzikus	Chief Water and Sanitation Branch II, HSF
Robert Goodwin	Chief LVWATSAN, WSIB HSF
Daniel Adom	CTA, Water for African Cities, WSIB I, HSF
Angela Hakizimana	Human Settlement Officer WSIB HSF
Roshan Shrestha	CTA South Asia WSIB II, HSF
Sudha Shrestha	Acting CTA Nepal WSIB II, HSF
Debashish Bhattacharjee	Human Settlement Officer, WSIB II, HSF
Inam Ullah	Monitoring, Evaluation and Policy Advisor HSF
Anne Malebo	Human Settlement Officer WSIB, HSF
Susana Rojas Williams	Associate Human Settlement Officer, WSIB II HSF
Lucia Kiwala	Chief Gender Mainstreaming Unit
Rachel M'Rabu	National Officer Gender Mainstreaming Unit
Harrison Kwach	National Officer Kenya WSIB I
Sahilu Tekalign Tsige	Regional Technical Advisor, WSIB I HSF
Roshan Raj Shrestha	Chief Technical Advisor South Asia Region WAsC WSIB II, HSF (participated in the tele-conference discussions)

2. KENYA COUNTRY IMPACT STUDY

NAME	DESIGNATION
Bert Diphorn	A/Director
Graham Alabaster	Chief
Robert Goodwin	Chief Lake Victoria Region WATSAN -WSIB HSF
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Patrick Mbuvi	SEC ORI Secretary
Francis O. Omboug	Secretary SEC
Jeckonia Onyango	Road Chairman
Nancy Githaiga	Maji na Ufanisi

Esther Wikuru	Maji na Ufanisi
Tekaliga Tsige	UN-HABITAT
Eng. Peter Mangiti	Head Donor Coordination Ministry of Water and Irrigation
Dennis Mwanza	Sr. Water and Sanitation Specialist WSP, World Bank
Patrick Mwangi	Sr. Water and Sanitation Specialist WSP, World Bank
Maji Data	
Han Seur	Team Leader GFA Consulting Group
Anastasia M. Wahome	IT Consultant
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Ms. Bernadette Njoroge	Corporate Services Manager
Ms. Angela Kimani	Economist
Florian Rabe	Project Manager KfW
Anna Tufvesson	First Secretary Embassy of Sweden
Eng. Lawrence W. Mwangi	Chief Executive Officer Athi Water Services Board
Eng. John M. Muiruri	Chief Manager Athi Water Services Board
Ken Owuocha	Economist Athi Water Services Board
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Geoffrey Maritim	D/Town Clerk
Kwamanga Francis	Public Health Officer
Faith Naylor	Environmental Watch Programme
Henry O. Okidih	E. W. PC Homa Bay
Jacktone A. Olielo	Prov. Adm. Ass. Chief
Edward Ouma	Secretary MCS
Cosmas Wambua	Clerk of works – LVWATSAN
Irene Gai	SANA – Community Operations officer
Robert K. O. Lango	Prov. Adm. Ass. Chief
Rollins Dickence	Sec. Revolving fund
Samwel O. Nyauke	MSF – Secretary
Joseph O. Ongoro	MD SNWSC
Isaac Felix Olwero	Town Clerk – MCH
Cllr. Henry Oginga	Planning & Education Chairman
Cllr. Shem O. Omia	D. Mayor
Elizabeth Ogolla	Micro Credit Treasurer
Angela Hakizimana	UN Habitat
Laban Onongno	UN Habitat - CTA(K)
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Mary Abich	Rapar Womens' Group Chairlady
Ruth Odhiambo	Wokan W.G. Chairlady
Catherine Mau	MSF – Bondo
Valleria Kowitti	MSF – Bondo
Emmaculate Oketch	Bondo Town Council
Maurice Ojunga	Siaya Bondo Water Company (SIBO)
Reuben Masese	MSF Chairman – Kisii
Joseph Gikonyo	Clerk of Works (UN Habitat) – Kisii
Domnick Misolo	MSF – Bondo
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3. NEPAL COUNTRY IMPACT STUDY

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Saroj Kumar Vaidya	Project Chief Department of Urban Development & Building Construction GoN. Special Physical and Infrastructure Area Development Project
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Bidur Mainali	General Secretary Municipal Association of Nepal (MuAN)
Caroline Vandenabele	Strategy Planning Advisor Resident Coordinator's Office United Nations Kathmandu
Andreas Knap	Project Officer UNICEF
Prakash Amatya	Executive Director NGO Forum for Urban WATSAN Kathmandu
Achyut Luitel	Country Director Practical Action Nepal, Kathmandu
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Sanjaya Adhikari	Country Representative Water Aid Nepal (WAN)
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Padmaja Shrestha	Program Manager. Environmental and Public Health Organisation (ENPHO)

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Bhim Pd. Timalisina	Admin Officer Hetauda Municipality
Dhruba Bdr. Bhujel	Section Officer Hetauda Municipality
Bairab Bdr. Kumal	Comm. Dev. Asst. Hetauda Municipality
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Upendra Baral	Project Advisor UEIP/PIU
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Buddha Lama	Member Municipal Poverty Reduction Strategy Formulation Committee
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Nilakhanta Pegial	Teacher National Primary School Saneyadyepuri
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Kamel Ray Pandesj	Joint Secretary MPPU
Hari Prashad Sharma	Joint Secretary MPPU
Nanayan Gopal Malego	Joint Secretary MPPU



4. GENDER MAINSTREAMING IMPACT STUDY

KENYA

NAME

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Mr. Andre Dzikus
Mr. Robert Goodwin

DESIGNATION

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NAME

Dr. Somphone Dethoudom
Mr. Phomma Veoravanh
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Ms. Nopakane Bouaphim

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01 MAIN REPORT

WATER AND SANITATION TRUST FUND IMPACT STUDY SERIES

This document is the overall summary and synthesis of the first impact study of initiatives supported by UN-HABITAT's Water and Sanitation Trust Fund (WSTF). The WSTF, which was established in 2003, aims to leverage new investment and ideas to expand the water and sanitation (WATSAN) service coverage for poor urban dwellers and help build momentum for achieving the MDGs. Its strategic plan for 2008 - 2012 envisions three key outcomes:

- Increased institutional capacity in partner countries for 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 WSTF interventions
- Improved MDG monitoring mechanisms in place in partner countries, with improved benchmarking of water and sanitation service providers.

The UN-HABITAT Water, Sanitation and Infrastructure Branch (WSIB) seeks to maximise the impact of projects funded by the WSTF, and this impact study is the first of a series of impact assessments which will be undertaken over the next five years.

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