

DOCUMENT

01

**MAIN REPORT OF THE FIRST
WATER AND SANITATION
TRUST FUND**

IMPACT STUDY



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UN  **HABITAT**

Water and Sanitation Trust Fund Impact Study Series
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

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

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