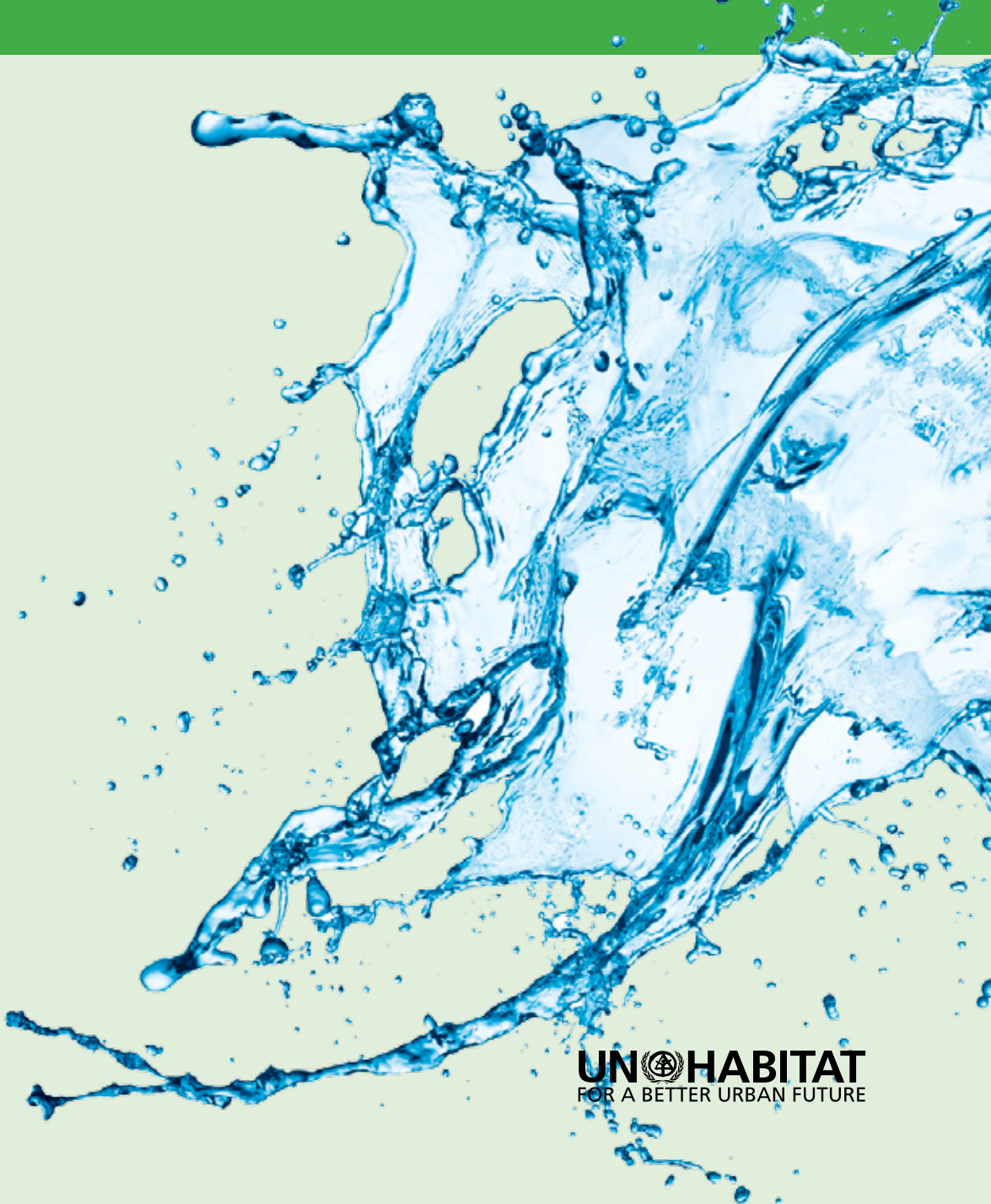


DOCUMENT

# 02 KENYA COUNTRY IMPACT STUDY



**UN HABITAT**  
FOR A BETTER URBAN FUTURE

DOCUMENT  
**02** **KENYA COUNTRY**  
**IMPACT STUDY**

United Nations Human Settlements Programme  
Nairobi 2011

**UN**  **HABITAT**

**Water and Sanitation Trust Fund Impact Study Series**

Kenya Country Impact Study

First published in Nairobi in 2011 by UN-HABITAT.

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[www.unhabitat.org](http://www.unhabitat.org)

HS/010/11E

ISBN (Series): 978-92-1-132035-0

ISBN (Volume): 978-92-1-132305-4

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**Acknowledgements**

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# Acronyms

|               |  |
|---------------|--|
| AfDB          | African Development Bank   |
| AWSB          | Athi Water Services Board  |
| CA            | Co-operation Agreements  |
| EIB           | European Investment Bank   |
| ENOF          | Enhanced Normative and Operational Framework                     |
| JMP           | Joint Monitoring Program (UNICEF and WHO)                        |
| KENSUP        | Kenya Slum Upgrading Program                                     |
| KfW           | German Development Bank  |
| Kibera WATSAN | Kibera Integrated Water, Sanitation and Waste Management Project |
| GoK           | Government of Kenya  |
| LFA-RBM       | Result-Based Management and Logical Framework Approach           |
| LWATSAN       | Lake Victoria Region Water and Sanitation Initiative             |
| MDGs          | Millennium Development Goals                                     |
| MnU           | Maji na Ufanisi  |
| MSF           | Multi-Stakeholder Forum  |
| MTEF          | Medium Term Expenditure Framework                                |
| MTSIP         | Mid-Term Strategy and Institutional Plan                         |
| MWI           | Ministry of Water and Irrigation                                 |
| NWSC          | National Water and Sewerage Company (Uganda)                     |
| NCWSC         | Nairobi City Water and Sewerage Company                          |
| O&M           | Operation and maintenance  |
| RBM           | Results Based Management   |
| SWAp          | Sector-Wide Approach   |
| VIP           | Ventilated Improved Pit latrines                                 |
| WAB           | Water Appeal Board   |
| WAC           | Water for African Cities   |
| WARIS         | Water Regulatory Information System                              |
| WASREB        | Water Services Regulatory Board                                  |
| WATSAN        | Water and sanitation   |
| WOP           | Water Operators Partnership                                      |
| WRMA          | Water Resource Management Authority                              |
| WSB           | Water Services Board   |
| WSIB          | Water, Sanitation and Infrastructure Branch                      |
| WSP           | Water Service Provider   |
| WSS           | Water supply and sanitation                                      |
| WSTF          | Water and Sanitation Trust Fund                                  |

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# Executive Summary



This document is an internal Kenya country impact study of initiatives supported by UN-HABITAT's Water and Sanitation Trust Fund (WSTF) undertaken by a team of international consultants. The objective of the WSTF, established in 2003, was to bring in new investment and ideas, expand service coverage for poor urban dwellers and help build momentum for achieving the MDGs.

Its Strategic Plan for the 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 impact study reviewed WSTF's strategic intentions, examined the Kenya country context and UN-HABITAT's country strategy and undertook an impact study of specific projects. Information was gathered from reviewing project documents, interviews with key stakeholders, including beneficiaries and field visits.

The projects selected for review were:

1. Two complimentary projects in Kibera focussing on improving WSS services to the urban poor including infrastructure investments, strengthening of governance and community management that can be applied to other informal settlements in Kenya

2. The Kenyan projects of the Regional Lake Victoria Water and Sanitation Initiative, with a specific focus on Homa Bay
3. The Maji Data Project

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.

## MAIN FINDINGS ON THE KENYA COUNTRY PROGRAM

UN-HABITAT's project activities on the ground are making substantial strategic and direct impact from a relatively small investment. There is a close linkage between Kenya project outcomes and planned WSTF results.

The country programme focuses on solutions to better serve the informal urban poor in cities and small towns and on improving sector information. These are widely recognised as critically important issues which can influence a very substantial pipeline of investment. They are all issues at the heart of UN-HABITAT's mission and comparative advantage. UN-HABITAT's Kenya country projects have an impressive leverage effect on follow-up and complementary investments and are good value for money.

Whilst the country programme has made sound strategic project choices, overall it does not have a clearly articulated country strategy, developed and discussed with key sector stakeholders. UN-HABITAT's implementation approach insufficiently reflects or supports the main Kenya sector reform process.

The reforms have put in place WSBs, WSPs and a regulator as the key institutions influencing sector investment and improving sustainable service access by the poor. The three studied UN-HABITAT projects are implemented by an NGO, a regional project unit and an externally-financed Trust Fund – all marginal bodies to Kenya's key service management institutions serving the urban poor.

Scale is best achieved by supporting one coherent system, rather than "doing it alone" and appearing to perpetuate a sector characterized by a vertical series of agency initiatives.

UN-HABITAT's country strategy in Kenya might also focus more explicitly on helping utilities to deliver on their responsibilities to serve the poor. This would also complement UN-HABITAT's regional support to the Water Operator's Partnership (WOP) and help build impact and service sustainability.

Kenya has recently experienced a substantial growth in urban sector investment. Yet strategies to serve the urban poor are not clearly articulated and there key areas such as sanitation require considerable policy and strategy support. UN-HABITAT might consider altering the future balance of its Kenya country strategy to address these strategic areas at a high level, rather than primarily seeking to use WSTF funds to make direct impacts to service relatively small numbers of the poor.

## MAIN PROJECT FINDINGS AND RECOMMENDATIONS

### KIBERA

UN-HABITAT's two complementary 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 contribution is distinctive in that it has put in place interventions that both make a significant and direct impact on the poor, and also provided 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. 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 raises 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 for the up scaling of the Kibera interventions, and use less WSTF resources on further pilots. UN-HABITAT should begin an explicit programme to mobilize investments from potential investors such as KfW, EIB, 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.

### LAKE VICTORIA

The LVWATSAN has introduced effective approaches for accelerating the achievements of the WSS MDGs that will serve as model-setting approaches for up-scaling WSS development in the Lake Victoria Region and elsewhere. The LWATSAN 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 WSS initiatives in the Lake Victoria region and elsewhere. Continued regional management however does detract from local ownership and support to Kenya sector reforms.

## MAJI DATA

The verification of the actual impacts of the Maji Data project needs to wait until the system starts disseminating the information and data products. Maji Data is however an excellently conceived initiative, strategically important and execution by UN-HABITAT through WSTF brings great added value. Through this project UN-HABITAT is generating strong leverage on WSTF and the anticipated large pipeline of investment in future urban sector investment.

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 significant risk that the information products do not match the requirements or expectations of

users of the data. It is also recommended that steps be taken to ensure 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 WSS sector monitoring and information systems (Figure 2-1). 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 WSTF, which being an externally-funded entity, 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 has the most to gain from an updated sector information system on urban poor WSS services and that WASREB has regulatory powers which can be used as an incentive for service providers to provide required data.

The issue about the 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.

# Background and Methodology



## 1.1 BACKGROUND

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 an 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 reorganized 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. In addition, 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 (WSS) sector and incorporating lessons learnt through its normative and operational work, the Trust Fund developed a Strategic Plan for the period 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 water and sanitation sector catalysed by Water and Sanitation trust fund interventions
- Improved Millennium Development Goals monitoring mechanisms in place in partner countries, with improved benchmarking of water and sanitation service providers

The majority of WSTF-supported activities are undertaken through "Agreements of Cooperation" (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 toolkits 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 internal assessment 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 programme 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 Millennium Development Goals (MDGs), 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 objectives of this consultancy are as follows:

- Undertake a comprehensive study of WSTF's impact in Nepal and Kenya
- Undertake a comprehensive impact study of WSTF activities globally on the theme of "gender mainstreaming"

This volume (document 2) presents the results of the impact evaluation of UN-HABITAT WSTF activities in Kenya.

## 1.4 APPROACH AND METHODOLOGY

### 1.4.1 IMPACT VERIFICATION AND ANALYSIS PROCESS

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.

The Result-Based Management and Logical Framework Approach (LFA-RBM) matrices provide key information on the intended effects and associated monitoring indicators for the UN-HABITAT WSTF Programme. 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.

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

- 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

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. It was recognised that the impact on some project outcomes will be less, since these were not the intended outcomes in the initial strategy.

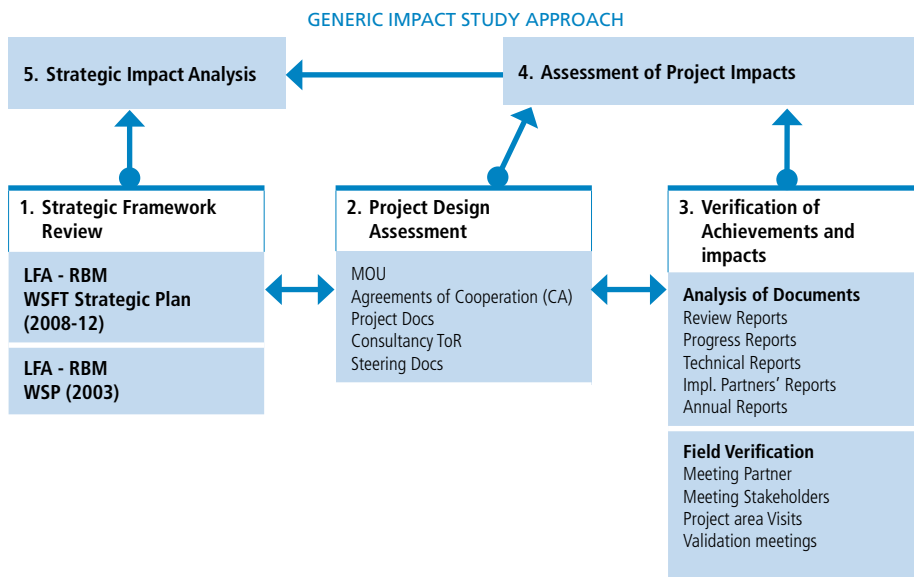
Since most projects have also been designed on the basis of the LFA-RBM for the WSP (2003), the study will also assess their design and impacts against the backdrop of this strategic framework. The figure below illustrates the proposed generic approach of the impact study in each of the two focal countries, including Kenya.

### 1.4.2. OUTPUT CATEGORIES

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

1. Increased capacity in the partner countries for pro-poor WSS initiatives and policies and assisting the national counterpart agencies in prioritising the water and sanitation sector in the overall national development programmes (“normative” impacts)
2. Increased flow of investment (resource mobilisation) into WSS sector catalysed by WSTF interventions

FIGURE 1.1: Approach of the Country Impact Study



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

### 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 which bore 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:

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



# Country Context and Challenges



## COUNTRY CONTEXT AND CHALLENGES<sup>1</sup>

Most Kenyans experience woefully inadequate water supply and sanitation (WSS) services. As a result, they face a high incidence of preventable deaths and infectious diseases, continuing poverty, and negative impacts on livelihoods, industry, productivity, tourism, food production and agriculture, pollution of rivers and the environment which cause hardship and debilitation, particularly for woman and children.

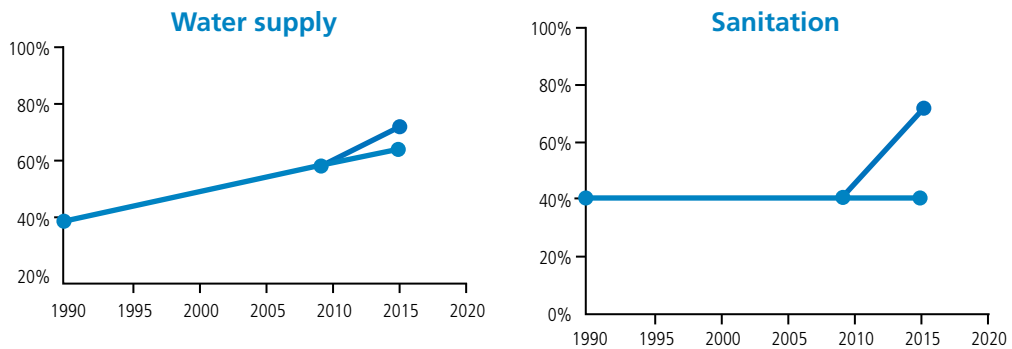
Yet the sector is undergoing a quiet revolution with some positive changes taking place as a result of a slowly improving political context and significant advances in sector reforms over the past decade. The following paragraphs summarize the status of the sector and its principle challenges.

### 2.1 SECTOR COVERAGE

On the basis of current trends, Kenya is unlikely to meet the MDGs for water supply and may also miss the MDG for sanitation. At current investment levels, using the JMP/MDG data, sanitation coverage in 2015 will only be 39% (as opposed to the target of 69%) and water coverage will reach 66% of the population (target is 72%).

<sup>1</sup> This section benefited from the most recent review of the WSS sector in Kenya developed for the African Minister's Council on Water Country Sector Overview process, lead by the Water and Sanitation Program of the World Bank.

FIGURE 2.1: Water Supply and Sanitation Coverage in Kenya



But there are some wide disparities between coverage figures from different data sets<sup>2</sup>. This is seen at its most extreme in urban areas where the JMP data suggests coverage in 2009 of 83% for urban water and 45% for urban sanitation, whereas the Sector Investment Plan (SIP) estimates are considerably less at 59% for water and 32% for sanitation. UN-HABITAT data and a recent analysis from the Water Services Regulatory Board (WASREB) show that even the more pessimistic estimates may seriously underestimate the scale of the urban WSS challenge.

Gender issues are of great significance in the WSS sector in Kenya, and many key stakeholders recognize that women and girls bear the primary responsibility for water, sanitation and hygiene at the household level.

Women and girls, in particular, have keen interests in improvements that may ease their burdens such as reducing the time for water collection and accessing water and improving the health status of the family members by accessing safe water.

An improvement in accessing safe water access also has other social and economic benefits. With less time devoted to fetching and queuing for water for household consumption, more time is available for school activities for girls and adolescents, fewer costs are incurred for health services and medicines due to consuming unsafe water and more time may be used for economic and productive activities improving the well-being of families. Lack of access to sanitation is also directly related to dignity and safety and the ability of families to maintain good hygiene.

<sup>2</sup> The main sources are JMP data, the national census data from the Kenya Integrated Budget Household Survey and the Sector Investment Plan estimates.



## 2.2 SECTOR ORGANIZATION

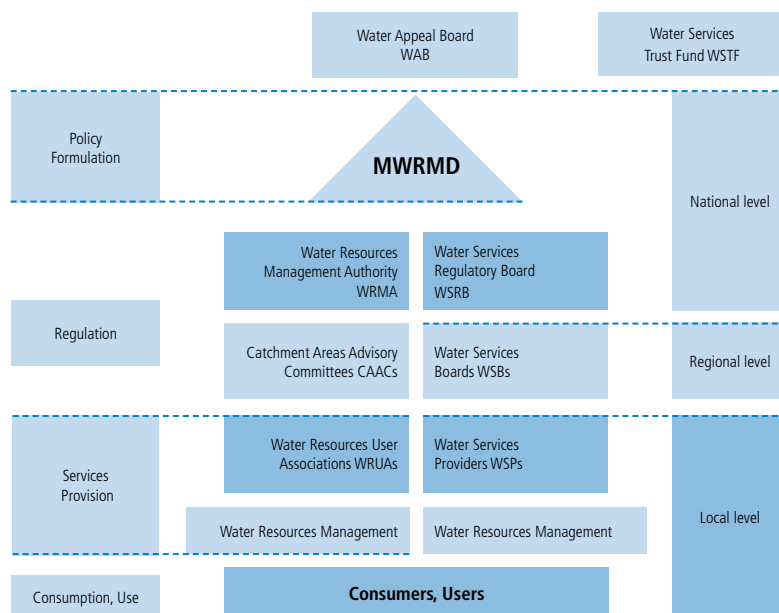
From the introduction of a new water policy in 1999 and the new Water Act in 2002 but, in particular, after the change of government in 2003, Kenya has undertaken an ambitious and complex series of institutional reforms (Figure 2-2). This has jolted the sector out of a vicious cycle of government inability to decentralize, fund or manage services, or make any inroads into the growing urbanization and public health threats of the 1990s.

The reforms that have been put in place give a formal separation of roles, improved sector governance and accountability and significantly increase decentralization of service responsibilities. They have created asset-holding Water Service Boards (WSBs), Water Service Providers (WSPs) to

manage services on a commercial basis, a Water Service Regulatory Board (WASREB), a Water Resources Management Authority (WRMA), a Water Services Trust Fund (WSTF) and a Water Appeal Board (WAB). Attempts to improve co-ordination, align and harmonize external agencies with Government approaches have led to the endorsement of sector partnership principles and the launch of a Sector-wide Approach (SWAp) in 2006.

The reform process is far from complete and current institutional challenges include finalizing the legal framework, completing the transfer of water assets, private sector engagement, clarifying institutional responsibilities for sanitation, clustering the smaller WSPs in order to become financially viable and complete staff restructuring.

FIGURE 2.2: Water Sector Reform Structure in Kenya



## 2.3 SECTOR COORDINATION

Notwithstanding Government's progress in developing a coherent system, sector aid delivery remains fragmented. While partnerships agreements and coordination arrangements are now in place, in practice much needs to be done to achieve harmonization and alignment. From a 2005 base of ten international agencies implementing 35 projects<sup>3</sup> in 2009 there were approximately 16 agencies financing nearly 100 projects.

The following fora have been created: The Kenya Water and Sanitation Program, the Water Supply and Sanitation Programme Coordination Committee, the Implementation Coordination Team and the Donor Water Sector Technical Group managed by a donor troika. Progress towards a SWAp remains slow and the prospects of further basket funding are still remote. An issue addressed by this impact study is what role UN-HABITAT can play in supporting the national water reform process and its participation in the sector coordination activities.

## 2.4 SECTOR FINANCING

Kenya has seen a remarkable turn around in its sector finance. There has been a significant increase in GoK budget allocations since the introduction of the Medium Term Expenditure Framework (MTEF) and public sector financial management reforms.

The total financial resource sector budget sector finance allocated to the lead water ministry, the Ministry of Water and Irrigation (MWI), has increased from \$64m to \$379m<sup>4</sup> between the 03/04 and 09/10 budgets and the MWI and the Ministry of Public Health and Sanitation (MPHS) water and sanitation budget increased from 1.9% to 3.7% in the same period<sup>5</sup> Public sector financing challenges include increasing revenue and spending allocations.

Development partner allocations have also increased dramatically from a low point in the early 2000s. Programmed allocations now constitute approximately an additional \$400m<sup>6</sup>. Many development partner allocations are now included in the overall sector budget, though currently no donors provide budget support and donors apply their own procurement rules and disbursement regulations. It is interesting to note that UN-HABITAT's contribution is not mentioned in the programmed contributions.

Figure 2.3 shows the sector investment requirements for meeting the MDGs using the more optimistic JMP figures. They show that, between 2009 and 2015, an additional 9.5 million people need to obtain access to water and 16.4 million people access to sanitation.

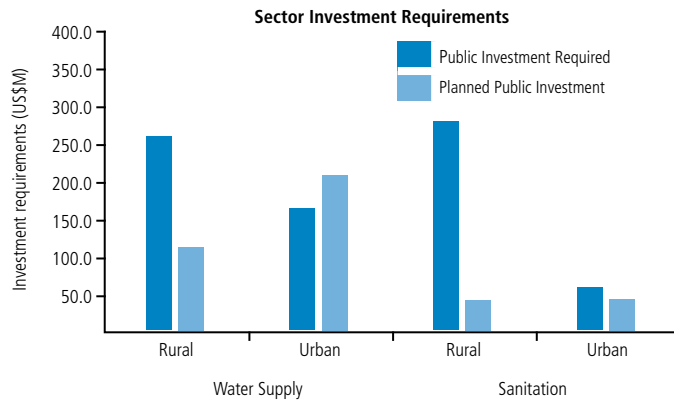
<sup>3</sup> Development partners first prepared a matrix of their activities in 2005.

<sup>4</sup> The increases are driven largely by increased allocations to storage and irrigation.

<sup>5</sup> This is still below the 4% allocation estimated as required to reach the MDGs.

<sup>6</sup> A highly provisional figure that will soon be verified by the Donor Water Sector Technical Group

FIGURE 2.3: Sector Investment Requirements



The table also shows that planned public investment already meets urban requirements as the turnaround in Kenyan sector financial allocations is largely in these areas. Rural areas show significant shortfalls in public investment based on current planned costs and service levels. The rural sanitation service levels would clearly need to be further examined in coming up with an achievable plan.

An encouraging development is that the regulator has reported an increase in urban billing collection, with an average of 83% of billed amounts now collected, and that the regulator recently approved a tariff increase, which has the potential to improve significantly the financial viability of WSBs and the larger WSPs.

## 2.5 SECTOR MONITORING AND INFORMATION SYSTEMS

Since passing the Water Act, there has been a move from project monitoring to sector monitoring and an established system of sector indicators have been put in place which include key sector indicators; minimum service indicators; WSS performance indicators; annual performance contracts for key institutions such as WASREB, WSTF and WSBs; regulatory indicators and sector undertakings as agreed in the Annual Sector Review conference.

Data on sector services has been fragmented and of poor quality, but recently there have been several encouraging developments.



The regulator has initiated the Water Regulatory Information System (WARIS), and a WSTF information system while Water Resource Information Management System and an Irrigation and Drainage Management System have also been developed. WSB asset management information is under development and Maji Data, a detailed data system focusing on WSS services in Kenyan urban informal settlements, is being established with the support of GTZ and the UN-HABITAT WSTF.

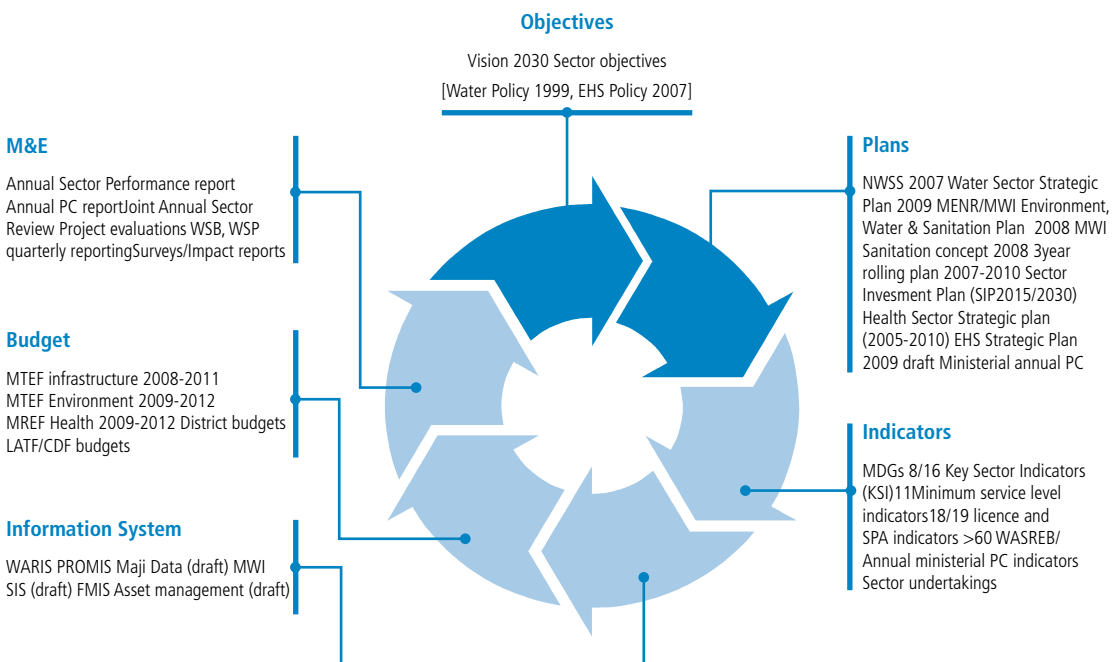
The quality and reliability of reporting has also increased, including, since 2006, annual sector reviews. MWI has established a Technical Audit and

Performance Contract Monitoring Unit in MOWI and a separate unit has been established MPND monitoring progress towards the MDG and Kenya Vision 2030.

Overall, the development of sector information systems is regarded as rather ambitious and too complex for existing capacity. Much data is generated, but not all of it is consistent and there is little evidence that it is being used to guide sector decisions, such as in budget allocations.

The table below illustrates the linkages between objectives, plans, indicators, information systems, budgets and reporting.

FIGURE 2.4: The Sector Information Cycle





## 2.6 URBAN WATER SECTOR PERFORMANCE

Performance indicators of urban water supply show continuing weak performance. A 2001 survey found that only 42% were functional as opposed to 59% in rural areas, with non-functional services at the 70.8 and 87.5% level in the Lake Victoria North and Lake Victoria South WSBs. Unaccounted for water is high at 47% and only two WSPs have achieved the acceptable rating of below 25%. Around 20% of connections are reported as dormant. Urban water quality monitoring is weak<sup>7</sup>, on average water is available 14 hours a day and, although the metering ratio is reported at 82%, this does not reflect meter functionality.

In general the performance of the larger urban water service providers, such as those under Athi WSB, have improved their financial performance by covering operation and maintenance (O&M) costs. Of the 33 WSPs clearly identified by WASREB as operating below O&M cost recovery, most are small providers with a limited turnover and small customer base. Clustering has been identified as a means of improving the viability of these smaller WSPs, though this policy is yet to be implemented.

Kenya has made progress in developing pro-poor approaches, but little information is available on their impact. Many WSPs (such as Nairobi City Water and Sewerage Company (NCWSC) have put in place pro-poor, informal settlement units and issued guidelines on pro-poor approaches. Kisumu, Nairobi and Nakuru have piloted delegated management approaches for

<sup>7</sup> Though one study reported an 89% compliance with residual chlorine standards.

utilities to outsource low-income services to small-scale entrepreneurs. Much of the impact of these policies can only be measured when Maji Data is able to provide a benchmark from which to measure the performance of different approaches.

## 2.7 URBAN SANITATION SECTOR PERFORMANCE

Urban sanitation remains highly neglected. Kenya's urban population is growing rapidly and the level of pollution, especially in informal settlements, is extremely high with most residents not having land title and having no household sanitation facilities. Human excreta disposal is therefore mainly a personal affair in most informal settlements with a growing array of public sanitation facilities.

The unsanitary conditions are amplified by poor solid waste disposal services. Only about 20% of the urban population is connected to a sewer system and only 3 to 4% of waste water is treated with the rest entering ground or surface waters untreated. The segments of the urban society connected to sewer systems are essentially the high income areas, institutions and business undertakings. Wastewater from sewerage systems is frequently discharged untreated into the water bodies and poses a high environmental risk.



The rationale in linking upgrading of sanitation in informal urban areas to the pollution abatement of large water bodies, such as Lake Victoria, needs also to address the challenge of sewerage disposal. A 2007 rapid gender and vulnerability assessment indicated that, while water supply for poor communities attracts some attention from policy makers and local authorities, more focus should be on sanitation policies targeting the poorest segments of communities, particularly women and vulnerable groups such as orphans and the physically challenged. Furthermore, the assessment indicates that the dire lack of sanitation facilities could be mitigated through the enactment and enforcement of local authority by-laws, such as compelling landlords in informal settlements to provide adequate sanitation facilities for their tenants.

# UN-HABITAT Kenya Programme and Projects



## 3.1 UN-HABITAT KENYA COUNTRY PROGRAMME

UN-HABITAT has had a longstanding engagement with Kenya, the country which hosts the agency headquarters. With this close relationship many global staff work are available to support country staff and it may be that Kenya receives rather more support than other UN-HABITAT countries. UN-HABITAT's activities are in two separate initiatives: the WAC II programme and the Lake Victoria Region Water and Sanitation Initiative (LVWATSAN).

The current active projects are:

### Water for African Cities II (WAC II)

1. Kibera Integrated Water, Sanitation and Waste Management Project
2. Kibera Support Programme
3. Diagnostic Study on Sanitation and Hygiene in the LVWSB Area of Jurisdiction
4. Mirera-Karagita Integrated Water and Sanitation Initiative (MK WATSA)
5. Maji Data Initiative
6. Kibera Mirera-Karagita Non Motorized Transport Project (NMT)

TABLE 3.1: UN-HABITAT WAC II Country Support Overview

| Country            | No. of Implementing Partners |           |           | Fund Contribution (US\$) |                      |
|--------------------|------------------------------|-----------|-----------|--------------------------|----------------------|
|                    | No. of CAs                   | Gos       | NGOs      | UN Habitat               | Implementing Partner |
| Burkina Faso       | 10                           | 5         | 5         | 1 195 712                | 580 590              |
| Cameroon           | 3                            | 2         | 1         | 587 500                  | 222 153              |
| Cote D' Ivoire     | 1                            | 1         |           | 327 152                  | 200 799              |
| Ethiopia           | 15                           | 12        | 3         | 154 4961                 | 552 002              |
| Ghana              | 4                            | 3         | 1         | 1 312 222                | 390 885              |
| <b>Kenya (10%)</b> | <b>5</b>                     |           | <b>5</b>  | <b>1 257 251</b>         | <b>615 525</b>       |
| Mali               | 6                            | 4         | 2         | 1 190 568                | 466 910              |
| Mozambique         | 7                            | 7         |           | 1 363 266                | 445 706              |
| Niger              | 1                            | 1         |           | 382 287                  | 239 141              |
| Nigeria            | 4                            | 3         | 1         | 1 057 674                | 854 154              |
| Rwanda             | 1                            | 1         |           | 181 307                  | 180 000              |
| Senegal            | 7                            | 5         | 2         | 1 771 520                | 705 320              |
| Tanzania/Zanzibar  | 1                            | 1         |           | 15 000                   | 1 500                |
| <b>Total</b>       | <b>65</b>                    | <b>45</b> | <b>20</b> | <b>12 186 420</b>        | <b>5 454 685</b>     |

### Lake Victoria Kenya Projects

1. Supporting Secondary Urban Centres in the Lake Victoria Region to Achieve the MDGs

The Table below compares UN-HABITAT's country support from the WAC II Programme in different countries, showing that Kenya gets approximately 10% budget allocation leveraging in 50% additional finance from implementing partners. It is interesting to note that UN-HABITAT does not have CAs with government partners.

The total allocation from different sources to the UN-HABITAT WAC II and LVWATSAN Programme in Kenya is presented in Table 3.2.

### 3.1.1 ISSUES IN COUNTRY PROGRAM DESIGN

UN-HABITAT's depth of experience in Kenya 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, which are capacity building, leveraging investments and improving data and knowledge.



TABLE 3.2: The Total Financial Allocation to the UN-HABITAT Kenya Programme

| Project         | UN-HABITAT Contribution (\$000s) | Implementing Partner Contributions (\$000s) | Total Project Costs (\$000s) |
|-----------------|----------------------------------|---|------------------------------|
| WAC II          | 1 257                            | 612   | 1 873                        |
| LWATSAN (Kenya) | 5 190                            | 38 310                                      | 43 500                       |
| Total           | 6 447                            | 38 922                                      | 45 373                       |

Yet surprisingly, there is no defined country strategy or programme. UN-HABITAT's country programme is in essence a set of projects which happen to be in Kenya: the programme does not have an explicit "la raison d'être" or coherent strategy. The absence of the piece of paper would not be so important, given the good alignment of global and project objectives but the absence of a process to engage Kenyan institutions in UN-HABITAT's strategy and to be accountable to other stakeholders regarding the strategic development of the programme is a significant issue.

An additional set of issues were raised by interviewed development partners:

- 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 insufficient process to locate the program within the overall Kenya strategy. UN-HABITAT should make further efforts to work in harmony with other development partners.
  - 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 was 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.
- UN-HABITAT's work was likened to that of a highly effective NGO, using its flexibility to seek out interesting and relevant projects and focussing on immediate impacts on the ground, rather than proceeding from a thought-out strategy and operating as the government's lead partner in addressing the medium- to longer-term challenges of the urban poor.
  - UN-HABITAT's sector investments are not fully integrated into the official programme of development partners' assistance. UN-HABITAT should also give greater focus to mobilizing resources from urban investment partners, which could take UN-HABITAT ideas to large scale investments.
  - Donors noted that an aggressive approach to fundraising should be preceded by clear strategy development and demonstration of One UN and stronger partnership with other agencies.

Interviewed Government agencies encouraged UN-HABITAT to re-orientate their programme more solidly in support of support sector reforms.

- The MWI donor coordinator acknowledged UN-HABITAT's active engagement in sector coordination and the important contribution of individual projects. However, the absence of a strategy and long term goals and involvement in donor coordination, limits alignment with GoK processes.
- UN-HABITAT pilot projects are not always, at the outset, integrated with the accountable institutions. Several key institutions – such as the Water Regulator and the NCWSB, had not been consulted in the design of UN-HABITAT's country programme activities. LVWATSAN was not conceived through sufficient consultation with MWI and appeared to be driven by regional priorities rather than national ones.
- The appointment of implementing agencies set apart from the accountable institutions, particularly in Kibera and Lake Victoria, missed the opportunity to help build capacity of accountable institutions for the long term. This point may also be reflected in the choice of implementing partners (Table 3-1), showing that UN-HABITAT does not have CAs with Government partners.

Many interviewed stakeholders encouraged UN-HABITAT to focus on using its comparative advantage to its best advantage of the country.

- UN-HABITAT has an excellent reputation in Kenya, especially amongst NGOs and local institutions. UN-HABITAT's comparative advantage is its focus on the complex problem of the urban poor and the ability to integrate WSS approaches across the urban sector. This was emphasized as a critical component of future national sector development.
- Many stakeholders expect UN-HABITAT to play the 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, however interesting they might be.
- UN-HABITAT has a comparative advantage in supporting utilities and water operators. It is expanding its efforts to support WOPs in Africa, yet there is less direct engagement and linkages between established Kenyan water operators and pilot projects.

### 3.1.2. EMERGING ISSUES AND RECOMMENDATIONS

Since this impact assessment only focussed on selected projects, no overall assessment of country achievements and country impact is made here. An analysis of detailed project achievements and impacts are made project by project below. This section identifies five main country programme issues.



1. UN-HABITAT is, in effect, bringing a \$5m programme budget to a sector with total financial flows of the order of magnitude of \$0.8bn so it is making a 0.06% contribution. **It is clearly achieving extraordinarily good value for money and is punching well above its weight.**
2. Its selected foci (improving services amongst the urban poor in informal settlements in big cities and in small towns and improving sector data amongst these populations) are highly respected as **excellent project selection decisions.**
3. UN-HABITAT would enhance its systemic impact in the sector by the **development of a country strategy in concerted dialogue with key sector stakeholders.**
4. The programme **should explicitly be developed in support of Kenya's sector reform programme** to support the development policies and large-scale solutions to address the WSS challenges of the urban poor and help to address key problems which fall in UN-HABITAT's areas of comparative advantage.
5. The process of coordination, strategy development and alignment with Kenya's sector reforms and investment mobilisation might be much improved by the appointment of a **single UN-HABITAT officer with clear country liaison responsibilities.** This would also enable consistent attendance at coordination meetings.

### 3.2 KIBERA WATSAN AND KIBERA SUPPORT PROGRAMME

UN-HABITAT has two development cooperation interventions in Kibera:

- Kibera Integrated Water, Sanitation and Waste Management (Kibera WATSAN) Project
- Kibera Support Programme

#### Kibera WATSAN

Kibera WATSAN is a component of Water for African Cities Phase II (WAC II) in Kenya. The Kibera WATSAN is a WSTF-funded project which was initiated in 2007 in Soweto East (population 70,000), one of the 12 villages in the densely-populated slum of Kibera to the West of Nairobi.



Implemented by a competitively-procured local NGO, Maji na Ufanisi (MnU), the project had an initial \$521K budget to contribute towards the improvement of livelihoods of urban poor in the village by supporting small-scale community based water, sanitation and waste management initiatives. The project supports the Kibera Slum Upgrading Project (KENSUP) and works in partnership with the Kenyan Ministry of Housing on a housing initiative.

The project also includes road works, storm water drainage and bridge improvements seeks to strengthen governance and community management, as well as develop an approach that can be applied to other informal settlements in Kenya. The WSTF budget was increased to about \$1.5 million in order to accommodate the construction of a higher standard road (12m wide, as recommended by Ministry of Housing) instead of a basic 5m wide road, as initially proposed.

### The Kibera Support Programme

The Kibera Support Programme is a project implemented through Athi Water Services Board (AWSB) in collaboration with Africa Development Bank (AfDB). Its main focus is on scaling up and replication of the Kibera WATSAN achievements in three additional villages.

#### 3.2.1. PROJECT DESIGN

##### Project Response to WATSAN and WSTF Objectives

Annex 2 presents key project information abstracted from the Project CA between UN-HABITAT and MnU and entered into the LFA matrix.

This comparison shows that the goal of Kibera interventions corresponds well with the goal of the WATSAN Programme by its planned contribution to the improvement of livelihoods of urban poor by supporting small scale community based water, sanitation and waste management initiatives. The stated development objective of the Kibera project “to contribute to the ongoing Kenya Slum Upgrading Initiative which is a collaborating project between UN-HABITAT and Kenya Government” is also responding to the development objective of the WATSAN namely, “to support developing countries to achieve sustainable access to safe drinking water and basic sanitation for the poor, particularly in urban areas”.

The interventions of the Kibera WATSAN Project respond to the following activities:

- 100.Normative Activities:** “Development of pro-poor and gender sensitive governance frameworks, including policy options, norms, standards and management toolkits, for the urban WATSAN sector”. The response of the Kibera project is to “Enhance community management capacity through awareness creation, mobilisation of beneficiaries to form water and sanitation (WATSAN) management committees.”
- 200.Operational Activities:** “To facilitate pro-poor, gender sensitive investment through regional WATSAN programmes of advocacy, awareness raising, value-based water education, capacity building and training, and gender mainstreaming and demonstration activities”. The Kibera Project is aligned to this activity by supporting the community to improve

FIGURE 3.1: **New 12m road Kibera - labour based construction**



accessibility and drainage system in Soweto East; supporting the community to improve accessibility to water and sanitation facilities in Soweto East and small-scale door-to-door waste collection and recycling demonstration set-up.

- 300. "Replicable Model-setting Initiatives" that would "Provide strategic support to pro-poor, gender sensitive initiatives at the local level with a focus on participatory involvement of local communities". The Kibera project has the potential to scale-up to other villages, based on lessons learned. The scaling up the Kibera WATSAN interventions is envisaged by the Kibera Support Programme implemented through Athi Water Services Board (AWSB) in collaboration with Africa Development Bank (AfDB).
- 400. Monitoring Activities: "Monitor progress towards WATSAN MDG-

WSSD targets". The Kibera project will engage in "Establishment of a community Information Communication Technology ICT Centre to enable the community in Soweto East Village to access information".

In addition to the above, the UN-HABITAT Kibera WATSAN project includes activities that go beyond the priority areas of the WATSAN Programme (2003) or the UN-HABITAT WSTF Strategic Plan (2008-12). These components are, for example, the funding of road construction and the solid waste management interventions, the bicycle transportation and income-generating ventures. Through being part of KENSUP, the WSTF-funded interventions in Kibera contribute to a broad range of community improvements and investments, many of which are funded from other sources.

### 3.2.2 IDENTIFIED ACHIEVEMENTS

#### a) Kibera WATSAN Project

The major achievements of the Soweto East pilot project as per October 2009 have been summarised by UN-HABITAT as follows:

##### Community Management and Capacity Enhancement

- Effective mobilization of community decision-making structures (Settlement Executive Committee, with both women and men members) to coordinate slum-upgrading activities with the support of Maji na Ufanisi
- Soweto Youth group formed and trained in handling waste as a small-scale enterprise

- Seven facility management groups formed, trained and registered as an enterprise managing the sanitation facilities
- Micro-finance scheme
- Four Housing Cooperatives formed saving a weekly contribution for housing purchase
- Community acceptance and support for the KENSUP approach to slum upgrading

##### Structural Interventions:

- Construction of 2.5 km road (12m wide) with the first 500m completed, financed by the Ministry of Housing. The remaining part is under construction based on a direct labour approach (Figure 3-1)

FIGURE 3.2: Communal Water and Sanitation Centres



FIGURE 3.3: Water Vending



- Seven communal waterborne sanitation facilities completed, commissioned and in use (Figure 3-2). A planned eighth block has been replaced by a community centre
  - Improved water distribution through extension of water networks and establishment of up to 70m<sup>3</sup> of storage facility
  - supervision of implementation phase
  - Cooperation Agreement developed through which funds will be administered under management of AWSB
  - Estimated to benefit additional 150,000 Persons
  - Detailed design for extension of the Kibera integrated WATSAN project
  - Collaboration with AfDB. The integrated WATSAN initiative in the Soweto neighbourhood of Kibera is being extended to other parts of the Kibera slum as part of the AfDB support programme for the Water Services Board in Kenya.
- b) Kibera Support Programme**
- The major achievements of the follow-on Kibera Support Program as per October 2009 can be summarised as follows:
- Pre-investment study completed and a consultancy firm contracted to undertake detailed project design and

FIGURE 3.4: **New Sewer Pipeline**

### 3.2.3. EMERGING ISSUES, IMPACT ASSESSMENT AND RECOMMENDATIONS

In assessing UN-HABITAT's Kibera projects, this section raises 14 observations for consideration:

UN-HABITAT has taken on a huge challenge by selecting Kibera as an area of intervention, and smaller slums would have been easier to address. The Kibera projects have made a **significant contribution in one of the toughest development settings**. Kibera started as an informal settlement 90 years ago and is

an iconic challenge in urban development in Africa as now approximately 800,000 Kibera residents live in some of the most squalid conditions in the world.

The city and state authorities' failure to manage the challenge has led to many thousands of initiatives by NGO and other agencies to address the issue. Many of these undertake excellent humanitarian work but few manage to make an impact on the structure of the problem or break, at any scale, the vicious cycle of weak institutions and vested interests that keeps Kibera poor both disorganised and without investment.

UN-HABITAT's Kibera project is **distinctive in that it has put in place interventions that make a significant and direct impact on the poor and also provide a model with key features that could be replicated at scale**. It is evident that the complete upgrading of Kibera cannot be based on conventional city planning principles.

The results and experiences from the UN-HABITAT Kibera project can serve as a basis for redesigning future approaches. The project is both horizontally integrated in the urban environment (addresses water, sanitation, solid waste disposal, roads, drainage, housing) and has some strong features of vertical integration (the AWSB, the community, women and the youth).

After so many failed promises of help, the pilot project also has an important "psychological" impact in that it has accomplished some major achievements on the ground – road, drainage, water and sanitation services, shacks voluntarily being broken down and residents relocated. These practical achievements on the



ground give hope that this seemingly intractable and complex problem might actually be addressed.

The step of breaking down structures and being resettled to improved housing gives residents light at the end of the tunnel. The integrated approach provides many mutually supportive linkages: the road stimulates the local economy and enables trunk services to enter; better quality water improves hygiene and health status, more accessible and affordable water eases the burden on women and saves time and money to initiate other activities and meet other social and economic needs; youth getting engaged in civic responsibilities, such as solid waste collection, provides an important service, and gives them hope, skills and some income.

Significant development aid has been spent in Kibera by numerous NGOs and other external support bodies, many with limited effect or sustainability. In order to succeed, concerted and tailored approaches to slum upgrading are needed. UN-HABITAT's Kibera initiative **puts into practice many of the key lessons learnt in addressing water and sanitation in informal settlements.** The approach has strong stakeholder consultation and community ownership. Planned interventions are negotiated and discussed with the community. The project utilises labor-based implementation.

A success factor in the project has been to **develop momentum in community-NGO-local authority and state dialogue.** Historically there has been a large gulf in communication and perspectives of state officials and community leaders. The project

has stimulated dialogue, trust and collaboration between key people and agencies. An important project impact has been to enhance political commitment to slum upgrading. A good example of this has been the achievement of leveraging \$0.5m of Government support to construct a portion of the road. Liaison with Nairobi City Water and Sewerage Company (NCWSC) to secure sound water connections has been another area of good collaboration.

**UN-HABITAT's ability to take the lessons of the pilot project to a larger scale through the Kibera Support Program is a key indication of its success.**

The project has leveraged \$2 million from AfDB for investments in primary infrastructure, such as trunk sewers and water pipelines. Execution of this larger project through AWSB will create a platform for the approach to be rolled out into many other Nairobi slums. The project's ability to leverage resources, from KENSUP, from the Government and from AfDB has been exceptional. In this way an initial \$0.5m pilot initiative has already resulted in several million dollars' investment.

**The importance of the project is its potential impact and model setting, rather than its direct numerical impact.**

The Kibera project has the potential to impact the entire population of Kibera. The road works will certainly impact all residents of Soweto East. But the direct impact in water and sanitation service improvement is relatively minor.

The lack of documented baseline information and recent monitoring results has meant that no precise quantitative assessment of the impacts of the project in terms of MDG achievements could be

made. An order of magnitude assessment might be that the constructed water services serve 2,000-3000 people per day and the sanitation services 3,000-4000<sup>8</sup>.

Once the Maji Data project (see Chapter 3-4.) is complete, future quantitative impact assessments will be possible and will bring further clarity as to how many people actually benefited from the improved water and sanitation services in Kibera. In this exercise efforts must be made to collect, process and disseminate gender-disaggregated data and information.

The project is visionary but in its totality will need to mobilize substantial resources and the project does raise **questions about the overall sustainability of the approach**. So far, more than 90% of the people living in Kibera are tenants, only 1,000 out of 800,000 residents have houses, and as indicated above, the number of those directly using improved sanitation and water services remains small. There is a long road ahead and critical to long term success will be the mobilization of resources, from public sector, private sector and user fees.

On the basis of this model, UN-HABITAT should begin an **explicit programme to mobilize investments** under the auspices of the Kibera Support Programme that include other potential investors such as KfW, EIB, and the World Bank.

The organization elected to implement the project was an NGO. MnU has done an excellent job especially at gaining and retaining trust with the community leadership. **A design component which might be addressed in future projects is the increased involvement of the NCWSC and the Athi Water Services Board (AWSB) at the outset of the project.** NCWSC has an informal settlement unit. Embedding the project firmly in the accountable authorities, whose capacity is critical to long-term success, would be preferable to developing this capacity through short-term accountability from external agencies such as NGOs.

Developing a **strategic relationship with NCWSC is also critical for the next step in water service development**. The initial seven water points are only a start. The trunk pipeline needs rehabilitation, water pressure increased and water quality improved. The implementation of a delegated management approach, based on models implemented elsewhere in Kenya might be considered.

Outsourced management to local entrepreneurs contracted to manage services on officially water lines on-selling from bulk meters at controlled prices is an approach that has worked well elsewhere. This approach can reduce unaccounted for water, supply water at consistent prices, and provide a basis for a campaign to limit illegal connections, regulate water vendors, reduce prices to consumers and increase revenue.

<sup>8</sup> The assumptions in this calculation are as follows: 7 new communal waterborne water and sanitation facilities (Figure 3-2) provide some 200 buckets per day (at 3 KSH per 20 l bucket), that would be equivalent to 28 000 l/day and a served population of 2,800 people (assuming 10 l/p/day). Each sanitation facility might serve 500 visitors per day, amounting to some 3,500 direct sanitation beneficiaries for all 7 centres.

**Increased formal engagement on sanitation with NCWSC and the city authorities is also recommended.**

The provision of safe clean affordable communal sanitation services is a major first step. The limitations of this approach are use at night, in particular use by women, children and the aged. Household facilities must be the long term goal. The road and implementation of the major infrastructure works provides the opportunity to extend the sewer network to more communal services and then to emerging businesses or private households. Progress on these steps can only be made in close dialogue with the accountable service provider, NCWSC.

A key ongoing sector problem in Kenya is the lack of institutional and policy leadership in sanitation. **UN-HABITAT could make a significant contribution to resolving the question of institutional accountability for sanitation improvement and assisting GoK develop a sound national policy on urban sanitation and solid waste.**

Both projects have been implemented at **a slower pace than initially conceived.** The dynamics of work in slums is inevitably unpredictable and achieving local ownership has been such a critical success factor that these delays seem acceptable. The start of up of the Kibera Support Project has been especially slow, following a lengthy process in signing the MoU and delays in establishing a steering committee.

Finally, whilst the road, drainage and infrastructure is such a critical part of the project, the question has to be raised as **to whether WSTF funds should be used on road construction**, especially as this accounts for two-thirds of the budget.

### 3.3 LAKE VICTORIA REGION WATER AND SANITATION INITIATIVE

This part of the study is to assess the impacts of the Regional Lake Victoria Region Water and Sanitation Initiative (LVWATSAN) in Kenya with a specific focus on Homa Bay and supplemented by information from Kisii and Bondo towns.

**LVWATSAN** is part of a wider UN-HABITAT involvement in the LV Region that can be captured in the following four elements.

1. WSS development of the three main cities: Kampala, Kisumu, and Mwanza with lending-based finance (EIB and others) \$300m
2. LVWATSAN Pilot Interventions, including three Kenyan towns (Homa Bay, Kisii and Bondo) and scaling up in three more towns (preparations ongoing)
3. Scaling up of the LVWATSAN to 15 more towns in partnership with AfDB, led by EAC (55 million EUR)
4. Upgrading of WSS and capacity building in eight Kenyan secondary towns at a cost of \$15m (under preparation by UN-HABITAT).

The achievements of the interventions in the three towns studied in this assessment needs to be considered in the context of UN-HABITAT's total involvement in the region. The Executing Agency for the project in the towns in Kenya is the Lake Victoria South Water Services Board.



FIGURE 3.5: LVWATSAN Water Kiosks in Homa Bay Town



### 3.3.1. PROJECT DESIGN

The main formal project design documents are the CAs between UN-HABITAT and the implementing organisation. The CAs generally reflect the activities to be performed and the deliverables and do not fully serve the purpose of a Project Document. In order to assess the design of the LVWATSAN projects against the WSTE strategic targets and outcomes, the consultants have abstracted information from other documents related to the project as presented in Annex 3.

The overall collaborative framework for the LVWATSAN is laid down in the MoU signed in June 2006 between UN-HABITAT and the Governments of Kenya, Uganda, and Tanzania. The initial focus of the initiative was to rehabilitate and improve physical infrastructure in seven pilot towns in the three countries while building the necessary institutional capacity to improve

water governance and ensure long-term sustainability of the physical interventions.

In general the goals and development objectives can be captured as:

1. Support pro-poor water and sanitation investments in the secondary urban centres in the Lake Victoria Basin
2. Build institutional and human resources capacities at local and regional levels for the sustainability of improved WSS
3. Reduce the environmental impact of urbanisation in the Lake Victoria Basin

The two first objective statements capture the goal of UN-HABITAT Water and Sanitation Programme, which is “to contribute to the achievement of the internationally agreed goals related to water and sanitation in human settlements with particular focus on the urban poor

in order to facilitate an equitable social, economic and environmental development (MDGs)".

The third objective, concerning environmental impact mitigation, is not explicitly emphasised among WSTF's goals. Upgrading of WSS services for the urban poor with the objective of achieve the MDGs may not be the optimum action for water pollution abatement in Lake Victoria. Therefore, the impacts of different sanitation solutions (including sewerage-based sanitation) need to be better understood. Meanwhile, the achievement of MDGs should be the primary goal for the impact analysis.

### 3.3.2 IDENTIFIED ACHIEVEMENTS

The major achievements of the Homa Bay Town pilot project have been summarised on the basis of reports from by UN-HABITAT and information from the South Nyanza Water and Sanitation Company as follows:

#### Community Management and Capacity Enhancement

- Training of South Nyanza Water and Sanitation Company staff in various aspects of water management, O&M and service-minded attitude by interaction with the National Water and Sewerage Corporation (NWSC) Uganda, one of the region's champion utilities
- Supply of computers, accessories, laboratory equipment and O&M tools
- Establishment, selection and licensing of water kiosk operators
- Provision and establishment of micro-credit scheme for construction of latrines at household level, involving women groups in peri-urban areas and initial promotion of this funding opportunity for enhanced use, including income-generation from productive activities (as a revolving fund)

FIGURE 3.6: Water Peddlers in Homa Bay Town





### Water Infrastructure

- Rehabilitation of old and new lake intakes and Bossier station including installation of new pumps
- Rehabilitation of old water treatment works at Makongeni plumbing works in progress
- Construction of two communal water kiosks, handed over and managed by self-help groups (women members mainly)
- Expansion of distribution network by 800mm PVC pipeline and the construction and, lying of approximately 1km of PVC pipeline
- Remodelling of distribution network by installation of pressure regulating valves, non-return valves, and air valves
- Rehabilitation of Homa Bay GK prison water supply and sanitation system through an agreement with Prisoner's Care Programme (installation of supply pipelines for ward and staff, 2x50 m<sup>3</sup> water tanks, water points, and rehabilitation of sanitation blocks and sewerage system for prison warders and staff. The systems are soon due for official handing over.)

### Sanitation and sewerage

- Latrine construction: one demo toilet and two credit-funded toilets built and 45 toilets in various stages of credit processing and/or under construction (the target is 300 latrines to be built by June 2010)
- Construction of ten VIP latrines in public institutions (schools) and public areas
- Supply of sewer handling equipment.

### Solid Waste:

- Supply of solid waste management equipment and tools: three 60 hp tractors with trailers, five nos. 4 m<sup>3</sup> containers, two nos small pick-up tractors, 16 nos. bins and misc. equipment
- Construction of four solid waste transfer stations
- Installation of tipping bins
- Installation of ten tipping bins, four Waste Transfer Stations, construction of ten VIP latrines in selected schools and public areas

### Long term interventions and scaling-up achievements

- Installation of four new pumps and lake intakes and treatment works
- Construction of ten water kiosks
- Construction of three water tanks
- Rehabilitation of old treatment works
- World Bank request to the Lake Victoria South Water Services Board (Executing Agency for the UN-HABITAT project) to include survey and design of the extension and upgrading of the sewage system and treatment plant to pave the way for a 2.4 bn KSH (\$29.72m) investment programme
- Through the Japan-UN Habitat association, a rain water harvesting programme is also being implemented for orphan-headed households and vulnerable groups

### 3.3.3 EMERGING ISSUES, IMPACT ASSESSMENT AND RECOMMENDATIONS

In assessing UN-HABITAT's LVWATSAN initiative, this section raises 11 observations for consideration

1. **The direct impact of the interventions in this project is impressive:** Improved transparency in service delivery by the Municipal Council and Water Utilities through the involvement of stakeholders (MSF) in planning and implementation. Increased daily water production from 1500 to 2100 m<sup>3</sup>/day is equivalent to an additionally served population of some 20,000 people (assuming average water consumption of 30 l/p/day for the low-income segments of the town)
  - 169 new water connections and 130 dormant connections have been activated (not known how many of these are for poor consumers)
  - Improved revenue collection from KSK 400,000 to about KSH 1.1 million
  - Non revenue water reduced from 65% in 2007 to 45% currently
  - Over 1000 school children (many whom are HIV/AIDS orphans in informal schools) served with improved sanitation
  - Improved solid waste collection from fewer than seven tonnes/day to more than 20 tonnes/day
  - Micro-credit has led to improved sanitation at household level, but it has taken more time and efforts than anticipated to sensitise and convince the poor to join the scheme
- Prisoners care programme will provide safe water to over 400 inmates and 1000 staff/family housed within the prison area
2. The **"Quick Impact Approach"**, with its combined and rapid efforts of undertaking immediately needed repair works with limited investments, and establishing the MSF and institutional strengthening, **probably has the most powerful impact of the whole project.** However, this aspect has not been emphasised as a target and associated outputs and indicators in the CA or project planning documents. This approach of providing rapid visible changes, albeit of limited size, and engaging with stakeholders, service provider, and authorities has shown a remarkable wake-up call effect in Homa Bay, Kisii, and Bondo and has created strong stakeholder confidence and commitment. The approach could be applied by UN-HABITAT in other projects to create a quick impact.
3. **The Multi-stakeholder Forum is highly effective,** strengthening governance and creating awareness, commitment, transparency, accountability, and providing an important watchdog function over authorities and service providers. The consultants also observed the close interaction between PIU and MSF in Homa Bay during the joint meetings and field trips.
4. **Training of Water Company staff (who are often former council staff) in business management and changing attitudes has contributed to better service-mindedness and performance orientation** (the water provider is no longer a municipal council department).



**5. Water supply is seriously hampered by its dependency on erratic electricity supply** with problems such as frequent blackouts and power outages (voltage fluctuation), which damage pump motors that have to be repaired by the water company.

**6. Raw water quality with high algal concentration is creating operational problems** for the rapid sand filters. This eutrophication (algal growth) occurs in the bay due to wastewater discharge.

**7. The significance of pro-poor investing in sewerage is questionable.**

**8. Water kiosks managed by self-help groups (mainly women) need further attention.** The consultant team observed several technical shortcomings (overhead tanks to store water would help retain service during the frequent electricity blackouts) and

communication/management issues (technical problems resulting in water not being supplied for long periods, and not being reported to the Water Company or project staff).

**9. Replication of the project approach is questionable.** It appears that UN-HABITAT is heavily involved in the implementation of the project in the three pilot towns. Such involvement is required for the pilot project to have the necessary hands on steering and learning in the view of making corrections and finding optimum approaches. Analysis is needed on the amount of staff and financial resources that are being used for this exercise, and how much will be needed to scale up the approach to other towns. Part of the approach should be to find an optimal use of UN-HABITAT capacity for project implementation versus use of resources for strategic interventions such as high level advocacy,



partnership development with larger funding institutions, mobilisation of funds and resources for scaling up the WATSAN interventions.

**10. The regional institutional management and separate overall financial management of the project do not give accountability to Kenyan institutions at the highest level** or support long term development of successful approaches.

**11. Gender impacts were identified, but could be improved.** The Multi Stakeholder Forum - initiated by UN-HABITAT - clearly plays a positive role in promoting pro-poor governance, including empowering women and youth. The issue of vulnerable groups such as disabled people has not yet been given much focus in the programme.

Water kiosks, for which management has been handed over to self-help groups (mainly women) through public-private partnership arrangements, are likely to have good impact on water supply and strengthening of local groups. But the financial benefits for the group members have not materialized, largely due to the inconsistent supply.

Interviewed women were willing to run the kiosks even in evenings to earn more money but there is insufficient electricity to extend operations after dark. Informal group leaders, especially women leaders, have been empowered to raise their voice and demand for WATSAN service, although involvement in decision-making could not be verified.

## 3.4 THE MAJI DATA PROJECT

### 3.4.1 PROJECT DESIGN

The Maji Data initiative stems from the November 2007 Annual Water Sector Conference that recognised the lack of reliable sector data, especially in informal settlements, and identified a need to carry out a pro-poor urban mapping and data collection exercise in Kenya as one of the priority activities for 2008. The outcome of this mapping exercise would be stored in a "Pro-Poor Database" (Maji Data).

The Maji Data project is jointly funded by Google.org, UN-HABITAT, the WSTF, the German Development Bank (KfW) and GTZ. The UN-HABITAT WSTF contribution is about \$500,000 out of a budget of about \$1,175,000. The recipient of the UN-HABITAT WSTF is the Water Services Trust Fund (WSTF) that is part of the MWI. The project document and work plan of the CA between the Water Services TF and UN-HABITAT of January 2009 serves as the main basis for the project design assessment and as a point of reference for the identification of the achievements and impacts.

### Project Response to WATSAN and WSTF Objectives

For comparison, key project information has been abstracted from the project document and work plan and entered into the LFA matrix in Annex 3. The goal of the Maji Data project corresponds well with the goal of the WATSAN Programme through its planned contribution to the achievement of WSS MDGs, with particular focus on the urban poor. Moreover, the WATSAN Programme places particular emphasis on monitoring of progress towards WATSAN MDG -

WSSD targets (Activity 400) by enabling WATSAN institutions to track progress from improved information systems and enhanced monitoring frameworks. The Maji Data project aligns well with this activity category with by:

- Monitoring the impacts of projects (relevant for this ongoing Impact Assessment)
- Monitoring the progress made towards reaching the MDGs
- Preparation for the up-scaling of programmes which aim to reach the urban poor
- Preparation of water supply and sanitation project proposals targeting low income urban areas

### 3.4.2 IDENTIFIED ACHIEVEMENTS

Since the Maji Data project has not yet started delivering information products there are, as yet, few tangible impacts on the ground. However, the Maji Data project has made good progress with planned activities since the project started in January 2009 (see Annex 3).

Identified achievements include:

- Conceptual development of the scope of the exercise
- The development, testing, and adaptation of data collection and mapping tools
- Mobilization of a 55 person team in the field



- Start of a comprehensive data collection process targeting the major informal areas in towns and cities (**however, it is not known whether the data collection takes pro-poor data disaggregated by gender into account**).

The project got off to a slow start. Key staff were not appointed on time and some Maji Data collection teams have been facing security problems in slums that have hampered the progress of their work and the envisaged date of dissemination of baseline data and project completion is now the end of 2010.

The project components that still are under development include: the Maji Data database, manuals, processing and presentation of data, dissemination of results, clarity on the responsibility for updating, the long-term host institution and the location of the helpdesk.

### 3.4.3 EMERGING ISSUES, IMPACT ASSESSMENT AND RECOMMENDATIONS

Seven observations were made in reviewing the project's impact:

1. Maji Data is an **excellently conceived initiative, strategically important and execution by UN-HABITAT through WSTF brings great added value**. UN-HABITAT responded in a timely manner to a sector-wide challenge and is managing this in a strong partnership with other development agencies. When fully operational, the Maji Data system should play an important role by enabling the key users, such as WSPs, to prepare realistic sector strategies and investment projects specifically for low-income areas.

2. Through this project, UN-HABITAT is **generating strong leverage** on a total committed WSTF finance stream of Euro15.5m (from the EU and KfW). Maji Data has the potential to become a key resource to influence and assist in the programming of the very substantial pipeline of urban sector investment described in earlier sections of this report.

3. The Annex B to the Agreement of Cooperation (CA) the Maji Data database shows that the first six months of the project should also include design of data entry concepts, database programme and user interface. The consultants were informed that a database expert has been assigned and the development of the database has just started. This would imply that the database will be ready when the data collection exercise has been completed in all planned towns and areas. Hence the collected information will be entered into the system, processed and disseminated towards the end of the project period.

**There is a significant risk that the information products do not match the requirements or expectations of users of the data.** It would have been preferable to develop the database and at the initial stage of the project so that the database system and associated information products (GIS, graphs, data and so on) could have been tested as a basis for possible adjustments and tuning of the methodology and scope of the data collection exercise. Provision of sample outputs need to be developed as soon as possible.

4. Both the Water and Sanitation Programme (2003) and the WSTF Strategic Plan (2008-12) have high

ambitions concerning the development of pro-poor and gender sensitive governance frameworks for the urban WATSAN sector. It is essential to have in place an information system that will capture the achievements of the gender mainstreaming in terms of relevant indicators and data collection methods.

It is therefore **recommended that it is vital to ensure that Maji Data collects adequate pro-poor and gender-specific baseline information** to ensure that impacts in these areas of WATSAN Projects can be effectively monitored and followed up.

**5. A significant issue that has not been resolved is the future hosting of Maji Data and responsibilities for updating, maintaining and financing the database.** Maji Data is being developed and hosted by the secretariat of the WSTF which, being an externally-funded entity, may be an institution of limited longevity. Experience from the development of similar databases is that finding a suitable long-term home and creating incentives which enable the database to be used and maintained, are critical success factors. Frequent mistakes in database development are to expend extensive efforts on data collection and insufficient effort on maintaining the asset, especially when the individuals and agencies with initial ownership have moved on.

The consultants discussed with different stakeholders and institutions the most suitable future home for the Maji Data system.

A common opinion was that the Water Services Regulatory Board (WASREB) would be the most appropriate host institution for future management of Maji Data.

Two key arguments for this are:

- Gathering this type of information and knowledge system is fundamental for WASREB in performing its strategic objectives, which include the establishment of “effective information and communication systems to facilitate public awareness on water supply and sanitation services”. So the information is likely to be used.
  - WASREB has regulatory powers which could be used as an incentive for service providers to provide required data.
6. The issue about **future host institution and maintain 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.**
  7. The **verification of the actual impacts of the Maji Data project needs to wait until the system starts disseminating the information and data product.** An assessment is needed as to whether these are found to be useful for sector service providers, policy-makers and investors. Verification should also take account of the prospects for effective, updating hosting and future financing of the database.

# Summary of Findings and Recommendations

## FINDINGS

- UN-HABITAT's main Kenya focus
  - solutions to serving the informal urban poor in cities and small towns and improving sector information
  - are widely recognised as critically important issues
- UN- HABITAT's main project activities on the ground show innovation and are making a substantial strategic impact from a small investment
- UN- HABITAT's pilot projects have an impressive leverage effect on follow-up and complementary investments
- There is a close linkage between Kenya project outcomes and the planned WSTF results
- The main achieved impacts are: developing strategic approaches and tools, and demonstrations of what can be done, rather than direct impacts on numbers served, such as helping achieve the WSS MDGs, or in institutional development
- Successful gender assessments in the field and basic gender training workshops in partnership have been undertaken with the Gender and Water Alliance (GWA) - some of which have taken place in the LVWATSAN operational areas. However, no gender training workshop has been organised in the Kibera project (for more details see the Gender Thematic Assessment report)
- As a country programme, UN-HABITAT's Kenya activities lack an overall coherence and strategy
- UN- HABITAT's implementation approach insufficiently reflects or supports the main Kenya sector reform process. The reforms have put in place: WSBs, WSPs and a regulator as the key institutions influencing sector investment and improving sustainable service access by the poor. The three UN-HABITAT projects analyzed are implemented by an NGO, a regional project unit and a trust fund – all marginal bodies to Kenya's key service management institutions serving the urban poor. Scale is best achieved by supporting one coherent system, rather than "going it alone" and continuing a sector characterized by a vertical series of agency "cylinders".
- UN- HABITAT country strategies should focus more explicitly on helping utilities to deliver on WOP and help build impact and service sustainability
- The "Quick Impact Approach" is a powerful approach in terms of achievement of rapid and sustainable results on the ground
- **Observation on UN-HABITAT project design:** The 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 - required to facilitate a sound impact assessment.



## RECOMMENDATIONS

- 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: monitoring information – WASREB; pro-poor investment – WSBs and WSPs. In future phases, shift 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 should be analysed on the basis of the achievements interventions in other projects
- UN-HABITAT should establish a systematic impact monitoring arrangement for oversight over the entire project management cycle (i.e. how projects are being created planned, approved, and monitored). This process will normally 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.

# ANNEXES

## ANNEX 1: PEOPLE MET IN KENYA IMPACT STUDY

| NAME                 | DESIGNATION  | PHONE           | E-MAIL                                  |
|----------------------|--|-----------------|---|
| <b>UN-HABITAT HQ</b> |  |                 |   |
| Bert Diphoom         | A/Director, HFSD   |                 | <i>bert.diphoom@unhabitat.org;</i>      |
| Graham Alabaster     | Chief, Water and Sanitation Section I, WSIB HFSD         |                 | <i>Graham.Alabaster@unhabitat.org</i>   |
| Robert Goodwin       | Chief Lake Victoria Region WATSAN Initiative WSIB HSFSD  |                 | <i>Robert.Goodwin@unhabitat.org</i>     |
| Daniel Adom          | CTA, Water for African Cities, WSIB I, HSFSD             |                 | <i>Daniel.Adom@unhabitat.org</i>        |
| Inam Ullah           | Monitoring, Evaluation and Policy Advisor HSFSD          |                 | <i>Inam.Ullah@unhabitat.org</i>         |
| Harrison Kwach       | National Officer Kenya WSIB I UN-HABITAT                 |                 | <i>Harrison.kwach@unhabitat.org</i>     |
| Kibera field visit   |  |                 |   |
| Patrick Mbuvi        | SEC ORI Secretary  | 0726-251460     | <i>mbuvisonpat@yahoo.com</i>            |
| Francis O. Ombuor    | Secretary SEC  | 0714142321      | <i>francisomoudio@yahoo.com</i>         |
| Jeckonia Onyango     | Road Chairman  |                 |   |
| Nancy Githaiga       | Maji na Ufanisi  |                 | <i>Nancy.githaiga@majinaufanisi.org</i> |
| Esther Wikuru        | Maji na Ufanisi  |                 | <i>Esther.wikuru@Majinaufanisi</i>      |
| Tekaliga Tsige       | UN-HABITAT   |                 | <i>tekaliga.tzige@unhabitat.org</i>     |
| Eng. Peter Mangiti   | Head Donor Coordination Ministry of Water and Irrigation | 0722-522584     | <i>pmangiti@water.go.ke</i>             |
| Dennis Mwanza        | Sr. Water and Sanitation Specialist WSP, World Bank      | 254-726 175 958 | <i>dmwanza@worldbank.org</i>            |
| Patrick Mwangi       | Sr. Water and Sanitation Specialist WSP, World Bank      | 254726-502-711  | <i>pmwangi2@worldbank.org</i>           |

| NAME                    | DESIGNATION                                       | PHONE          | E-MAIL                                    |
|-------------------------|---|----------------|---|
| <b>Maji Data</b>        |   |                |   |
| Han Seur                | Team Leader GFA Consulting Group                  | 254-733440521  | <i>hanseur@hotmail.com</i>                |
| Anastasia M. Wahome     | IT Consultant                                     | 254-722-838093 | <i>anastasia.mumbi@yahoo.com</i>          |
| Eng. Robert N. Gakubia  | CEO Water Services Regulatory Board (WASREB)      | 254-733-703638 | <i>mgakubia@yagoo.com</i>                 |
| Ms. Bernadette Njoroge  | Corporate Services Manager                        |                |   |
| Ms. Angela Kimani       | Economist   |                |   |
| Fabian Rabe             | Project Manager KfW                               | 254-722200-060 | <i>florian.rabe@kfw.de</i>                |
| Anna Tufvesson          | First Secretary Embassy of Sweden                 | 254-733639321  | <i>anna.tufvesson@foreign.ministry.se</i> |
| Eng. Lawrence W. Mwangi | Chief Executive Officer Athi Water Services Board | 254-735375695  | <i>lwmwanga@awsboard.go.ke</i>            |
| Eng. John M. Muiruri    | Chief Manager Athi Water Services Board           | 254-735375-695 | <i>jmuiruri@awsboard.co.ke</i>            |
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**MSF meeting Homa Bay Date: 17 – 11 – 2009 Venue: Homa Bay Municipal council Chambers**

| No | NAME               | DESIGNATION & ORGANIZATION          | EMAIL & PHONE NUMBER                      |
|----|--------------------|-------------------------------------|---|
| 1  | Onyango P. O.      | Town Engineer HBMC                  | 0720797652 <i>Kittam2010@yahoo.com</i>    |
| 2  | Geoffrey Maritim   | D/Town Clerk                        | 0722 836 181                              |
| 3  | Kwamanga Francis   | Public Health Officer               | 0720 885 792                              |
| 4  | Faith Naylor       | Environmental Watch Programme       | 0738 105 785 <i>naylorfaith@yahoo.com</i> |
| 5  | Henry O. Okidih    | E. W. PC Homa Bay                   | 0724224631                                |
| 6  | Jacktone A. Olielo | Prov. Adm. Ass. Chief               | 0710292238                                |
| 7  | Edward Ouma        | Secretary MCS                       | 0723096004                                |
| 8  | Cosmas Wambua      | Clerk of works – LVWATSAN           | 0721304993                                |
| 9  | Irene Gai          | SANA – Community Operations officer | 0727597413 <i>haimmig@yahoo.com</i>       |
| 10 | Robert K. O. Lango | Prov. Adm. Ass. Chief               | 0711757195                                |



| No | NAME               | DESIGNATION & ORGANIZATION             | EMAIL & PHONE NUMBER                       |
|----|--------------------|--|--|
| 11 | Rollins Dickence   | Sec. Revolving fund                    | 0726673566 <i>rollins.orenda@yahoo.com</i> |
| 12 | Samwel O. Nyauke   | MSF – Secretary                        | 0736226655                                 |
| 13 | Joseph O. Ongoro   | MD SNWSC                               | 0721260318                                 |
| 14 | Isaac Felix Olwero | Town Clerk – MCH                       | 0724522461                                 |
| 15 | Cllr. Henry Oginga | Planning & Education Chairman          | 0725206078 <i>Oginga07@yahoo.com</i>       |
| 16 | Cllr. Shem O. Omia | D. Mayor                               | 0710907932                                 |
| 17 | T. Daurnhang       | UN – Habitat Consultant                |  |
| 18 | Elizabeth Ogolla   | Micro Credit Treasurer                 | 0724663336                                 |
| 19 | Angela Hakizimana  | UN Habitat                             | 254-20-7-62 3985                           |
| 20 | Laban Onongno      | UN Habitat - CTA(K)                    | 0722722929                                 |
| 21 | Ademba D. O.       | Technical Manager – SNWS Ltd           | 0724035487                                 |
| 22 | Janet A. Ayugi     | CDA (HBMC) Gender Desk Office          | 0724455870 <i>ayugijanet@yahoo.com</i>     |
| 23 | Joyce A. Onyuka    | Chairperson; Micro – credit sanitation | 0724673666                                 |
| 24 | Askine Kadison     | MCS                                    | 0720581328                                 |
| 25 | Dorine A. Nyaoro   | Chairlady Koginga WG                   | 0729150965                                 |
| 26 | Mary Abich         | Rapar W.G Chairlady                    | 0760535141                                 |
| 27 | Ruth Odhiambo      | Wokan W.G. Chairlady                   | 0728550328                                 |

## ANNEX 2: PROJECT LFA FOR KIBERA SLUM UPGRADING

| LFA for WATSAN Programme Document 2003   |  | Kibera Slum Upgrading <sup>1</sup>   |  |
|--|--|--|--|
| Goal   |  | Goal   |  |
| <p>The goal of UN-HABITAT Water and Sanitation Programme, supported by the Trust Fund, is to contribute to the <b>achievement of the internationally agreed goals</b> related to water and sanitation in human settlements with particular focus on the urban poor in order to facilitate an equitable social, economic and environmental development. (MDGs).</p> |  | <p>Contribute to the improvement of livelihoods of urban poor in the village by supporting small scale community based water, sanitation and waste management initiatives.</p> |  |
| Development Objective  | Strategic Outcome  | Development Objective  | Strategic Outcome  |
| <p>To support developing countries to achieve sustainable <b>access to safe drinking water and basic sanitation</b> for the poor, particularly in urban areas.</p>   | <p>Enabling environment in human settlements created, particularly in urban areas, to facilitate pro-poor, gender sensitive water and sanitation investment.</p> <p>Enhanced participatory involvement of local authorities and communities in WATSAN activities.</p> <p>Increased access to safe drinking water and basic sanitation with special emphasis for the urban poor in participating countries.</p>                               | <p>- Contribute to the ongoing Kenya Slum Upgrading Initiative which is a collaborating project between UN-HABITAT and Kenya Government.</p>                                   | <p>- Contribute to the overall achievement of the MDG targets by benefiting the urban poor.</p>  |
| Activities   | Outputs  | Activities   | Outputs  |
| <p><b>100. Normative Activities</b><br/>Development of <b>pro-poor</b> and <b>gender</b> sensitive <b>governance</b> frameworks, including policy options, norms, standards and management toolkits, for the urban WATSAN sector.</p>  | <p>Human settlement dimension incorporated in the World Water a) Development Reports, Water and Sanitation in the World's Cities (mandated triennial report of UN-HABITAT) published and pro-poor and gender focused governance frameworks available and in use.</p> <p>Enhanced awareness of WATSAN issues and application of guide documents, norms standards and toolkits by the water and sanitation sector and UN-HABITAT partners.</p> | <p>Enhance community management capacity (awareness creation, mobilisation of beneficiaries to form water and sanitation (WATSAN) management committees).</p>                  | <p>Enhanced application of norms, standards, and management tool-kits on pro-poor governance, pricing and financing, Water Demand Management, Water Quality Management, and Sanitation Technologies.</p> |

| Activities   | Outputs   | Activities   | Outputs   |
|--|---|--|---|
| <p><b>200. Operational Activities:</b></p> <p>Facilitate pro-poor, gender sensitive <b>investment</b> through regional WATSAN programmes (Advocacy, awareness raising, value-based water education, <b>capacity building</b> and training, and gender mainstreaming and demonstration activities).</p> | <p>Strategic partnerships among key WATSAN stakeholders (UN, development banks, donors, urban centres, utilities, NGOs, and communities) to promote increasing levels of investment in the WATSAN sector of participating countries.</p> <p>WATSAN sector stakeholders trained and enabled to develop, provide and manage improved WATSAN services.</p> | <p>Support the community to improve accessibility and drainage system in Soweto East (2.5 km road, two bridges and 1.8 km storm water drains, 2 foot bridges).</p> <p>Support the community to improve accessibility to water and sanitation facilities in Soweto East (50 m water connection piping, eight public VIP pit latrines with bath rooms including eight elevated water storage tanks (10m<sup>3</sup>), garbage cubicles, for waste transfer, management structure).</p> <p>Small scale door to door waste collection and recycling demonstration set-up (three solid waste and two recycling sites, waste collection equipment, income generation projects, source separation, three garbage cubicles exchange programme between Kibera Project and Mukuru Recycling Centre).</p> | <p>Improvement of the WARSAN sector in the settlements leading to an improved environment for pro-poor governance.</p>      |
| <p><b>300. Replicable Model-setting Initiatives:</b></p> <p>Provide strategic support to pro-poor, gender sensitive initiatives at the local level with a focus on participatory involvement of local communities.</p>   | <p>WATSAN institutions in participating countries able to replicate local initiatives as a consequence of increased investment flows and with the involvement of local communities.</p>   | <p>The responsibility of scaling up the Kibera WATSAN interventions is assigned to the Kibera Support Programme implemented through Athi Water Services Board (AWSB) in collaboration with Africa Development Bank (AfDB).</p>   | <p>Scaling up and replication of the WATSAN achievements in three villages in Kibera.</p>                                   |
| <p><b>400. Monitoring Activities:</b></p> <p><b>Monitor</b> progress towards WATSAN MDG- WSSD targets.</p>   | <p>WATSAN institutions in participating countries develop enhanced capacity to track progress towards internationally agreed targets based on improved information systems and enhanced monitoring frameworks.</p>  | <p>Establishment of a community Information Communication Technology ICT Centre to enable the community in Soweto East Village to access information.</p>  | <p>Engender improved knowledge and understanding of the status of WATSAN coverage and service provision in urban areas.</p> |

## ANNEX 3: PROJECT LFA FOR LVWATSAN

| LFA for WATSAN Programme Document 2003   |  | LVWATSAN   |   |
|--|--|--|---|
| Goal   |  | Goal   |   |
| <p>The goal of UN-HABITAT Water and Sanitation Programme, supported by the Trust Fund, is to contribute to the <b>achievement of the internationally agreed goals</b> related to water and sanitation in human settlements with particular focus on the urban poor in order to facilitate an equitable social, economic and environmental development. (MDGs).</p> |  | <p>Stated goals (from various sources):</p> <p>Improve the living conditions of the people living and working in the targeted urban centres that play an important role in the economic development of the region; and (ii) environmental conditions while controlling pollution of Lake Victoria as a result of rapid urbanisation in the region.</p> <p>Support secondary urban centres in the LV region to enable them to achieve the MDGs and generally to contribute to an equitable and sustainable development – economic, social, and environmental - of the LV Region to the benefit of the people living in the area.</p> <p>“Rehabilitate and improve physical infrastructure in seven pilot towns in the three countries while building the necessary institutional capacity to improve water governance and ensure long-term sustainability of the physical interventions.”<sup>2</sup></p> |   |
| Development Objective  | Strategic Outcome  | Development Objective <sup>3</sup>   | Strategic Outcome   |
| <p>To support developing countries to achieve sustainable <b>access to safe drinking water and basic sanitation</b> for the poor, particularly in urban areas.</p>   | <p>Enabling environment in human settlements created, particularly in urban areas, to facilitate pro-poor, gender sensitive water and sanitation investment.</p> <p>Enhanced participatory involvement of local authorities and communities in WATSAN activities.</p> <p>Increased access to safe drinking water and basic sanitation with special emphasis for the urban poor in participating countries.</p> | <p>Support pro-poor water and sanitation investments in the secondary urban centres in the Lake Victoria Basin.</p> <p>Build institutional and human resources capacities at local and regional levels for the sustainability of improved water and sanitation services.</p> <p>Facilitate the benefits of upstream water sector reforms to reach the local level in the participating urban centres.</p> <p>Reduce the environmental impact of urbanisation in the Lake Victoria Basin.</p> <p>Reduce the environmental pollution load from wastewater, solid waste and sanitation.</p>   | <p>- Contribute to the overall achievement of the MDG targets by benefiting the urban poor.</p> |

| Activities   | Outputs   | Activities  | Outputs  |
|--|---|---|--|
| <p><b>100. Normative Activities</b></p> <p>Development of <b>pro-poor</b> and <b>gender sensitive governance</b> frameworks, including policy options, norms, standards and management toolkits, for the urban WATSAN sector.</p>  | <p>Human settlement dimension incorporated in the World Water Development Reports, Water and Sanitation in the World's Cities (mandated triennial report of UN-HABITAT) published and pro-poor and gender focused governance frameworks available and in use.</p> <p>Enhanced awareness of WATSAN issues and application of guide documents, norms standards and toolkits by the water and sanitation sector and UN-HABITAT partners.</p> | <p><b>Activity 1:</b> Fully equipped and operational Project Office for daily operational management of the Initiative including adequate management and monitoring framework for immediate interventions.</p> <p><b>Activity 2:</b> Development of Action Plan for institutionalising Multi-Stakeholder Forum (MSF) Including budgeting; communication, human resources and legal issues in coordination with UN-HABITAT.</p>  | <p><b>Output 1:</b> Fully equipped and operational project office in place.</p> <p><b>Output 2:</b> Action Plan for institutionalising Multi-Stakeholder Forum (MSF) Developed.</p>      |
| <p><b>200. Operational Activities:</b></p> <p>Facilitate pro-poor, gender sensitive <b>investment</b> through regional WATSAN programmes (Advocacy, awareness raising, value-based water education, <b>capacity building</b> and training, and gender mainstreaming and demonstration activities).</p> | <p>Strategic partnerships among key WATSAN stakeholders (UN, development banks, donors, urban centres, utilities, NGOs, and communities) to promote increasing levels of investment in the WATSAN sector of participating countries.</p> <p>WATSAN sector stakeholders trained and enabled to develop, provide and manage improved WATSAN services.</p>   | <p><b>Activity 3:</b> Assistance in the implementation of immediate interventions in areas jointly agreed with UN-HABITAT</p> <p>An effective, transparent, financial management system in place for revenue gained from provisions of service for the immediate and long-term interventions, to cover O&amp;M needs of the assets created by UN-HABITAT.</p> <p><b>Activity 4:</b> Capacity building on district financing and pro-poor governance:</p> <p>Capacity-building needs assessment.</p> <p>Proposal for institutional reform for improved services within its areas.</p> <p>Identify areas of collaboration with the local Water Services Provider in order to extend the delivery of WATSAN to low income communities.</p> | <p><b>Output 3:</b> Immediate interventions in agreed areas finalised</p> <p><b>Output 4:</b> Capacity building activities on district financing and pro-poor governance undertaken.</p> |



| Activities  | Outputs  | Activities  | Outputs |
|---|--|---|---------|
| <p><b>300. Replicable Model-setting Initiatives:</b><br/>Provide strategic support to pro-poor, gender sensitive initiatives at the local level with a focus on participatory involvement of local communities.</p> | <p>WATSAN institutions in participating countries able to replicate local initiatives as a consequence of increased investment flows and with the involvement of local communities.</p>                            | <p><b>Consultants' comments: The "Quick Impact Approach" with combined and rapid efforts of (i) undertaking immediately needed repair works with limited investments and (ii) establishing the MSF and institutional strengthening is actually the most powerful feature of the whole project. However, this dimension has not been emphasised in the CA or project planning documents.</b></p> |         |
| <p><b>400. Monitoring Activities:</b><br/><b>Monitor</b> progress towards WATSAN MDG- WSSD targets.</p>   | <p>WATSAN institutions in participating countries develop enhanced capacity to track progress towards internationally agreed targets based on improved information systems and enhanced monitoring frameworks.</p> | <p>Part of above activities.</p>  |         |

## ANNEX 4: PROJECT LFA FOR MAJI DATA

| LFA for WATSAN Programme Document 2003   |   | Maji Data <sup>4</sup>   |   |
|--|---|--|---|
| Goal   |   | Goal   |   |
| <p>The goal of UN-HABITAT Water and Sanitation Programme, supported by the Trust Fund, is to contribute to the <b>achievement of the internationally agreed goals</b> related to water and sanitation in human settlements with particular focus on the urban poor in order to facilitate an equitable social, economic and environmental development. (MDGs).</p> |   | <p>The main objectives of the Maji Data are:</p> <ul style="list-style-type: none"> <li>- To contribute to the efforts to reach the MDGs with respect to sustainable water supply and sanitation facilities for the poor urban communities in Kenya by establishing an appropriate baseline database on all low-income urban areas.</li> <li>- To enable the sector authorities and service providers to assess the WSS situation and the impact of the WSTF-funded and other projects and their contribution to the attainment of the MDGs and the objectives specified in the Vision 2030 document.</li> </ul> |   |
| Development Objective  | Strategic Outcome   | Development Objective  | Strategic Outcome   |
| <p>To support developing countries to achieve sustainable <b>access to safe drinking water and basic sanitation</b> for the poor, particularly in urban areas.</p>   | <p>Enabling environment in human settlements created, particularly in urban areas, to facilitate pro-poor, gender sensitive water and sanitation investment.</p> <p>Enhanced participatory involvement of local authorities and communities in WATSAN activities.</p> <p>Increased access to safe drinking water and basic sanitation with special emphasis for the urban poor in participating countries.</p>                            | <p>Make data available to all water sector stakeholders in Kenya so that the water supply and sanitation situation in our urban areas can be improved. Developing and implementing tailor-made water supply and sanitation solutions for these areas requires having access to detailed data.</p>  | <p>Maji Data is an essential tool to Monitor the impacts of projects.</p> <p>Monitor the progress made towards reaching the MDGs.</p> <p>Prepare for the up-scaling of programmes which aim to reach the urban poor.</p> <p>Prepare water supply and sanitation project proposals targeting low income urban areas.</p> |
| <p>100. Normative Activities</p> <p>Development of <b>pro-poor</b> and <b>gender sensitive governance</b> frameworks, including policy options, norms, standards and management toolkits, for the urban WATSAN sector.</p>   | <p>Human settlement dimension incorporated in the World Water Development Reports, Water and Sanitation in the World's Cities (mandated triennial report of UN-HABITAT) published and pro-poor and gender focused governance frameworks available and in use.</p> <p>Enhanced awareness of WATSAN issues and application of guide documents, norms standards and toolkits by the water and sanitation sector and UN-HABITAT partners.</p> | <p><b>Suggested by consultants:</b></p> <p>Transfer the Maji Data database and operations to Water Services Regulatory Board (WASREB) and to provide transition support to ensure adequate capacity and sustainability.</p>  | <p><b>Suggested by consultants::</b></p> <p>Strengthen the WASREB (as the key regulatory WATSAN sector authority in Kenya) perform its strategic objectives related to "effective information and communication systems to facilitate public awareness on water supply and sanitation services".</p>                    |

| Activities  | Outputs   | Activities  | Outputs   |
|---|---|---|---|
| <p><b>200. Operational Activities:</b><br/>Facilitate pro-poor, gender sensitive <b>investment</b> through regional WATSAN programmes (Advocacy, awareness raising, value-based water education, <b>capacity building</b> and training, and gender mainstreaming and demonstration activities).</p> | <p>Strategic partnerships among key WATSAN stakeholders (UN, development banks, donors, urban centres, utilities, NGOs, and communities) to promote increasing levels of investment in the WATSAN sector of participating countries.</p> <p>WATSAN sector stakeholders trained and enabled to develop, provide and manage improved WATSAN services.</p> | <p><b>Suggested by consultants::</b><br/>To provide Water Services Trust Fund and other investors and funding agencies to evaluate and prioritize pro-poor project proposals according to a set of criteria (number of people served, per capita investment cost, current water supply situation and so on.).</p>   | <p><b>Suggested by consultants::</b><br/>Valuable knowledge and information that will benefit pro-poor urban WATSAN investments in Kenya financed by the major donors and the Government (in the order of several hundred million Euros).</p>   |
| <p><b>300. Replicable Model-setting Initiatives:</b><br/>Provide strategic support to pro-poor, gender sensitive initiatives at the local level with a focus on participatory involvement of local communities.</p>   | <p>WATSAN institutions in participating countries able to replicate local initiatives as a consequence of <b>increased investment flows</b> and with the involvement of local communities.</p>  |   |   |
| <p><b>400. Monitoring Activities:</b><br/><b>Monitor</b> progress towards WATSAN <b>MDG</b>-WSSD targets.</p>   | <p>WATSAN institutions in participating countries develop enhanced capacity to track progress towards internationally agreed targets based on improved information systems and enhanced monitoring frameworks.</p>  | <p>Develop, test and adopt data collection approaches and tools.</p> <p>Collect together with WSBS, WSPs, local authorities and residents of low-income areas detailed data on all low-income urban areas in Kenya.</p> <p>Design and develop a pro-poor urban database, Maji Data, to serve the data needs and requirements of all sector stakeholders – MWI, WSTF, WSBS, WSPs, WASREP, Ministry of Health, International development agencies and NGOs.</p> <p>Anchor the Maji Data firmly in the Water Sector institutions in such a way that it will be updated on a regular basis (ownership).</p> | <p>Data collection tools, methods and techniques developed and tested and Maji Data database designed and tested including data entry concept, programme and user interface.</p> <p>Comprehensive data collection in all targeted towns and areas.</p> <p>Maji Data manuals prepared, the Maji Data finalised and presented (results disseminated, process and potential use elaborated on, responsibility for updating decided, helpdesk established).</p> |



## ANNEX 5: COMPARISON OF STRATEGIC FRAMEWORK FOR THE WATER AND SANITATION PROGRAMME (2003) AND THE WSTF STRATEGIC PLAN (2008-12)

| Element  | LFA for Programme Document 2003  | LFA for WSTF Strategic Plan 2008-12   |  |   |
|--|--|---|--|---|
| <b>Goal</b>                                    | The goal of UN-HABITAT Water and Sanitation Programme, supported by the Trust Fund, is to contribute to the achievement of the internationally agreed goals related to water and sanitation in human settlements with particular focus on the urban poor in order to facilitate an equitable social, economic and environmental development. | Partner countries in Asia, Africa, Latin America and Caribbean region<br>progressively on path to attain Millennium Development Goals related to water and sanitation.  |  |   |
|  | <b>Development Objective</b>   | <b>Strategic Outcome</b>  | <b>Development Objective/</b>  | <b>Strategic Outcome</b>  |
|  | To support developing countries to achieve sustainable access to safe drinking water and basic sanitation for the poor, particularly in urban areas.   | <ul style="list-style-type: none"> <li>- Enabling environment in human settlements created, particularly in urban areas, to facilitate pro-poor, gender sensitive water and sanitation investment.</li> <li>- Enhanced participatory involvement of local authorities and communities in WATSAN activities.</li> <li>- Increased access to safe drinking water and basic sanitation with special emphasis for the urban poor in participating countries.</li> </ul>                               | To promote, facilitate and demonstrate a hospitable environment for increased access to affordable water and sanitation services and related infrastructure by the urban poor in partner countries.  | Millennium Development Goal 7, target 10 and 11.<br>Increased number of urban poor provided with access to affordable and environmentally sustainable water and sanitation and related infrastructure compared to baseline. |
|  | <b>Activity Sets/Outcomes</b>  | <b>Outputs</b>  | <b>Activity Sets/Outcomes</b>  | <b>Outputs</b>  |
| Activity Sets/ Outcomes and associated Outputs | 100. Normative Activities<br>Development of <b>pro-poor</b> and <b>gender</b> sensitive <b>governance</b> frameworks, including policy options, norms, standards and management toolkits, for the urban WATSAN sector.   | <ul style="list-style-type: none"> <li>- Human settlement dimension incorporated in the World Water Development Reports, Water and Sanitation in the World's Cities (mandated triennial report of UN-HABITAT) published and pro-poor and gender focused <b>governance</b> frameworks available and in use.</li> <li>- Enhanced awareness of WATSAN issues and application of guide documents, norms standards and toolkits by the water and sanitation sector and UN-HABITAT partners.</li> </ul> | <b>Outcome 1.</b> Increased <b>institutional capacity</b> in partner countries for advocating/ promoting and implementing <b>pro-poor</b> water and sanitation initiatives and policies with focus of <b>gender</b> equity, renewable energy and efficiency, and environmental sustainability. | (No Outputs cited)  |

|  | Activity Sets/Outcomes  | Outputs  | Activity Sets/Outcomes  | Outputs  |
|--|---|--|---|--|
|  | <p><b>200. Operational Activities:</b></p> <p>Facilitate pro-poor, gender sensitive <b>investment</b> through regional WATSAN programmes (Advocacy, awareness raising, value-based water education, capacity building and training, and gender mainstreaming and demonstration activities).</p> | <ul style="list-style-type: none"> <li>- Strategic <b>partnerships</b> among key WATSAN stakeholders (UN, development banks, donors, urban centres, utilities, NGOs, and communities) to promote increasing levels of <b>investment</b> in the WATSAN sector of participating countries.</li> <li>- WATSAN sector stakeholders trained and enabled to develop, provide and manage improved WATSAN services.</li> </ul> | <p><b>Outcome 2.</b> Increased flow of <b>investment</b> into water and sanitation sector catalyzed by Water and Sanitation Trust Fund interventions.</p>                                 | <ul style="list-style-type: none"> <li>- Strengthened <b>partnership</b> with multilateral and bilateral agencies for increased <b>investment</b> into water and sanitation and other related infrastructure.</li> <li>- Increased demand for investment for community managed water and sanitation projects.</li> <li>- Increased number of financial institutions lending to community-managed water and sanitation projects.</li> </ul>                                   |
|  | <p><b>300. Replicable Model-setting Initiatives:</b></p> <p>Provide strategic support to pro-poor, gender sensitive initiatives at the local level with a focus on participatory involvement of local communities.</p>  | <ul style="list-style-type: none"> <li>- WATSAN institutions in participating countries able to <b>replicate</b> local initiatives as a consequence of increased <b>investment</b> flows and with the involvement of <b>local communities</b>.</li> </ul>  |   | (Not specifically cited).  |
|  | <p><b>400. Monitoring Activities:</b></p> <p><b>Monitor</b> progress towards WATSAN MDG- WSSD targets.</p>  | <ul style="list-style-type: none"> <li>- WATSAN institutions in participating countries develop enhanced capacity to track progress towards internationally agreed targets based on improved <b>information</b> systems and enhanced <b>monitoring</b> frameworks.</li> </ul>  | <p><b>Outcome 3.</b> Improved MDG Development Goals <b>monitoring</b> mechanisms in place in partner countries, with improved benchmarking of water and sanitation service providers.</p> | <ul style="list-style-type: none"> <li>- Reliable and comprehensive <b>information</b> at national level available on access to water and sanitation facilities by urban poor.</li> <li>- Increased participation of target group in planning <b>monitoring</b> and evaluation of water and sanitation projects and utilities.</li> <li>- Increased number of national Governments and local authorities sensitized on use of integrated sector monitoring tools.</li> </ul> |

**(Footnotes)**

- 1 Abstracted from the Agreement of Cooperation between UH-HABITAT and Maji na Ufanisi
- 2 Abstracted from MoU of June 2006 between UN-HABITAT
- 3 Abstracted from CA between UH-HABITAT and Homa Bay District Council.
- 4 Abstracted from the Agreement of Cooperation between UH-HABITAT and Water Service Trust Fund

# 02 KENYA COUNTRY

## WATER AND SANITATION TRUST FUND IMPACT STUDY SERIES

This document is an internal Kenya country impact study of initiatives supported THE UN-HABITAT Water and Sanitation Trust Fund (WSTF). The objective of the WSTF, established in 2003, was to bring in new investment and ideas, expand service coverage for poor urban dwellers and help build momentum for achieving the MDGs.

The impact study reviewed the overall strategy of the WSTF, examined the Kenya country context and the UN-HABITAT country strategy, and undertook an impact study of specific projects. Information was gathered from project documents, interviews with key stakeholders including project beneficiaries, and field visits.

HS/010/11E

ISBN (Series): 978-92-1-132035-0

ISBN (Volume): 978-92-1-132305-4

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