An Evaluation of the UNDP–World Bank Water and Sanitation Program

Report of an Independent Team

February 1996

An Evaluation
of the UNDP–World Bank
Water and Sanitation Program

A Forward-Looking Assessment

February 1996

Abbreviations

ADB	Asian Development Bank
CAM	country assistance management
CCWSS	Collaborative Council on Water Supply and Sanitation
CESI	country external support information
DGIP	Division for Global and Interregional Programmes, United Nations Development Programme
ESA	external support agency
FAO	Food and Agricultural Organisation of the United Nations
GWP	Global Water Partnership
HABITAT	United Nations Centre for Human Settlements
HRD	human resources development
IBRD	International Bank for Reconstruction and Development
IDB	Inter-American Development Bank
IDWSSD	International Drinking Water Supply and Sanitation Decade
ILO	International Labour Organisation
INUWS	Infrastructure and Urban Development Department, Water and Sanitation Division
IPF	indicative planning figure
ITN	International Training Network for Water and Waste Management
MIS	management information system
NGO	nongovernmental organisation
PAHO	Pan American Health Organisation
PPER	project performance evaluation report
PPU	Project Preparation Unit
PRE	Policy, Research and External Relations
PROWWESS	Promotion of the Role of Women in Water and Environmental Sanitation Services
RWSG	Regional Water and Sanitation Group
RWSN	Regional Water and Sanitation Network
RWSS	rural water supply and sanitation
SARAR	self-esteem, associative strengths, resourcefulness, action planning and responsibility

SDT	sector development teams
TAG	Technical Advisory Group
TWUWS	Transportation, Water and Urban Development Department, Water and Sanitation Division
UEST	Urban Environmental Services Team
UN/DTCD	United Nations Department of Technical Cooperation for Development
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
VLOM	village-level operation and maintenance
VPA	Vice-President for Personnel and Administration
WASH	Water and Sanitation for Health Project
WHO	World Health Organisation
WSS	water supply and sanitation

Contents

Preface

The United Nations Development Programme (UNDP)–World Bank Water and Sanitation Program continues a series of joint undertakings by the World Bank and other partners to increase access to safe water supplies and sanitation throughout the world. These efforts began more than two decades ago in joint programs with the World Health Organization (WHO). Today, many international and bilateral donor organizations work with recipient governments through the Water and Sanitation Program toward this same objective. This document reports the results of a delayed mid-term evaluation of a tranche of the Program financed under UNDP Interregional Project INT/92/001. Two regional projects covering Africa and Asia, respectively, support the interregional project (RAF/92/007 and RAS/92/001). There was no regional project document for Latin America. Program operations there were covered by country specific documents. Although the three project documents were not prepared at the same time and the needs of the regions are not the same, there are only minor differences in the projects' objectives. The evaluation, therefore, is based principally on an examination of how well the Interregional Project is meeting its goals.

An independent team carried out a prior evaluation of the Program in 1990–91.[1] Its "Summary of Principal Findings and Recommendations" contains 54 recommendations for Program managers[2] and sponsors. Many of these have been implemented. Others are still in the process of being implemented. Some have not been acted on because Program managers do not consider them appropriate. Annex 1 comments on recommendations from the prior evaluation that are still being implemented or have not been acted on. Some of these are also revisited in this report.

Methodology

The Evaluation Team[3] had two main objectives: (i) to assess implementation of the Program's strategy, identify the main lessons emerging from the use of the strategy as a way to improve access of the poor to services and advise the UNDP and the World Bank on changes that would improve the effectiveness of the strategy and the Program; and (ii) to determine how the key lessons emerging from the evaluation could best be used in the proposed Global Water Partnership.

The Evaluation Team analyzed what has been learned thus far using the 1992 Strategy[4] to address the Program's overall goal of providing sustainable access for the poor to water and sanitation. In particular, the Team looked at: capacity-building (as defined in the 1992 document) with respect to sector institutions, communities and support organizations, especially International Training Network (ITN) centers; the use of alternative approaches (including appropriate technology) to expand service access for the poor; the promotion and support of sustainable investments; as well as the learning process and the development of mechanisms for analyzing and disseminating the lessons gained from experience. The evaluation also reviewed the extent to which the Program's approach has been an effective means of technical cooperation. In this area the Team focused on the Program's decentralized organization and field structure, and its emphasis on using partnerships to work with developing countries and external support agencies.

The evaluation exercise was to have been preceded by tripartite review meetings in Africa and Asia in July and August 1995, held in accordance with UNDP procedures. In preparation for these meetings, Project Performance Evaluation Reports (PPERs) were prepared by the Regional Water and Sanitation Groups (RWSG). The PPERs documented outputs and activities, as well as the extent to which the objectives are being achieved in participating countries in the Program.

The evaluation team undertook its work in the context of the proposed to create a Global Water Partnership. This Partnership is expected to consolidate and build on UNDP and World Bank collaborative efforts, of which the Water and Sanitation Program is the largest and longest running. The Partnership will influence and improve policies, build capacity and generate sustainable investment projects to support integrated water resource management. With its field structure, staff and decentralized operations, the Water and Sanitation Program provides an excellent model for planning and

The Global Water Partnership will influence and improve policies, build capacity and generate sustainable investment projects to support integrated water resource management

implementing the global partnership. Consequently, the Evaluation Team sought to determine which of the lessons that emerge from its examination of the Program are most pertinent to the operation of the Global Water Partnership and, where possible, recommend how Partnership planners should take account of these lessons in planning its own structure, organization, operation and financing.

It is also important to note that the evaluation took place during a period of a declining budget. In effect, the Program was being asked to achieve its objectives with less than the core resources which had been planned at the outset. A major preoccupation of the Program managers at the time of the evaluation was finding the funds to support the work program to which they had commitments before resources were cut.

To begin the evaluation the Team reviewed the project documents to identify the objectives of the current phase and identify indicators that could be used to assess the success of the Program. It was difficult to find these links in project documents. The best statement of expected impacts appears in a section that describes the expected end-of-project situation for each of the Program objectives. Thus, the Team developed indicators to judge each of the end-of-project situations. Annex 2 contains a table summarizing these within the format of a Logical Framework Analysis, along with the Work Program Summary prepared by the Team (these reflect minor modifications made following a presentation to representatives of World Bank and UNDP management in July 1995). In effect, these two documents constitute the revised terms of reference for the Evaluation Team. The Team believes that the lack of clarity in comparing indicators of achievement with project objectives is the result of trying to fit the Program, largely a learning or action research program, into the mold of a standard UNDP project document. The Team recommends that, in the next phase of the Program, management pay greater attention to defining indicators of Program impact that can be used to demonstrate that objectives are being achieved while still keeping in mind the learning nature of the Program.

The Team gathered the information required to evaluate progress against the indicators from a number of sources:
- A review of Program publications and internal documents, including work programs, annual reports, and PPERs prepared by the Regional Water and Sanitation Group (RWSGs) for the tripartite reviews.
- Interviews of managers and staff of the Program, UNDP and the World Bank, as well as of representatives of other donors, government agencies, departments and beneficiaries of projects.

The lack of clarity in comparing indicators is the result of trying to fit the Program into the mold of a standard UNDP project document

■ Participation in tripartite reviews (governments-UNDP-World Bank) of the three UNDP projects held in New Delhi, Jakarta, Nairobi and Abidjan. These had slipped in their timing and were then rescheduled to make participation by the Team possible.

■ Missions to nine countries,[5] where a member of the team conducted a focus-group meeting, visited sites where the Program might have had an impact and interviewed government officials, nongovernmental organizations (NGOs) staff, donor representatives, community leaders and beneficiaries. The names of those who attended the meetings or were interviewed are provided in Annex 3.

■ A questionnaire completed by a number of those who attended the tripartite review meetings, as well as by a wider group of partners familiar with the Program.

Throughout the evaluation the Team used a participative approach to the evaluation. In this way the Team hoped to model the behavior which the Program seeks to help others to adopt. At the tripartite reviews the attendees together conducted a self-evaluation of the Program's performance against the desired end-of-project situation statements with the assistance of Evaluation Team members. Participants found this a useful approach to the tripartite reviews. It also gave evaluators very rich information. Team members followed the same approach when they conducted focus group meetings in the nine countries they visited, and they had similar, positive results.

The Evaluation Team also developed a questionnaire, which was distributed to those who attended the regional and country meetings in Asia and Africa and to others with knowledge of the Program. A series of close-ended questions requested that the progress of the Program be evaluated against end-of-project descriptors. Answers to these questions provided a quantifiable assessment of accomplishments (see figure 2). A second series of open-ended questions provided voluntary comments and more detailed information useful to the evaluators. One hundred responses were analyzed to determine trends. Interpretation of these data is given in the relevant sections of the report.

Early feedback from the evaluation was needed for a number of reasons. First, this mid-term evaluation was late in starting. The Team's report was needed as soon as possible in order to have an impact on the final year in the current tranche of activities. Second, UNDP is planning its next three-year funding cycle. The evaluation

results are an input to decision-making on future support for the Program. Third, the evaluation was proceeding at the same time as discussions were being held on including the Program as a part of the proposed Global Water Partnership. The Team therefore held a briefing on the preliminary findings and recommendations in Washington on November 30. To reach a broader audience, additional briefings were held in New York on December 1 and in Stockholm on December 4. The exchange of views at these briefings helped the Team orient its report to respond to the concerns of the stakeholders. The organizing meeting for the Global Water Partnership was held in Stockholm in early December. A discussion paper presented there on governance of the Partnership included recommendations based on the findings of this evaluation.

Organization of the report

This report is a stand-alone document that puts the current phase of activities in the historic context of the sector and of the Program itself. Chapter 1 provides this setting. Chapters 2, 3, 4, 5 and 6 examine the findings, future issues, challenges and recommendations for each of the main objectives of the Program. These are: Chapter 2: Building National and Local Capacity, Chapter 3: Effectiveness of National Policies, Strategies and Plans, Chapter 4: Impact on Domestic and External Investment, Chapter 5: Systematic Learning and Exchange of Experience and Information and Chapter 6: Sector Coordination and Collaboration.

Under its terms of reference, the Team also needed to examine the efficiency and effectiveness with which the Program is managed and the manner in which it is financed. Reports on these two aspects are presented in Chapter 7: Program Management and Chapter 8: Financing. Finally, Chapter 9, Conclusions and Recommendations, summarizes the principal findings of the Evaluation Team. Detailed recommendations appear in each chapter. Annex 6 presents a complete listing of them.

While the Evaluation Team was preparing this report, the Program was preparing its 1995 Annual Report. The annual report presents a comprehensive picture of the recent activities and current strengths of the Program. Readers of this report will find further information about the Program there.

Acknowledgments

As noted earlier, the Team undertook this evaluation as a participatory exercise. It could not have been successful without the cooperation of many people. Of particular importance was the willingness of governments, UNDP and Program representatives in the regions to agree to modify the usual format of tripartite review meetings, turning them into exercises in participatory self-evaluation. Arrangements made by governments, communities and Program representatives determined the effectiveness of the country visits. Their success was a demonstration of this group's commitment to make the evaluation a useful exercise. The Team came to understand the strengths and weaknesses of the Program through frank exchanges during interviews with staff and managers of UNDP, the World Bank and the Program; the other donors and NGOs; officials and staff of government agencies; and the beneficiaries. We hope that all are mentioned in the list of participants in Annex 3. It would be an impossible task to single out individuals for special mention when so many have been helpful.

Notes

1. "An Assessment of the UNDP–World Bank Water and Sanitation Program," Report of an Independent Team, May 1991

2. The term "Program managers" where used in this text refers to the Program Manager, his Deputy and managers of the Regional Water and Sanitation Groups (RWSGs).

3. Members of the Evaluation Team were: William J. Cosgrove, Eng.; President, Ecoconsult Inc., Montreal, Canada (Team Leader); Jerry Delli Priscoli, Arlington, Virginia, USA; (Mrs.) Mamonaheng Ramonaheng, Acting Chief Housing Officer, Government of Lesotho, Maseru, Lesotho; Roland Schertenleib, Eng. Head SANDEC;EAWAG;Dubendorf/Switzerland; Jack Titsworth, Bethesda, MD, USA; (Mrs.) Budhy Tjajati Soegijoko, Assistant Minister, National Development Planning Agency, Indonesia; Jakarta, Indonesia

4. July 1992, *Improving Services for the Poor: A Program Strategy for the 1990s,* UNDP–World Bank Water and Sanitation Program.

5. Benin, Bolivia, Ethiopia, Ghana, India, Indonesia, Pakistan, Philippines and Uganda

Executive Summary

The UNDP–World Bank Water and Sanitation Program is a continuation of a decades-long effort to improve poor people's access to safe water and sanitation. This document reports the results of an examination of the Program carried out in 1995 by a team of independent evaluators who have analyzed its achievements and shortcomings, and then made recommendations for changes. The team has also attempted to draw lessons from the Program's activities that will benefit the now-forming Global Water Partnership into which the Program will be incorporated.

The origins of the Water and Sanitation Program go back to 1978 when the UNDP and the Bank began to work together to promote low-cost sanitation and water supply solutions for poor people in rural and marginalized urban areas. In subsequent years, through a series of programs and international meetings, emphasis shifted from technical research on equipment such as hand pumps to broader concern about how to get the job done with community participation. This led to a realization that the task could not be accomplished without an effective policy framework, planning and project preparation and that the Program had a role to play in assisting communities and national governments in these areas. Along with the obvious need to consolidate expertise and experience scattered among various programs, these trends led to a 1987 merger of a number of separate projects into a single Water and Sanitation Program.

Since its formation, the Program's mission has evolved and can now be stated as "creating capacity so they can do it themselves." Its focus remains the poor in rural and marginalized urban areas. However, it has increasingly structured projects to support investments in the water and sanitation sector by helping communities and governments develop their capacity to solve problems, to treat water as an economic and a social good and to involve all of the stakeholders in the selection, operation and maintenance of systems. The Program has attracted widespread support and has made major contributions

in many countries. The Evaluation Team recommends without qualification that the Program be continued and serve as a major part of the Global Water Partnership. But, there are several areas of concern and several changes that should be considered.

At the outset of its work the team discovered two significant problems. First, the objectives that have been set for the Program are exceptionally broad and ambitious. With a small staff and dwindling financial resources, the Program is being asked to do too much with too little. Just as important, there is not a clear definition of how the Program is to be measured, how its management or sponsors can demonstrate that any of its objectives are, or are not, being reached. As the Evaluation Team's work progressed through meetings, visits to nine countries, and a questionnaire completed by a large number of people involved in the water and sanitation sector, other themes emerged. For example, although there are important exceptions, the management and staff of the Program are not doing an adequate job of transferring lessons from one community to another. At the same time the Program staff is perceived to be isolated; it has seldom looked outside to learn from the approaches and techniques of others involved in similar activities.

In an effort to measure a program that does not have its own ways of measuring the success of its mission, the Evaluation Team used a variety of Program documents to establish five statements which describe the desired situation at the end of the project, and then made an effort to measure progress toward each of these. The Program's goals and the sum of the Team's conclusions are:

1. *National and local capacity from community level to the government ministerial level will have been strengthened.* Measures to build capacity include extension of participatory training and skills, including greater attention to gender issues; creation and support of national training networks linked into regional and interregional networks; and recruitment of national staff for in-country and regional posts. In many countries the Program has strengthened national and local capacities in the water and sanitation sector. But, there often remains a gap between intent and implementation. Decisions about projects are made by donors and government officials who do not know what the community wants or needs. Responsibilities of ministries and agencies are frequently conflicting and overlapping, a situation that project managers sometimes attempt to remedy by proposing a parallel structure of nongovernmental organizations (NGOs). The Program must review its efforts to build capacity at all levels, to develop and disseminate models that demonstrate how to increase the ability of users to take care of sys-

tems with a minimum of external help. It also should increase its emphasis on involving the entire community, especially women, on whom the heaviest burden of inadequate facilities often falls.

2. Participating countries will have made significant progress in shifting sector policies and strategies away from government-driven, top-down approaches towards decentralized, demand-driven, bottom-up approaches that legitimatize a variety of options for provision of services to the poor. The Program's workplans for 1991–95 include projects to help develop policy in 16 countries, strategy in 22 countries, and actual plans in 24. The Program has successfully accomplished much of this. It has provided policy development and planning assistance on national, regional and municipal levels, and has helped plan missions targeted at specific issues, such as investment or the involvement of women. But, adoption and implementation of these plans has varied widely. In some cases, including Ghana and Benin, policies have been implemented. In Pakistan implementation is slow. The Program must identify the reasons for the gaps or lags between plans and action. It should also develop a group of case studies that illustrate how a country or community has accomplished its goal. And it should sponsor tours so that politicians and sector administrators from a country that does not have a working policy framework can visit and learn from a country that does.

3. Qualitative improvements will have been made in the design and implementation of large-scale, sustainable, investment projects targeting the rural and urban poor, funded by the World Bank, the regional development banks and other donors, as a result of Program inputs. Although there have been missed opportunities and a fairly general failure to attract investment from private enterprises, the Program has had a positive effect on investments in the sector. It has been invaluable in assisting in donor coordination and collaboration and has influenced the approach taken to project design by the World Bank and others. It has developed new approaches to community financing schemes and developed strategies that have generated new investment. But, the Program can play a more positive role in coordinating and streamlining plans for projects. Some bilateral donors believe that the Regional Water and Sanitation Groups (RWSGs) through which the Program carries out much of its work, are not sufficiently linked to their programs or the programs of other donors. The Evaluation Team believes that the Program must play a more focused and strategic role, that this might increase the rate of investment. It should give greater priority to micro-level preparation of investment programs: proposals, financing schemes and pilot and demonstration projects. And it should advocate

financing of demonstration programs by the Bank and the regional development banks since such programs are essential precursors to larger, more expensive projects.

4. *A systematic learning process for testing new approaches to sector development, monitoring the results and feeding them back into the sector development process will have been developed and institutionalized in most of the participating countries.* This is the weakest element of the Program. There is little focus on systematic learning, identifying topics and questions to be studied during an on-going project to learn and improve on the project. There is also resistance to studying and drawing lessons from the work of others. At the same time the Program has not used its information staff properly, and budget cuts have further hampered the publication and distribution of information. Lessons learned from projects have not been communicated broadly. Even when publications on the transfer of replicable models have been produced, there has been no systematic effort to learn whether the material is useful or used effectively.

5. *Sector coordination will have been significantly improved.* The Program has had a positive effect on sector coordination within countries by involving and working with agencies and organizations on specific projects. Generally viewed as an independent organization with a special relationship with the World Bank, it can serve as a channel for informal and non-threatening communication between government agencies on one side and community organizations and private enterprises on the other. But, it has not exploited this advantage as much as it could. It has not often initiated coordination activities beyond the country level. And several government agencies and non-government groups complain that it does not involve them or collaborate with them sufficiently. Among other steps, the Program should take a stronger lead in initiating and developing coordination and communications among all the players in the sector, especially in connection with the planned establishment of regional organizations within the Global Water Partnership. This initiative could include clearly defining its own role in the sector, thus encouraging other agencies, including UNICEF, WHO and the regional banks to define their respective roles.

Management staffing and style

Part of the job of the Evaluation Team was to look at the way in which the program is managed, staffed and structured. The team found a shortage of staff at headquarters and in some regions, signs

of low morale, high employee turnover and a need for a full review of management policies, procedures and style. If the Program is to be the flagship of the new Global Partnership, it needs strengthening as quickly as possible. The team has made a number of recommendations in this area. A few are:

■ The Program had no current mission statement except for one developed by the Evaluation Team itself. One must be developed and agreed upon.

■ There have not been reviews, even at the end of the fiscal year, to evaluate progress against work plans. Reviews of performance against goals should be held at least semi-annually, if not quarterly.

■ Means of measuring whether Program activities are making a difference in the lives of the disadvantaged must be developed and promulgated.

■ Personnel policies, now set according to Bank rules, as well as work methods and procedures should be designed to be more suitable to the work and style of the Program.

■ Opportunities for career development of staff members must be improved.

■ Regional groups should be strengthened, perhaps made centers for specialized sector expertise, and given some responsibility for fund raising and liaison with donors in their region.

■ Staffing, structure and systems should flow from strategy and priorities.

Money: declining support

Funding for the Program peaked in 1991 and then declined as disbursements from UNDP dropped by nearly 50 percent. Although there has been some increase in the flow of funds from bilateral donors, the loss has not been offset. In 1995, out of funding of nearly $11.1 million, bilateral donors, now the Program's chief support, contributed $6.4 million. The UNDP provided $3.7 million. Aside from reimbursement for services provided, the World Bank contributed $355,000, only 3.2 percent of the total. The financial situation has been further complicated by ties between UNDP funding and individual regional or interregional projects and, especially, by the tendency of bilateral donors to support specific projects rather than core or headquarters activities, which are now largely underwritten by the Bank's relatively small and UNDP's diminishing contributions.

Program managers tried to keep expenditures in line, but they did not cut back activities fast enough or far enough to bridge a funding gap. By 1995, the Program faced a substantial shortfall in its budget for the current year. Mainly as a result of new commitments of support from a few donors, the program was able to close the gap so that it will be able to continue its activities at their present level until the end of 1996.

In addition to the obvious restrictions on activities, financing problems have contributed to low staff morale, high turnover and a widespread perception among the staff that the Program lacks Bank commitment. Among other difficulties, individuals frequently have to be supported with relatively short-term project funds. Some staff members are never certain whether they will continue to be employed. One other serious consequence is the burden on management time. As much as half of the time of key managers is spent on activities related to fund raising.

The Program's financing problems will also be faced by the Global Water Partnership. Partnership planners have suggested that it funds its activities through a water fund that would be at arm's length from any specific donor and able to attract funding from different sources. The Partnership, however, will not be established until August 1996. In the meantime the Program must find funding. The Team proposes that it consider an adaptation of the water fund concept, with the size based on a strategy agreed on by all donors and a share set aside for the core costs associated with the global learning program. Given the impact of the Program on the capacity of countries to carry out and sustain large projects of the type usually funded by the Bank, the team suggests that the World Bank play a major role in raising the financial support for the Program.

A unique function

In sum, the Evaluation Team concluded that the Program performs a unique function. It is properly focused on providing the world's poor in rural and marginalized urban areas with water and sanitation services. It is trusted by nearly all of its partners as an independent entity that is still close enough to the Bank to influence its decisions. It is accessible and credible. Improvements are possible. In some areas they are critical. But the Program should be continued.

Chapter 1

Program History and Background

In 1980 the World Bank calculated that about two billion people in developing countries, about 45 percent of the world's population, did not have access to safe drinking water and adequate sanitation facilities. It was in this context in 1978 that the UNDP and the World Bank launched the first global project designed to apply more appropriate water and sanitation technologies after decades of uncoordinated donor activity in the water and sanitation sector. At the time both organizations were readying to meet the challenges of the International Drinking Water Supply and Sanitation Decade of the 1980s. Seventeen years later, an estimated 1.1 billion people (75 percent living in rural areas) still do not have safe drinking water. About half of the world's population, 2.9 billion people (80 percent of whom are rural), still lack decent sanitation facilities. And between 3 and 4 million people, including 2.5 million children, die annually from diseases related to inadequate, unsafe sanitation facilities.

At first glance it would appear that little progress has been made. But between 1980 and 1995, the world population grew from 4.5 to 5.7 billion, a 28 percent increase. During the Water Supply and Sanitation Decade alone, one billion people obtained safe drinking water for the first time and more than 750 million gained access to improved sanitation facilities. Since then, progress has continued at a similar pace.

An emerging consensus

The UNDP–World Bank Water and Sanitation Program is rooted in what has been a growing awareness of water and sanitation-related problems and an evolving global consensus on how to deal with these issues. Since the late 1970s there have been a series of international meetings that stimulated this awareness and helped shape the

During the Water Supply and Sanitation Decade alone, one billion people obtained safe drinking water for the first time and more than 750 million gained access to improved sanitation facilities

UNDP–World Bank approach. The first of these was the United Nations Water Conference at Mar del Plata in March, 1977. This meeting was followed by: The Global Consultation of Safe Water and Sanitation for the 1990s held in New Delhi, India in September 1990; the symposium "A Strategy for Water Sector Capacity-Building," held in Delft, The Netherlands in June 1991; International Conference on Water and the Environment, held in Dublin, Ireland in January 1992; United Nations Conference on Environment and Development held in Rio de Janeiro, Brazil in June 1992; Round Table on Water and Health, Sophia Antipolis held in France in February, 1994; and the Ministerial Conference on Drinking Water and Environmental Sanitation held in Noordwijk, The Netherlands in March 1994.

The origins of the Program can be traced to 1978. At that time the UNDP and the World Bank began to collaborate in the promotion of low-cost sanitation and water supply technologies for poor people in rural and marginalized urban areas as an alternative to costly conventional sewage and piped water systems. The main effort was to demonstrate and promote low-cost, on-site sanitation using ventilated pit latrines and pour-flush toilets. Work was also done on the development of computer software to facilitate the design of low-cost piped water systems.

Over the next 15 years the UNDP–World Bank Program evolved, both in organizational structure and in the thematic issues that it addresses, through a series of projects that were, in fact, successive phases of its core components. In 1981, following an in-depth evaluation of its earlier work, the Program was expanded through two UNDP projects: Development and Implementation of Low-Cost Sanitation Investment Projects (INT/81/047) and Laboratory and Field Testing and Technological Development of Rural Water Supply Handpumps (INT/81/026). By 1986 some 2,700 handpumps, representing about 70 different types of equipment, had been field-tested in 17 African, Asian and Latin American countries. This work was continued by two follow-on projects in 1987: Water Supply for Low-income Communities (INT/87/013) and Sanitation for Low-income Communities (INT/87/014).

In 1991–92 the UNDP approved three more projects: the Country, Regional and Interregional UNDP–World Bank Water and Sanitation Programs (INT/92/001), Water and Sanitation for the Poor in Africa (RAF/92/007) and Water and Sanitation for the Poor in Asia and the Pacific (RAS/92/001).

In Central America, a Regional Water and Sanitation Network (RWSN) was funded, initially by UNDP regional funds and subsequently by Swiss and Swedish funds. In Latin America Program activ-

ities were supported in the early 1990s by UNDP preparatory funds for the Andean Network and, later, by funds provided by Sweden and the Netherlands. Elsewhere, the UNDP and the Bank agreed to cooperate in establishing several Investment Project Preparation Units (PPU) in 1982—two in Africa, located in Abidjan and Nairobi and funded by UNDP's Regional Bureau for Africa, and one in Asia, initially located in Colombo, Sri Lanka (later moved to Bangkok) and funded by the UNDP's Regional Bureau for Asia and the Pacific. The theory behind the PPUs, which was not completely borne out in subsequent events, was that the main obstacle to increased external investment in the sector was the lack of a well-prepared pipeline of investment projects. This lack, in turn, stemmed from countries' meager experience with project preparation. The PPUs were intended to remedy this situation by providing expert assistance in identifying and preparing projects for consideration by international donor and lending agencies, including the World Bank.

An International Training Network (ITN) for Water and Waste Management was another effort of the early 1980s. The ITN was established to help countries build their capacity to deliver water supply and sanitation services. The development and operation of a network of institutions, although not in itself an objective, was posited as an effective means to help achieve the overall objective. The creation of the ITN was endorsed and funded by the international donor community and the Program was given responsibility for its promotion and support.

The UNDP and the Bank also collaborated from 1980 to the early 1990s on Research and Development in Integrated Resource Recovery and Waste Recycling—a subject that transcends the water and sanitation sector in the narrow sense, but clearly has a bearing on the sector, as well as on emerging environmental concerns. Throughout, and since, the International Drinking Water Supply and Sanitation Decade (IDWSSO), all of the regional and interregional umbrella projects were complemented by many related country projects funded either from UNDP country indicative planning figures (IPF) or from bilateral assistance agencies.

By 1987 the UNDP and the Bank, with growing support from other donors, were cooperating in a group of interregional and regional projects related to the Water Supply and Sanitation Decade. Each was separately funded and had its particular objectives specified in a project document. Initially, the projects were managed by the senior advisor, water and wastes. Later, management was taken over by a division chief who was responsible for research, policy development, cooperative projects and other functions in the water

supply and wastes sector. The projects were grouped by technical content into sub-units, each headed by managers who held the rank of division chief or senior technical officer. One manager was responsible for urban and rural water supply and urban and rural sanitation, another for handpump development and resource recovery and a third for the ITN. A Bank-staffed sub-unit was assigned responsibility for the World Bank functions.

Evolution in orientation

The goal was to use what has been learned about alternative approaches and appropriate technology in the implementation of large scale water and sanitation programs for the world's poor

In the meantime two important trends had emerged in the orientation of several projects as a result of periodic evaluations. The first was a shift away from the heavy emphasis on technology research and toward institutional issues and the development of service delivery mechanisms based on community participation. The second was toward more unified management of the collection of projects in an effort to achieve better coordination and impact. The Technical Advisory Group (TAG) Low-Cost Sanitation staff meeting held in Nairobi in 1984, the Fourth Meeting of the Handpumps Advisory Panel held in China in August 1984, and the evaluation of the African PPUs in 1985, for example, all accelerated the shift away from technology research and development and toward greater emphasis on software issues. The African PPU evaluation also recommended that the PPUs be replaced by interdisciplinary Sector Development Teams (SDTs) which could bring together the expertise that was scattered among individual projects under a single management. The SDT concept was accepted. Beginning in 1988, it was developed into a network of broader-based RWSGs which, with offices in Abidjan, Jakarta, Nairobi, New Delhi and, as of 1995, La Paz, now constitute the principal avenue through which Program activities are implemented in the field.

A third trend that emerged as the Decade progressed was a growing realization that, to be really effective, project preparation and other micro-level activities had to be carried out within a supportive national sector policy and planning framework. Several evaluations of the PPUs carried out in Africa and Asia confirmed this and led to increased emphasis on broader sector work, including sector studies and policy advice, as a major component of Program activities.

These trends culminated in 1987 in the Bank's decision to merge the separate projects into a single Program with an integrated strategy. To help accomplish this, the Program was placed under the management of the Water and Sanitation Division (INUWS) of the

Bank's central Policy, Research and External Projects Relations (PRE) complex.

In 1988, following the consolidation, the Program issued *Toward Equitable and Sustainable Development: A Strategy for the Remainder of the Decade and Beyond.* The strategy thus outlined used the lessons learned during the final years of the 1980s as the challenges for the 1990s. The goal was, and is, to use what has been learned about alternative approaches and appropriate technology in the implementation of large scale water and sanitation programs for the world's poor.

This approach is aimed at giving the Program a more rigorous structure for disseminating lessons and establishing a strategic learning process

The reorganization of the Program into a single entity was intended to improve its overall cohesion and sense of direction. But, it also disrupted research and publication activities and led to the disbanding of the former TAG for low-cost sanitation, a group that had initiated successful activities in some 20 countries. Furthermore, it weakened headquarters promotion and guidance of the ITN.

Since 1988 the Program's mission has evolved. The initial mission was to increase the capacity of countries to deliver water supply and sanitation services to low-income groups, primarily with low-cost and community-based approaches. This mission shifted to assist developing countries in improving poor people's access to sustainable services. Most recently, the mission has been modified to place more emphasis on community management than country responsibility and, thus, create capacity for communities to provide services for themselves.

PROWWESS was integrated into the Program to promote ways to include women more fully in water and sanitation projects

In 1992 Promotion of the Role of Women in Water and Environmental Sanitation Services (PROWWESS) was integrated into the Program. PROWWESS began in 1983 as an interregional UNDP project with the overall objective of promoting ways to include women more fully in water supply and sanitation projects. Over time it became active in more than 20 countries and expanded its approach to include four areas: gender analysis, community involvement, participatory techniques and capacity-building. A 1991 evaluation recommended that PROWWESS expand its already strong links with the Program in order to improve the use of participatory approaches within large-scale World Bank projects and to help it network with the large number of agencies with which the Program works. Since 1992 it has been fully integrated and has focused on gender issues (and less on women per se), training and tools for use at the community level, credit and micro-enterprise and health and hygiene education.

In the early 1990s a consensus was reached among sector professionals that, although low-cost technologies had been refined and

> The Program has increasingly structured projects to support investments by building capacity, treating water as an economic and as a social good and employing demand-based approaches to involve stakeholders in the selection, operation and maintenance of systems

made available, water and sanitation systems fell idle and into disrepair because insufficient attention was being paid to the ability of institutions and communities to manage and fund them. In 1992 the Program issued *Improving Services for the Poor: A Program Strategy for the 1990s*, which reinforced its triad strategy: working with partners to support sustainable investments, building the capacity of governments and people to develop and maintain systems and exchanging the knowledge cultivated in so doing. Since then, the Program has increasingly structured projects to support investments by building capacity, treating water as an economic and as a social good and employing demand-based approaches to involve stakeholders in the selection, operation and maintenance of systems.

In 1994 the Program, still operating within the context of its 1992 Strategy, began to put greater emphasis on learning and strategic supervision. It fostered structured learning, an approach that requires the hypotheses upon which the design of any project is based to be identified when the project is being designed, and then reported against, so that subsequent success or failure can be more systematically documented and analyzed. At the same time strategic supervision complements regular project monitoring. It is oriented toward monitoring the principles upon which a project is based as it is being implemented in order to provide for critical review by stakeholders and a change of course when something is not working. The Program thus intends to establish a set of design premises that will allow it to monitor, compare and analyze the performance of similar projects across different regions or countries. This approach is aimed at giving the Program a more rigorous structure for learning, documenting, disseminating and communicating lessons and establishing a continuous, global, strategic learning process.

As part of the increased emphasis on learning three filters[1] have been put in place against which any proposed project must be assessed before implementation:

- *Project characteristics*—The project must provide a vehicle for developing lessons that will likely have a national and international impact on future projects.
- *Project environment*—The project should have a high potential to positively affect service delivery and sustainability in the country. Both donor and recipient government management should support the learning approach, as well as the principles embodied in project design, and should be prepared to apply them to future projects or policies in the sector.
- *Location in a country of concentration*—The project should be located in one of the Program's countries of concentration. In

this way sufficient resources can be brought to bear to provide the high level of strategic supervision required to ensure success and a high standard of documentation.

Program management

Between 1988, when the UNDP–World Bank Water and Sanitation Program assumed its present form, and 1994 the Program was headed by a manager who reported initially to the Director of the Water and Sanitation Division (INUWS) of the Bank's central Policy, Research and External Relations (PRE) complex. Following changes to the Bank's structure, he reported to the Director of the Transportation, Water and Urban Development Department (TWU), one of three departments in the Environmentally Sustainable Development Vice Presidency. Since early 1995, reporting relationships have been revised. The Head of the Program now reports to the Division Chief responsible for the Water and Sanitation Division within TWU.

The 1995 change added to the professional expertise available to the Program and was undertaken to bring more intellectual rigor, substantive thinking and focus to the Program's range of activity. It has also changed the status of the Program within the World Bank. Task managers and others within the geographic vice presidencies identify more closely with the attempt to bring more intellectual rigor to the Program and to combine it with the field strength and grass-roots experience of the RWSGs. But at the same time blending the Program into the Water and Sanitation Division at headquarters has rendered the Program less distinct from the World Bank. This risks weakening its comparative advantage in that it diminishes the perception of governments and donors of the Program as being in the Bank, but not of the Bank, a trait that facilitated closer collaboration between the Program and its principal clients.

Note

1. See Annex 4 for more detail.

Chapter 2

Building National and Local Capacity

National and local capacity from community level to the government ministerial level will have been strengthened. Measures to build capacity include extension of participatory training and skills, including greater attention to gender issues; creation and support of national training networks linked into regional and interregional networks; and recruitment of national staff for in-country and regional posts.[1]

As emphasized in Program strategy documents, capacity-building is a long-term, continual, dynamic process involving policies, institutions and people, which must permeate all activities in the sector. The needs and requirements are changing continuously and have to be reviewed regularly. At the policy level capacity-building means improving the rules governing the sector, as well as the regulations and practices that define the enabling environment within which sector development occurs. Capacity-building also means enhancing the performance, variety and number of organizations active in the sector and strengthening human resources throughout the sector. The cornerstone is the involvement of national and local institutions in the process of learning and adaptation.

Although the Program was intended to help strengthen existing management structures, traditional management systems are failing in most developing countries. Modern development places heavy demands on the traditional systems, and it has become more difficult to agree on common priorities within any one community. To help countries cope with this situation the Program has often supported the development of parallel NGO structures. But such support might render the situation more complex in the long term. It can remove responsibility from government and ultimately weaken the capacity of government departments or agencies.

Involving communities in the Program's work is a two-way process that requires the provision of information, training and education. The coordination of functions from the grass roots to the central level is an important element in achieving better planning, implementation and management of water and sanitation projects. Governments must change their role from that of central providers of services to that of facilitators and coordinators.

The educational programs in most developing countries still emphasize knowledge rather than skill development. Education and training take place through formal channels, like schools. In most places on-the-job training is still not used effectively. Moreover, many people who are trained in water and sanitation tend to move out of the sector over time.

Water and sanitation issues affect the lives of men, women and children and, therefore, all need to be involved in sector activities. The role of women is especially important since they most often must fetch the water and their quality of life in the home and in the field is most affected. Capacity-building at the local level can not succeed without the full participation of women. Their leadership is especially important. The Evaluation Team noted a tendency to assume that the importance of women's role is well understood and accepted. But this is not always the case. For example, they observed that women are little involved in the process of planning and providing water supply and sanitation in India and Pakistan.

Capacity-building is a long-term, continual, dynamic process which must permeate all activities in the sector

Capacity-building model

To build the capacity to implement large-scale projects based on a demand-driven, bottom-up approach, activities and know-how are required on three different levels (figure 1). The base, or pilot level (level A) includes the development and evaluation of alternative approaches (including technologies), methods for communicating with beneficiary communities, different methods and approaches for delivering water supply and sanitation services and models for financing water supply and sanitation services. These technologies, methods and approaches that are developed and evaluated at level A must be applied and tested or demonstrated in individual communities (level B) before they can be applied in large-scale investment projects (level C). The demonstration projects in level B are especially important for policy dialogue and for demonstrating the practicality of new policies and strategies.

Figure 1
Capacity-building model

C. Application of alternative approaches (including technologies) in large-scale projects (rural/peri-urban)			
B. Application of technology on the community scale (country- and community-specific)			
A1. Development and evaluation of alternative approaches (including technologies)	A2. Communication methods for community involvement	A3. Alternative delivery mechanisms	A4. Financing models

Policy and strategy development

Policy dialogue

The cornerstone is the involvement of national and local institutions in the process of learning and adaptation

In the 1980s the Program was very active at the pilot level in developing and evaluating low-cost technologies in water supply and sanitation for predominantly rural areas. At the same level, the Water and Sanitation Division of the World Bank, then the manager of the Program, conducted research on delivery and financing mechanisms for water supply and sanitation services, and PROWESS focused on the development and evaluation of mechanisms and techniques for community involvement and participatory training processes.

More recently, realizing that greater results could be obtained at higher levels, the Program has been concentrating instead on demonstration projects and on assisting in the development of large-scale investments. For instance, the Program has been gradually turning over its responsibility in the area of handpump technology development, in which it had been very active for many years, to SKAT, a Swiss NGO, though it remains one of the partners in the Handpump Training Network. The Program has also concluded its development work on participatory training and is now encouraging others to adapt the tools that have been developed to their local needs. In fact, because of its ability to influence the Bank, which is the major financier of large-scale investments in the water and sanitation sector, the Program can provide a link between pilot-level and large-scale investment projects by implementing demonstration projects and participating in the preparation and evaluation of large-scale projects.

Program results

The Program has strengthened both national and local capacities in many countries. This strengthening has been more pronounced where governmental and non-governmental sector agencies and

In several projects there is evidence of a lack of skills for operation and maintenance. A number of facilities are in disrepair, or soon will be

organizations have been actively involved in the implementation of pilot and demonstration projects. At the national level there are many examples in which the Program has successfully influenced national sector policies and strategies (see chapter 3). But, in most countries there is still a gap between official declarations and actual implementation of policy and strategy. In most cases there is no appropriate institutional framework in place for implementing the new policy, there is a general lack of national capacity-building strategies and the participatory-approach methodology has rarely been institutionalized. Decisions on local water and sanitation interventions are still made too often at the headquarters level by donors and high-level government officials, neither of whom are knowledgeable about the wishes and needs of the local population.

In all countries several ministries and agencies have partial responsibilities for the water and sanitation sector which are often conflicting or overlapping. The response has often been to create a parallel structure of NGOs, but this approach may not be sustainable. Still, it is important to use the NGOs as much as possible because they are usually close to communities. So far, the Program has contributed relatively little to developing new models of responsive institutional frameworks. Similarly, little work has been done to develop successful models that encourage the participation of private sector entrepreneurs in the water and sanitation projects that benefit poor urban and rural areas.

There are several examples in which local ability to adopt new approaches to delivering and financing water supply and sanitation services has been increased as a result of Program activities. But beneficiaries have acquired the skills required by these participatory approaches to only a limited extent. In several projects that the team visited there is evidence of a lack of skills for operation and maintenance. A number of facilities are in disrepair, or soon will be, because of a lack of knowledge, organization and the financial resources required to repair, operate and maintain the system.

PROWWESS and alternative technologies

Established as a special interregional project, PROWWESS was providing technical support and guidance to community-based water and sanitation programs even before it was officially integrated into the Program in 1992. The cornerstone of PROWWESS's activities has been teaching trainers and field personnel to design and use participatory methods and materials. This training process called

SARAR (self-esteem, associative strengths, resourcefulness, action planning and responsibility) involves communities, particularly women, in planning, implementing and evaluating water and sanitation projects. The Program has successfully taken advantage of PROWESS activities in some countries.

The RWSG for East and Southern Africa has been working with WHO and UNICEF on regional initiatives aimed at developing a participatory approach to hygiene and sanitation. SARAR methods and materials have been adapted and tested through a series of country-level project interventions. In Zimbabwe PROWWESS training in the participatory approach has been carried out mainly through the Institute for Water and Sanitation. Participatory IWSD Development methods have been the principal subject of some courses and have been included in others. This training has mainly enabled trainees to implement their programs in a more participatory way but has not led to the application of the principles of the SARAR method and community empowerment. Many of those interviewed by the Evaluation Team feel that the Program has not adequately built on the work completed under PROWWESS.

> In the last few years the Program has been evaluating and judging the appropriateness of different technologies under different circumstances. This attempt has been only partly successful

The development, evaluation and application of alternative technologies is another important aspect of capacity-building. In the last few years the Program has been trying to move away from attempting to select "winners" and develop technologies. Instead, it is keeping a watching brief on applications in the field and evaluating and judging the appropriateness of different technologies under different circumstances. This attempt has been only partly successful. The range of alternative approaches being considered for and evaluated in Program activities is still very limited and there is a bias toward low-cost technologies for predominantly rural areas. With the exception of activities in connection with the development of a methodology for Strategic Sanitation Planning, field evaluation of alternative sanitation technologies for peri-urban areas has been largely neglected. Also, while the participatory approach is being tried at the community level, experience is still lacking in how to use it in the sector at a national scale.

ITNs: Need for a new strategy

The International Training Network for Water and Waste Management was originally created to assist countries in building their

The range of alternative approaches being considered for and evaluated in Program activities is still very limited

capacity to deliver water supply and sanitation systems through the establishment of a network of ITN centers. The Program originally created, promoted and supported these institutions and is continuing to do so in the current phase of its activities.

The ITN, however, has evolved into a complex collection of country centers (Ghana, Zimbabwe), national networks (India, Philippines) and sub-regional networks (West Africa, East Africa) that are only loosely linked together in a global network. Each center has grown along different lines, developed different specialties and established different ties with host and other national institutions, donors and associated institutions in developed countries. This divergence is mainly due to the fact that most of the ITN centers are funded directly by different donors with different views and expectations and that the centers have been encouraged to be more independent financially and, therefore, have become more market oriented.

The Program's inputs into the ITN centers have varied over time and by region and country. Especially because of the departure and failure to replace the ITN Coordinator in Washington, support from the Program has declined substantially, except in Kenya, Zimbabwe, Ghana and the Philippines, where there is still considerable collaboration.

A 1994 review of the status of the ITN centers analyzed possible future directions and priorities and concluded that a new ITN program strategy should be developed. The Evaluation Team agrees. This strategy should be based on the concept that each ITN center should develop its own objectives, guiding principles and business plans according to the identified needs and demands in their respective region and country. The Team does not see the need for the Program or any other organization to coordinate the different ITN centers. Coordination should be left to the initiative of the center managers if and when they want to exchange information and experience.

The ITN centers mostly need advice and assistance in specific areas. Because the Program can be involved at the country level and can collaborate with and be considered independent by nearly all partners, it is well-positioned to ensure that the ITN centers are included in the development of national capacity-building strategies. Since the Program is working interregionally and should be familiar with the activities and strengths of the various reference, training and research institutions, it should also be able to advise the centers as to where they can get assistance and advice in specific areas.

Recommendations

It is recommended that:

■ The Program advocate and assist in the development of the capacity-building strategies in each country, which should include: a regular review of capacity-building needs at all levels, identification of institutions and organizations that can best fulfill these needs and coordination of their activities.

■ The Program adopt a new strategy toward the ITN program, based on the concept that each ITN center develops its own objectives, guiding principles and business plans and that the Program ensure that the ITN centers are included in the development of national capacity-building strategies.

■ The Program assist the ITN centers in identifying suitable organizations for external support, assistance and advice.

■ Models be developed that demonstrate how to increase the capacity of beneficiaries to operate, repair and maintain their systems with minimal external assistance.

■ Models also be developed on how to make optimal use of the NGO system without creating parallel structures.

■ The Program focus on making the link between pilot projects and large-scale investment projects by implementing demonstration projects and participating in the preparation and evaluation of large-scale projects.

■ The Program ensure that new developments and learning at all levels, around the world, are captured and fed into the sector.

■ The Program continue to emphasize the need to involve the diverse elements of the community, especially women, in the planning and operation of water and sanitation systems.

■ The Program seek ways to apply the participatory approach in the sector at a national scale.

> Models should be developed that demonstrate how to increase the capacity of beneficiaries to operate, repair and maintain their systems with minimal external assistance

Note

1. Descriptions of the expected end-of-project situation in this and chapters 3–6 have been excerpted from UNDP Interregional Project INT/92, Section B, Project Justification.

Chapter 3

The Effectiveness of National Policies, Strategies and Plans

Participating countries will have made significant progress in shifting sector policies and strategies away from government-driven, top-down approaches towards decentralized, demand-driven, bottom-up approaches that legitimatize a variety of options for provision of services to the poor.

During the International Drinking Water Supply and Sanitation Decade it was gradually realized that effective project preparation activities have to be carried out within a supportive national sector policy and planning framework. This realization led to placing increasing emphasis on broader sector work, such as sector studies and policy advice, as a major component of the Program's activities.

> **During the International Drinking Water Supply and Sanitation Decade it was gradually realized that effective project preparation activities have to be carried out within a supportive national sector policy and planning framework**

The Program's approach to sector policy is not prescriptive. What works in one community may not work in a neighboring community, much less in a community on the other side of the world. Policy advice has thus never been codified or set out in a single document or handbook. Rather, it has evolved through evaluations by the Project Preparation Units carried out in Africa and Asia during the 1980s and in the course of deliberations among sector professionals at international meetings. As a result, policy advice is embodied in various resolutions, statements of principle and working papers.

The Dublin Statement, which emerged from the International Conference on Water and the Environment in January 1992, when the current phase of the Program began, embodies an emerging global consensus on the directions that are critical to making major improvements in the sector. It sets out a series of recommendations based on four guiding principles. Two of these have emerged as the basis upon which to establish policies for managing water resources

and for delivering water supply and sanitation services in efficient, equitable and sustainable ways. These are:

- Water has an economic value in all of its competing uses and should be recognized as an economic and as a social good.
- Water development and management should be based on a participatory approach, involving users, planners and policy-makers at all levels, with decisions made at the lowest appropriate level.

The challenge for the Program has been to work with client governments, external support agencies and other partners in the sector to transform these general principles into policy and into practice.

Achievements in policies, strategies and plans

In the 1991–95 Program workplans there are specific plans for 36 countries (though all 36 do not appear in every annual plan). Within these plans, there are stated intentions for the Program to help governments develop policies in 16 countries, develop strategies in 22 countries and develop plans in 24 countries. Only four countries that have workplans are excluded from this category of activity. The evaluation team documented many accomplishments relating to these items.

Several of the policies, strategies and plans for which the Program provided assistance were national in scope. Others addressed the regional or municipal level. And some were targeted to specific program aspects, such as investment or the involvement of women. The Program:

- Has helped to establish national sector policies in Bangladesh, Benin, Bolivia, Eritrea, Ethiopia, Ghana, India, Malawi, Pakistan, the Philippines, Sri Lanka, Tanzania, Uganda and Zimbabwe
- Provided advice and assistance in the development of sector strategies in Benin, Bolivia, Ghana, India, Indonesia, Laos, Malawi, Mali, Nepal, Sri Lanka, Tanzania, Uganda and Vietnam
- Helped prepare sector plans in Benin, Botswana, Burkina Faso, Ghana, Indonesia, Sri Lanka, Tanzania, Thailand and Uganda.

What have been the effects of these policies, strategies and plans? The ultimate development objective of the Program is to increase the delivery of safe water and sanitation to low-income communities, both rural and urban, primarily through the application of low-cost technologies and community-based approaches to project organization and maintenance. A primary objective is to shift the sector policies of participating governments and external support agencies toward assigning a higher priority to poverty-focused pro-

The Program's approach to sector policy is not prescriptive. What works in one community may not work in a neighboring community, much less in a community on the other side of the world

grams, while concurrently building up governments' capacity to formulate and implement such programs.

The nine countries selected by the Evaluation Team for a more detailed review of the Program's achievements vary enormously in size, population, form of government and economic complexity. In terms of size and complexity Benin and Bolivia represent one end of the spectrum, India and Indonesia the other. Among these countries adoption and implementation of the policies promoted by the Program vary widely.

The focus Group in Pakistan noted the resistance of the government and traditional sector professionals to a community-based, demand-driven approach instead of the current, centralized, top-down, supply-driven approach. Although Program articulation of the government's uniform policy for the water supply sector was achieved, there were certain difficulties in making it operational. For example, the government generally expressed its policy as directives, but procedures, rules and regulations for acting on these directives were not well developed. The new policy on cost recovery and community participation had to be supported by a framework of rules and regulations for effective operation. This was not easily achieved. It was generally perceived that the uniform policy had not been that well publicized, and that awareness of it should be enhanced so that all parties concerned could work in unison. The participation of the community and the cost recovery issues were not advanced by the system, thus encouraging over-design, inefficiency and lack of transparency in the bidding, contracting and accounting system.

The Pakistan example illustrates both the Program's accomplishments and the problems confronting policy reform and implementation in most countries. However, the Evaluation Team found instances in which countries assisted by the Program progressed in conceiving and implementing poverty-oriented policies. A noteworthy example is Benin, which has a change-oriented government and senior civil servants in the water and sanitation sector. Supported by the Program, Benin officials have been able to make significant progress toward implementing national policies based upon the Dublin principles.

Gains have also been achieved in Ghana, where the government has adopted a decentralization policy that has led to the creation of 110 district assemblies which have the legal and administrative authority that they need to function. New policies and implementation strategies have been developed in collaboration with the RWSG for both the rural water and the environmental sanitation subsectors. These strategies take into account the demand-driven

The ultimate development objective is to increase the delivery of safe water and sanitation to low-income communities, both rural and urban, primarily through the application of low-cost technologies and community-based approaches

approach, cost recovery and institutional reforms needed for effective service delivery. The RWSG has also supported studies of the legal status of water and sanitation committees, including community ownership of water supply and sanitation systems within the context of the decentralization policy, to ensure the improved and effective provision of services.

A notable feature of the work in Ghana has been government support of private sector participation in the national development effort. Reforms in the water and sanitation sector take into account the active participation of the private sector as a provider of services. As a result NGOs and private consultants and contractors are involved in providing improved water and sanitation services.

One question in the survey that the Evaluation Team conducted was "How would you rate the Program's achievements (on a scale of 1-5) with respect to helping to generate beneficial impacts on sector policies in the countries in which you work?" The Program was rated at 4 or higher by 63.9 percent of the respondents (figure 2).

The survey circulated in Asia posed an extra question: "how would you rate the Program's contributions to the overall goal of expanding access to water and sanitation for the poor?" The results indicated that 77.3 percent of the respondents saw a positive correlation between the policy-related activities of the Program and the Program's contribution toward expanding access for the poor to water and sanitation facilities. Another question regarding the Program's contribution toward generating beneficial effects was cross-tabulated with adding value to Bank or other donor investment projects with which participants had been involved. In this case 75.4

Figure 2
Respondents' evaluation of the Program's achievement against selected objectives
(percent)
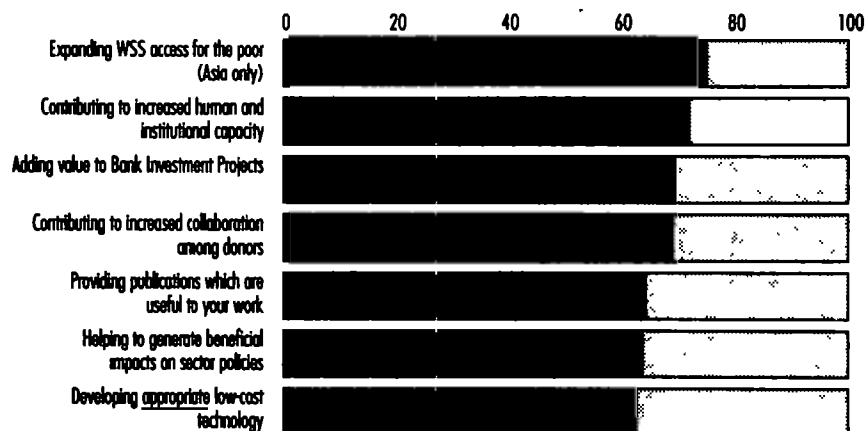
percent of the correspondents saw a positive influence between the policy-related activities of the Program and value added to the Bank's or other donors' investment projects.

Comparative advantages of the program

A number of people that the Evaluation Team interviewed expressed views on the comparative advantages or strengths of the Program or its RWSGs relative to other Water Programs. Some of these are:

The Program is ideally suited to bringing together the labor-intensive capacity of the NGOs and communities with the intellectual and financing capacity of the World Bank

■ The Program can be seen as a catalyst or neutral facilitator at the country level. It is not seen as an instrument of the Bank. Many of the water and sanitation solutions are too small for the World Bank and too large for small organizations. Solutions require the intellectual and financial capacity of the Bank and the labor-intensive capacity of the NGOs and communities. The Program is ideally suited to bringing the two together.

■ The RWSG's have a unique ability to concentrate global information and then disseminate it locally. NGOs are too fragmented to have an impact on country and sector policy strategies and plans. The Bank cannot deal with micro-economic problems. The Program can.

■ The Program concentrates global knowledge of water supply into a small, easy-to-access institution.

■ The Program is focused on Water and Sanitation for the poor in rural and marginalized urban areas.

■ The Program is able to facilitate exchanges of information and documentation relating to international experience.

■ The Program has credibility acquired over time and with the establishment of trusting relationships with key sector people.

■ The Program has the ability to carry out relevant research locally and internationally.

■ The RWSG staff are colleagues, partners. They play a supporting role, they do not hide anything. The RWSG's approach is visionary and inculcates self-reliance. The RWSG brings a unique global perspective to bear on local water and sanitation issues. It prepares and disseminates (sometimes inadequately) high-quality, leading-edge information. The RWSG has beneficial links to the World Bank and other donors, but unlike the Bank, is more able to influence the government constructively in ways that do not rankle or offend.

■ If the Program had not existed, sector accomplishments would have taken considerably longer, or the results would not have

been as satisfactory. No other organization could have played the role of the Program.

As these views indicate, the Program and its decentralized RWSGs have many of the qualities necessary for working with governments on policies, strategies and plans. It has the right size and mode of operation. It has access to and has demonstrated that it can work with the full spectrum of organizations, governments, NGOs, the United Nations group, the World Bank and the regional banks and bilateral donors. And it can bring a global perspective to the local level.

Future issues

The people with whom members of the Evaluation Team met offered general suggestions. These include:

■ The Program should retain its focus on poverty alleviation.
■ The Program should strengthen the links between water and sanitation and move beyond them to include disease, hygiene and health.
■ The water and sanitation sector should be developed paying greater attention to demographic trends, especially in relation to urban and peri-urban growth.
■ A higher priority should be assigned to sanitation and solid waste management.
■ Water resources in their entirety should be managed on a comprehensive, integrated basis.

Recommendations

Based on all of the above observations, the Evaluation Team recommends that:

■ The Program identify on a country-specific basis the reasons why new policies are not always being implemented on a country-specific basis and what role the Program can most appropriately play in each case.
■ The Program develop as soon as possible a group of case studies based on countries that have improved the well-being of their citizens in general, especially the poorest, as a result of having developed and applied policies, strategies and plans based on the Dublin principles.

The Program and its decentralized RWSGs have many of the qualities necessary for working with governments on policies, strategies and plans

- The Program continue to help countries develop and apply policies, strategies and plans based on the Dublin principles.
- The Program sponsor well-thought-out study tours for politicians and senior sector administrators from countries wishing to adopt new policy frameworks to countries that have one. These could be followed by a continuing mentoring process where effective relations have been established.
- Given the enormous disparity between the number of people who have access to potable water and the fewer who have knowledge of appropriate hygiene practices and access to adequate sanitation facilities, the Program assign a higher priority to hygiene and sanitation than it has in the past.
- The Program recognize that individual capacity-building themes or solutions such as Women in Development (WID), technology, training, policies, strategies and the Program itself are tools that are not universally applicable.

Chapter 4

Impact on Domestic and External Investment

Qualitative improvements will have been made in the design and implementation of large-scale, sustainable, investment projects targeting the rural and urban poor, funded by the World Bank, the Regional Development Banks and other donors, as a result of Program inputs.

The goal of promoting domestic and external investment is closely linked to the Program's objectives of building national and local capacities, disseminating experience and information and facilitating sector coordination and collaboration. It is also related to the Program's policy and management and each country's condition and development policy or strategy.

The nature of investment decisions is generally the result of the conjuncture of many forces

Investments in the sector can be grouped into various categories: physical infrastructure, human resources development, institution building and technology development. Investments can also be viewed according to the various stages of project development— preparation and formulation of the project, implementation, or construction—as well as supporting activities such as preparation of the community, training of personnel, scaling up of pilot or demonstration projects and so on. Investments can also be defined in relation to other stakeholders: collaboration with the World Bank or other bilateral donors and coordination with local and national governments, the private sector and communities.

Because of this complexity, and because there is no effective baseline against which to measure overall impact, it is not easy to assess the impact of the Program on domestic and external investments. It is also difficult to discern whether changes in a country's water and sanitation sector policies or investments are directly related to the

The Program has had considerable positive impact on investments in the participating countries, but there have been missed opportunities

Program. The nature of investment decisions is generally the result of the conjuncture of many forces.

In preparing for large-scale investments, the Program follows the World Bank's project process and principles: capacity-building is treated as an integral part of projects rather than as an add-on; technical assistance and borrower and beneficiary involvement are sought at every stage of the project cycle; and explicit risk management links the extent of commitment to a structured process of learning.

As a consequence the Program has been among those pioneering a new project cycle, a four-stage process that consists of:

- *Listening*—Developing the framework for preparation by listening to the needs and aspirations of the beneficiaries and the government.
- *Piloting*—Testing local leadership and identifying development tasks that are expected to be replicated at a later stage.
- *Demonstrating*—Bringing pilot projects to a larger-scale and providing opportunities for the fine tuning and adaptation of project concepts before large-scale replication.
- *Mainstreaming*—Transforming demonstration projects into a sustainable and continuing national program.

Program results

The Evaluation Team found that the influence of the Program on investments should be differentiated according to whether the influence is direct or indirect. A direct impact is defined as direct involvement either in supportive activities or in actual implementation. Indirect impact includes influencing donors and financiers to make larger investments and influencing their approach to starting and implementing new projects.

The Program undoubtedly missed a number of opportunities to encourage investment by not, for example, pursuing more persistently the implementation of sector policies in Pakistan. In many instances, however, the Program has been influential or able to follow through on opportunities, and the impact of the Program on investment, whether direct or indirect, has been positive. In just the nine countries¹ visited by the Evaluation Team, the Program has contributed through its involvement in pilot projects, project design, monitoring or strategic supervision to some thirty-five large-scale projects with a total cost in excess of $2.6 billion, with donor

In the rural water supply sector, the Program has chiefly influenced World Bank projects. Results from the survey showed that, overall, the Program had a medium-to-high level of achievement in adding value to investment projects

contributions of more than $2.1 billion, and a total beneficiary population of more than 53 million people.

Other examples of the positive impacts of the Program on investment include:

■ *Coordination and collaboration with donors*—The Program has been invaluable in assisting donor coordination and collaboration. For example, it has secured the confidence of the donors (as well as the Government) in Benin and as a result has helped generate new external investment in that country. The Program has also had an impact on the approaches that donors and task managers at the World Bank have taken to project design, largely through the Bank staff's contacts with the decentralized RWSGs.

■ *Introducing new approaches*—New approaches that have been developed by the Program include community participation in all stages of project development, community financing schemes and specific instances of low-cost sanitation being included in water-supply programs. Some of these have been adopted by donors who have, as a result, taken similar approaches to projects in which they invest in the water and sanitation sector.

■ *Support to generate new investments*—In addition to developing strategies that generated new investment in Benin ($14 million from the World Bank, DANIDA and other donors), the Program has supported the preparation and formulation of large-scale projects in Bolivia, Ethiopia, Nepal and Pakistan; helped in the planning, supervision and appraisal of ongoing large-scale projects in Ethiopia and the Philippines; assisted in a $125 million Sector Investment Plan in Ghana; and aided in the preparation of a Social Action Program and Community Infrastructure Project in Pakistan.

■ *Direct involvement in projects*—The Program has also been directly involved in a number of projects. These include a $2.4 million rural community development project in Bolivia, projects in Ethiopia, Ghana, Indonesia and Uganda and demonstration projects in India and the Philippines. It has assisted in scaling up projects in Bangladesh, Ghana, India, Pakistan and Sri Lanka. In addition, the Program has supported the local manufacture of handpumps, the distribution of spare parts and, in Benin and Uganda, helped to increase the capacity of private sector enterprises.

Donor interviews and survey results

The responses of donors and other sector partners to a questionnaire indicate that the impact of the Program on investments has

It will be more strategic for the Program to focus primarily on building capacity for sector investment

been mostly indirect. In the rural water supply sector the Program has chiefly influenced World Bank projects. But respondents acknowledged that, through its involvement in the field, the Program could directly or indirectly influence the strategy and approaches adopted in project formulation and preparation, as well as the implementation of large-scale projects. In South Africa, for example, a respondent to the evaluation questionnaire states that, "...the Mvula Trust, a financing facility managing approximately R260 million ($72 million) has been fundamentally influenced by approaches promoted by the Program. We in turn have a significant influence on the South African Government's budget of R730 million ($203 million) for Community Water and Sanitation. In one country alone, therefore—a country not even mentioned in its current Country Action Plans—you have a Program influence over a very significant portion of public finance. A [complete] calculation of the scale of Program influence directly and indirectly on institutions and finance flows would reveal a remarkable picture..." Other donors expressed the view that there is scope for the Program to play a more positive role in coordinating and streamlining policies and project approaches.

Some bilateral donors also believe that the Program has had little effect on their programs. For them, the RWSGs were not sufficiently linked to their work or to that of the World Bank and other donors, possibly due to a lack of communication and coordination. This has sometimes resulted in minor conflict or disagreement between Project Officers/Task Managers and the RWSG staff. Such a lack was also felt in some countries between the Program and local government.

Other donors felt that the RWSGs served as their in-house "centers of excellence." They had, these respondents believed, helped greatly with studies and project preparation. Results from the survey showed that, overall, the Program had a medium-to-high level of achievement in adding value to investment projects. Of the 100 responses on the question of whether the Program was adding value to investment projects, 70 percent said that it had a positive impact (see figure 2).

Future issues

A clear conclusion from the evaluation of the Program is that the UNDP–World Bank Water and Sanitation Program, notwithstanding some problems and shortcomings, has had a positive impact on

investment and the approach to development of the sector. But, the Program is engaged in a wide range of activities. A more focused and strategic role within the framework of the upcoming Global Water Partnership might help increase the rate of investment. Should the Program limit its assistance to such software as sector policy development, human resource development and capacity-building? Or should it also be involved at the project level: in the formulation, implementation, monitoring and evaluation of projects; development of pilot and demonstration projects; and the up-scaling of activities? Buried in those questions is a fundamental issue: Who is the Program's client? Who should it assist: the country, the World Bank, or other donors?

It will be more strategic for the Program, given its current structure, to focus primarily on building capacity for sector investment. It can play a major role by advocating state-of-the-art approaches to influence government policies and donors' lending or assistance procedures; by informal coordination; and by fostering political will among donors and countries for demand-driven, community-based investment programs.

Recommendations

There is a strong need for demonstration projects to test community-wide application of water and sanitation sector policies and approaches, These are expensive to implement and often exceed local financing capacity. But they are essential precursors to the large investment projects that lenders such as the World Bank are organized to support. The Program should advocate to the World Bank and the regional development banks that water and sanitation demonstration projects be financed and monitored under project preparation funds.

The Program should give greater priority to preparation of investment programs, which includes preparing project proposals, financing schemes, developing pilot and demonstration projects and upscaling pilot or demonstration projects. This can be accomplished by providing training or capacity development in the various countries regarding these aspects, rather than relying on the Program's regional offices to undertake them.

The regional staff should not be in-house consultants for the countries in which they are located. They must continue to focus on the objectives of the Program within each country and leave once

In South Africa the Program has an influence over a very significant portion of public finance for community water and sanitation

they have achieved these objectives. Otherwise, the Program will be spread too thinly and will lose its unique position and competence.

Note

1. Benin, Bolivia, Ethiopia, Ghana, India, Indonesia, Pakistan, the Philippines and Uganda.

Chapter 5

Systematic Learning and Exchange of Experience and Information

A systematic learning process for testing new approaches to sector development, monitoring the results and feeding them back into the sector development process will have been developed and institutionalized in most of the participating countries.

The Evaluation Team found that systematic learning and exchange of information is the weakest element of the program. No clear concept or strategy to address this important element of capacity-building has been established within or outside the Program. Referring to the capacity-building model (see figure 1) introduced in chapter 2, systematic learning must take place mainly at the pilot and demonstration levels, and then applied in large scale investments.

The Program has yet to define "systematic learning" adequately in either conceptual or operational terms. Reference to it can be found in different situations and documents in such forms as "action learning," "learning agenda" and "learning approach." In a few cases the concept of systematic learning was addressed as "structured learning," whereby project design and formulation is based on hypotheses, assumptions and indicators. There is much more to learn from ongoing projects in which topics and questions are identified in advance for project learning. This might lead to modification of the projects themselves. The goal in the current structured learning agenda is systematically to learn participative approaches to projects that involve stakeholders in decisions and subsequent implementation, monitoring and evaluation.

In 1994, the Regional Water and Sanitation Group for East Asia and the Pacific (RWSG-EAP) held a workshop to help participants identify and clarify issues for systematic learning. This workshop led to production of a draft technical paper on strategic monitoring

Systematic learning for capacity-building must take place mainly at the pilot and demonstration levels, and then applied in large-scale investments

concepts and tools. Learning activities in the region now focus primarily on strategic monitoring of water supply and sanitation projects and on the role of informal institutions in the sector. In the Philippines the current UNDP project managed by the Program is planning systematically to document learning. It is hoped that the RWSG will provide a consultant for this work. Work has started on preparing a learning agenda so that structured learning can be used effectively. In Indonesia the Water Supply and Sanitation for Low-Income Communities (WSSLIC) project is an example of a project that provides an ideal substrate for structured learning. A number of hypotheses have been developed and are being tested with the aim of identifying, and then replicating successful practices in other parts of the country. In Nepal systematic reviews were undertaken in the Peoples Water and Sanitation Project (JAKPAS) that were used to field test service delivery options for rural water supply and sanitation. This project is also one in which beneficiaries or the communities participated in all the phases of the project.

> The extent of the influence of dissemination has never been assessed either in terms of its outreach or of its contribution to improving the well-being of the poorest

Interviews with a number of people in the water and sanitation sector in different countries indicate that the Program is learning little from projects outside those of the UNDP and the World Bank. The belief is that there is much more that could be learned from others, especially where pilot projects have been implemented and completed. It is felt that the Program should build on what has been learned from such pilot phases, rather than manage new pilot programs.

The Program's 1995 work plan for India focuses on understanding the institutional delivery options for providing water supply and sanitation services. A number of cases in which efficient and sustainable services have been provided both by informal and formal government agencies, NGOs, the private sector and community self-help organizations are being analyzed and documented. The key elements that contributed to their success are being documented as "caselets" so that lessons learned can be used and replicated elsewhere. The sanitation workshop in Harare, Zimbabwe supported by the East Africa RWSG, is another example of the transfer of such learning on a regional level.

Information dissemination

During the 1992–95 evaluation period, the Program has carried out a good deal of analysis and research which have led to the publication in headquarters of 47 different studies and publications. The RWSGs

collectively have produced another 46 publications, 34 in English, 8 in French and 4 in Spanish.

The Program was to develop several communication vehicles for dissemination and to allocate additional resources to ensure that the high-quality information produced by the Program, and collected systematically from other sources reaches the intended audiences. But, the staff of the Information Dissemination Unit at headquarters has declined from five people to two, although a third person is about to be added. Some services that the unit used to provide, such as the UNESCO-compatible Micro Isis program which was set up and used specifically to facilitate access to technical, scientific and other sector information recorded in books, journals, studies, reports, etc., have been discontinued. Nevertheless, the Program does have a master publications distribution list in place which has grown from some 5,000 names in 1987 to about 8,000 names at present. In 1994, the Dissemination Unit distributed selectively 17,770 publications to people and institutions on its distribution list. In addition it sent out publications in response to another 9,150 general requests, most of which emanated from individuals and organizations in the field.

The approach of the Dissemination Unit has evolved over the years, but the Program management did not agree until recently to implement any dissemination strategy proposed by its staff. As a result information dissemination has not been integrated into the structured learning program. There have been differences of opinion between Program management and the Dissemination Unit regarding who the target audience should be and what might be the best means to reach it. Current dissemination tools have not been selected and designed from the ground up on the basis of a strategically selected target audience. The extent of the influence of dissemination has never been assessed either in terms of its outreach or of its contribution to improving the well-being of the poorest.

Some staff expressed the view that the Program has not used staff talents well, and that the general audience for water and sanitation information has not been well served by current publications. Budget cuts which led amongst other things to the elimination of the position of the person responsible for the Micro Isis Program, have adversely affected the publication and distribution of information. On the other hand, over 64 percent of the respondents to the evaluation questionnaire (see figure 2) rated positively the usefulness of the Program's publications to their work.

Headquarters and the RWSGs do not coordinate fully with respect to the publishing and dissemination of information. Head-

Information dissemination has not been integrated into the structured learning program

quarters does not know who is on the RWSG's distribution lists and vice versa. But this is about to be corrected.

There has never been a systematic assessment of how recipients use the information that the Program publishes and disseminates. There are numerous unsolicited thank you notes and references to the free information that the Program has on hand, much of which is not always available either at the World Bank bookstore or in technical libraries.

Documentation of successful projects

It is important that the program not only disseminates, but that it communicates

The Program has produced several publications on the transfer of replicable models, but there has not been any active follow up to learn whether the materials produced were used. A wealth of lessons and experience has been gathered, but it is not adequately disseminated, communicated or evaluated. The team found that English is the most widely used language for documentation of lessons learned. Consequently, non–English speaking countries must translate and adapt the disseminated materials. It is important that the program not only disseminates, but that it communicates.

Both the Evaluation Team and a number of people interviewed observed that use of books or literature has been the Program's main tool for dissemination. It was also observed that in many cases these publications do not reach the intended beneficiaries. It is important to focus on identifying target audiences and how they may be reached using a variety of widely available media technologies. The Program could explore the greater use of video and the Internet for disseminating and communicating. In today's world speed-of-transfer of knowledge is also critical to effective use of resources.

In many countries country staff have examples of their best practices, which could be documented and disseminated to other communities or countries. In several others, staff are reluctant to document their best practices for fear that they would be perceived as not meeting a Bank standard and would then be rejected. In other cases project staff time simply has not been budgeted or reserved to record progress, difficulties and lessons learned.

Transfer and exchange of experience

Program staff move in a small orbit. In the countries that the Evaluation Team visited, many members of the staff felt they could learn

more and could communicate what they are doing in their home countries to other countries if they were given the opportunity. Such communication would not only benefit the countries to which staff are transferred, but would also be an additional incentive to the staff themselves.

The team also noted that communities often do not know what their neighbors are doing to solve problems similar to theirs. Knowing that a new method had been tried and accepted in a neighboring community would influence those who have been resistant to change. Study tours would be one way to accomplish this. In the Philippines, community visits by individuals from a neighboring area have been one of the most successful practices.

Communities often do not know what their neighbors are doing to solve problems similar to theirs

In some countries dissemination of information is carried out by individuals and personal contacts. In several instances a few willing and persevering individuals who have developed interest in sector issues have been relied upon almost exclusively. When they are transferred or leave the sector or the Program, there is a breakdown in the transfer of information and knowledge. There is a need for a systematic process involving as many stakeholders as possible to ensure continuity.

Recommendations

The Program should develop a strategy for systematic learning from experience within and outside the Program. This should take account of the different requirements at the levels of pilot, demonstration and large-scale investment projects. It should include at least:

- A definition of the Program's approach to structured learning as an operational concept and process
- A concept of how to ensure that learning experiences from around the world are captured and communicated as rapidly as possible.

The Program could make more innovative and creative use of available information-sharing methods and technologies, such as an interactive electronic mail (e-mail) dialogue among regions or portable audio-visual demonstrations using video cassettes. It could be useful for the Program to maintain an electronic bulletin board, the equivalent of the telephone yellow pages, with the names and coordinates of who knows what.

The Program should develop a system for measuring the number of users and usefulness of the information that is being disseminated.

Chapter 6

Sector Coordination and Collaboration

Sector coordination will have been significantly improved.

Sector coordination is one of the main objectives of the Program. Coordination is required at different levels. First, there is a need for collaboration and coordination among different government agencies. This is very difficult to achieve since the different agencies active in the sector are usually located in different ministries: health, public works, local government, environment and so on. Second, there is a need for coordination among multilateral and bilateral external support agencies and NGOs, which often have different agendas and approaches. Third, coordination is urgently required between the national sector agencies, on the one hand, and the ESAs on the other. Finally, cooperation among countries of a region and among different regions is needed to accelerate the learning process throughout.

Cooperation among countries of a region and among different regions is needed to accelerate the learning process throughout

The UNDP Interregional project document, which forms the basis for the Program's activities during the present project cycle, states that the promotion of closer collaboration at the country level among sector agencies and among ESAs and NGOs active in the sector is an immediate objective. However, in contrast to the other immediate objectives enumerated in the document, the Program has not been given specific directions on how to accomplish this. Only "possible approaches" have been mentioned. In a special note it is pointed out that, "further consultations with governments and among UNDP, the Bank and the Program's bilateral partners are needed to define effective collaborative mechanisms." Thus there were no firm guidelines set out for the Program to follow in the area of sector coordination and collaboration at the national and regional level.

Governments consider formal sector coordination at the national level to be their own responsibility. Although this is not

disputed, most governments are finding it difficult to carry out this role. Most need external support, especially when there is no agreement within the government regarding which agency should take the lead.

To a certain extent, sector coordination is also needed at the regional level but few government agencies are able to assume this responsibility. Regional sector coordination must be the responsibility of a lead country or an international organization active in the sector and in the specific region. Given its independent status, the Program is well suited to play or to support this role.

Results of sector coordination

The Program has had a positive impact on sector coordination in all of the countries in which it has been active. This effect has been more pronounced where the Program has been present continually. The Program's impact has been largely indirect, either through participating actively in the sector dialogue or through involving and working with different sector agencies and organizations on specific projects. Looked upon as an independent organization with a special relationship to the Bank, a major source of funding, the Program can be a channel for informal and non-threatening communication within and among ESAs, NGOs (including the private sector) and government agencies. But, it has been using this advantage to only a limited degree and has been involved in the formation of joint sector working groups in only a few countries.

At the regional level, where the Program can have a more direct impact, it has initiated very few sector coordination activities. West Africa, where the RWSG has begun sponsoring annual meetings of those active in the sector, is one exception. Another positive and frequently praised example is the RWSG's active involvement in a regional workshop on preparing and implementing large rural water supply and sanitation projects in Asia, which was held in September 1994 in Colombo, Sri Lanka. The workshop brought together project managers of IDA-assisted projects, who shared experiences, ideas, problems and solutions.

An example of where the Program has not acted successfully is the Regional Network for Water and Sanitation in Central America. This group was launched in 1992 to enhance collaboration and coordination among government institutions, external support agencies and NGOs. With the Program taking the lead agency role, the

Network was intended to be supported by sector specialists from the World Bank, UNDP, UNICEF, USAID-WASH, PAHO, WHO and IDB. The partner agencies, however, contend that the Program was not able to develop an effective framework of coordination, that it did not select an appropriate manager and that it failed to make use of existing organizations in the region.

Collaboration with other partners

The Program can be a channel for informal and non-threatening communication within and among ESAs, NGOs and government agencies. But, it has been using this advantage to only a limited degree

The Program's record of direct collaboration with other agencies, and especially with other external support agencies, is mixed. Since one of the main reasons for its placement within the World Bank was to influence this major lender, the Program and especially its RWSGs, have tended to focus on Bank investment projects. In some cases the danger arose that the RWSGs had become "service centers" for World Bank staff task managers, as seems to have happened in Pakistan. Consequently, several government agencies and other ESAs complain that the Program does not involve or collaborate with them enough.

There is also a common feeling among the partners that the Program is not learning enough from the experiences of others. Although the Program has increased its participation in the working groups of the Collaborative Council on Water and Sanitation during recent years, several ESAs noted during interviews that the Program appears reluctant to participate actively in multi-agency working groups. Some interviewees gave as an example the fact that the Program did not participate in the development of a sanitation handbook.

Recommendations

The Evaluation Team recommends that the Program should more systematically and consistently make use of its independent image by being more active in sector coordination. This could include:
- Assisting governments in the development and normalization of coordination mechanisms at the national level, particularly facilitating and enhancing coordination among government agencies active in the sector.
- Providing forums for informal and non-threatening communication mechanisms among ESAs, NGOs and the private sector, and between these groups and government agencies.

There is also a common feeling among the partners that the Program is not learning enough from the experience of others

■ Taking a lead role in initiating and developing formal and informal coordination and communication mechanisms at the regional level, especially in connection with the establishment of the regional organizations of the Global Water Partnership. This position might include clearly defining and disseminating a statement of its own role in the sector, thus encouraging the definition of the respective roles of the other agencies in the sector, including UNICEF, WHO and the regional banks.

The Program should enhance its collaboration with other agencies and organizations active in the sector by regularly involving all partners in defining Program priorities and activities and working more actively with other agencies and organizations in international working groups, including those of the Collaborative Council, that are dealing with specific sector issues and developing tools for the field.

Chapter 7

Program Management

Part of the task for the Evaluation Team was to review the efficiency and effectiveness of the Program at headquarters and at the field level. This chapter describes the results of this part of the review, conducted using a traditional approach to organization analysis.

Mission

During the first of the regional tripartite reviews held in New Delhi, one of the participants asked what was the mission or purpose of the Program. Although the staff were sure that there was one, they were unable to find it in a search through the documents currently in use. The evaluation team prepared one based on their reading of the project documentation. Participants at subsequent tripartite reviews discussed and refined this statement to produce the following statement: "The UNDP–World Bank Water and Sanitation Program seeks to help countries find better ways of providing poor people access to water supply and sanitation services on a sustainable basis and to help them build the capacity to do this with progressively less external support. To this end, the Program works with partners at the country, regional and international levels to build local capacity, introduce demand management, support sustainable investments and learn about what works and what does not, and why, and disseminate the lessons of experience within countries and internationally."

As noted in chapter 1, the mission statement developed during the evaluation reflects the Program's change in emphasis—from helping participating countries to expand and extend service coverage in collaboration with other external assistance agencies, to helping countries find better ways to provide service to poor people and to build capacity to do this without external support. The new mission statement also contains a strategic statement as to how this

goal is to be accomplished. It also is consistent with the latest
formulation of internationally agreed objectives for the sector.

As described in chapter 1, the Program adopted a strategy during
its evolution of using a triad of linked approaches: building the
capacity of governments and people to develop and maintain sys-
tems; supporting sustainable investments; and exchanging the
knowledge developed in the process. The immediate objectives of
the Program as set forth in the Interregional Project Document and
discussed in the preceding chapters are obviously very broad and
ambitious. The resources available to the Program could not permit
significant progress to be made against all of them within the project
time frame.

The Project Document notes that the emphasis placed on these
objectives varies from country to country and region to region,
depending on a country's stage of sector development, specific needs
and government priorities. As noted earlier, the effect is to make it
difficult to monitor and evaluate achievement against the objectives.
For this reason, and because of the learning nature of the Program,
the Project Document does not contain criteria for monitoring
progress made against the objectives on a global basis. As a result the
Evaluation Team found it necessary to develop criteria against the
description of end-of-project situations. With more clearly defined
objectives and priorities, Program managers would have found it
easier to select the systems, staff and structure required to achieve
objectives, allocate resources and, probably, raise funds.

The team noted a tension between the desire of Program partners
and staff to have objectives, strategy and priorities set centrally and,
at the same time, wanting to participate in decisions that influence
the direction of the Program. There is a feeling on the part of many
that there is a new sense of direction under current Program man-
agement. Yet, some who welcome this also feel that the new direc-
tion is not supported by a sense of ownership—that the Program
may be losing touch with realities on the ground.

To manage this tension, Program managers could develop strat-
egy through an iterative and participative planning process. This
process could begin with a centrally generated straw-man strategy
based on information gathered by the tripartite reviews and this
evaluation. The straw-man strategy could then be examined in
regional consultations to establish specific regional needs and, if
necessary, help to reorient it. The consultations could be run in a
way similar to the workshops held with the Evaluation Team during
the tripartite reviews and in the country visits, and could include
donors and beneficiaries. At the workshops joint exercises could

There is a feeling that there is a
new sense of direction under
current Program management.
Yet, some feel that the Program
may be losing touch with
realities on the ground

diagnose regional trends and probabilities and their possible impact on the Program. Workshop sessions could also jointly create Program options and a map of decisions foreclosed and kept open by various options. The output for each region should be a succinct description of preferred activities and their justification. This information should then be distributed among all regions.

These consultations could be followed by a final priority-setting exercise involving Program managers and the donors. At least one key person should participate in each regional session. This manager might then be asked to participate in the drafting or reviewing of the final strategy document. The Program should provide feedback to the regions and donors on how the information gathered in the regional consultations was used in drafting the final strategy.

The Program's work plan looks only one year ahead even though many individual projects have a longer time horizon. One reason is the uncertainty of financing

Systems

The Program's managers require several systems to manage the Program. These are a work planning, budgeting and monitoring system; a program monitoring and evaluation system; and a personnel management system. This section reviews each of these systems. Much of the information used in reaching the findings here was gathered directly by the Evaluation Team. However, this section also draws heavily on the observations and conclusions of an internal audit of the Program conducted by the Internal Audit Department of the World Bank during 1993–95.[1]

Work planning, budgeting and monitoring system

Soon after the Program was restructured into its present form, management established a comprehensive system of work planning and programming, monitoring and evaluation. Development of the work plan was to take place over a period of about two months, beginning with an initial request for annual work programs sent out in March of each year. The request lays out the framework, broad principles and the focus that the Program wants to emphasize in the following year, and provides a grid of criteria[2] to be used in selecting activities for the Program. The process culminates in the publication of the Program's Work Plan for the year. This document summarizes the strategy for each country and lays out the agreed tasks, the level of staff resources assigned to each and the sources of financing. The draft is prepared mainly by country teams, then reviewed at regional

headquarters and, subsequently, Program headquarters. It reflects informal consultations with local representatives of donors, government agencies and Bank task managers that take place throughout the year, but are intensified at the time of work programming. The process also includes formal meetings in Washington in April with representatives of Bank operating divisions.

During the tripartite reviews country representatives repeatedly acknowledged being consulted on the work programs for their countries. They also made the point that they would prefer to be consulted at the outset on the content of the work programs. The consultations carried out prior to establishing their plans were not perceived to have been adequate. Specifically, they felt that they were not involved early enough in the process, that the process was too formal with too much time spent on presentations rather than on interaction, debate and discussion and that they could not see how their contributions influenced the setting of priorities. The RWSGs may not have satisfied country expectations because they did not consult broadly enough or because the process was not clear enough. Regardless, at the conclusion of all of the tripartite meetings, the RWSG staff carried out a participative process of consultation at the country and regional level before determining the content of future work plans. They are to be commended for their immediate understanding and reaction.

Although the present process of planning and programming has generally served the Program well, one aspect of the process warrants attention: the time horizon of the planning cycle. Operational units in most institutions and enterprises, including the UNDP and the World Bank, have a three-year rolling plan, a five-year perspective, or some sort of master work program. In contrast, the Program's work plan looks only one year ahead, even though many individual projects have a longer time horizon. There appear to be several reasons for this. One is the uncertainty of financing. A second is that the Program is basically a collection of projects, many of them very short-term, reflecting that donors have preferred to finance projects rather than core activities.

Longer-range planning might allow resources to be used more effectively and efficiently. This is the case in the important area of staffing and personnel management. Another benefit is that it would require Program managers to consider more carefully which activities are dropped when new ones are started. The strategic planning process recommended above will set the framework for such longer-term work programming. The next work programming exercise could follow the strategic planning exercise and cover a three-year period.

> There is no review at the end of the fiscal year to evaluate progress against the plan and link it with the budget

There is a risk that the identity of the Program as being in the Bank but not of the Bank can be lost

Every program must assess its own performance. Two different types of indicators are used for this purpose. At one level, inputs and progress toward completing specific activities or outputs are monitored. At another, indicators are used to monitor progress toward achievement of development objectives. Monitoring inputs in most organizations is done on a monthly basis with quarterly reporting on progress made toward achieving objectives. At the time of the review by the World Bank's internal auditors, the work program for each country in the Program consisted of a set of individual tasks, called products, with a task leader, an identified set of activities and outputs and the staff resources estimated for each. Each task was assigned one of several activity codes that characterize the type of activity (sector improvement, human resource development and so on) and the type of agency to which it is linked (the Bank, a donor, a training network institution and so on). Staff members recorded their time monthly against each task code in the same way as regular staff of the World Bank.

The internal auditors noted that, although the system is detailed and comprehensive, several areas deserved management attention. For many activities there are no milestones or key dates to provide yardsticks for measuring progress or the completion of an activity. Even for the activities that have such elements these elements do not appear in the work program. Individual projects, apart from periodic reports that are made to donors regarding financial conditions, are not the subject of formal supervision reports. While budget resources in general are tightly monitored and controlled, one gap noted was that both headquarters and RWSG may incur expenses against some budget items, each without knowing what the other is committing. The same level of monitoring and control does not appear to be true of the main operational input: professional staff weeks. Although the Bank's Management Information System (MIS) contains time records for each staff member, the auditors did not observe (with some exceptions) that the results are systematically reviewed and analyzed to see how they compare with the plan. The categories themselves could be more helpful. An example is given of a demonstration project being implemented in preparation for a project to be financed by the World Bank. But its coding does not give any indication of its link to the Bank—important information for the Program to try to quantify. The coding system does track this link when assistance to the Bank is provided during implementation of a Bank-financed project. There is no review at the end of the fiscal year to evaluate progress against the plan and link it with the budget. Following the 1995 Program managers meeting, for example, an action

plan was produced defining a number of responsibilities. But, field managers are not sure how progress against this plan should be monitored or how achievement should be rewarded.

The 1994 integration of the Program into the Water and Sanitation Division of the World Bank's Transportation, Water and Urban Development Department (TWUWS) had several advantages, including the more rigorous management of the Bank and the flexibility of being part of an organization with staff from many disciplines. But, there is a risk that the identity of the Program as being in the Bank but not of the Bank could be lost. For example, the most recent status report on the work program of TWUWS[3] does not separately identify the inputs and outputs of the Program. It would be useful to be able to determine what the Program is accomplishing on its own and how much cross-support there is between the Program and the Division, as well as other Bank units. Potential Program donors, as part of the Global Water Partnership, will want to be able to determine this.

The Program should take responsibility for helping establish baseline criteria to be used in determining where the sector is today and in monitoring its movement over time

Program monitoring and evaluation

As noted earlier, the Program does not have a set of development or impact indicators to measure progress against ultimate goals and objectives such as capacity-building, sustainability, community participation, structured learning and so forth. There are at least three possible reasons why. First, the Program's strategy and immediate objectives were not defined well enough to permit the selection of criteria that could be monitored. Second, sector operators have not agreed on common or standard criteria for monitoring access to safe water supply and sanitation, despite an acknowledged need. Third, many Program activities are research and development projects. Indicators for learning programs will be different than those for a construction or training project.

Nevertheless, there must be a way for participants, particularly representatives of funding sources, to determine whether all of this activity is making a difference in the lives of the disadvantaged. Continued funding for the Program will ultimately depend on whether it develops a set of criteria with which to measure progress against objectives. Perhaps more importantly, investment funding in the sector may weaken unless countries can demonstrate that they have reliable assessments of the present situation and a method of determining improvements measured against clearly defined criteria.

The staff needs to know that the Program cares about them and that they will be given opportunities to develop and grow

The recommendation made above concerning strategy development should result in a clearer and more focused set of objectives against which to establish indicators. Much work has been done by the Bank and other sector agencies in defining development indicators for the water supply and sanitation sector.[4] The Program could make it a high priority to ensure the acceptance of such criteria by the international community and to encourage their use by governments. These criteria could be used to collect information as part of the poverty assessment studies currently being undertaken, many with World Bank financing. Many of the Program's activities are of a demonstration nature or intended for project development. While criteria for research and development activities are different, they can be developed.

Personnel management system

Under the present UNDP–World Bank arrangement the Program is bound to follow all of the World Bank's personnel policies and practices. This is unfortunate because the Program is structured quite differently than the Bank. Most of its staff are located in the field and most are non-regular. Conditions of employment, including types of contract, career planning, incentives, etc., should be developed in this context. Poorly suited personnel policies are partly responsible for high staff turnover and feelings of insecurity among those who remain. Given the planned restructuring of the Program as a part of the Global Water Partnership, this governance relationship might change. If so, the Program will be able to develop its own personnel policies and practices.

Work processes and procedures

The above review covers the major systems that support Program operations at headquarters and in the regional and country offices. Other systems might be required that are unique to certain functions at headquarters and in the field. A full review should cover these.

Staff and skills

Several additional issues must be addressed with respect to staff and skills. A principal problem is that there is not enough staff at

headquarters and in some RWSGs to meet current commitments. The additional work required to meet the requests of the beneficiaries and the recommendations of the Evaluation Team would make the problem worse. The staff shortage is largely due to a shortfall in available resources, arising because of a reduction in funds available from UNDP. Program management has begun addressing the immediate gap through intensive fundraising. It now appears that the minimum level of funding required for 1996 will be achieved. Management must still carry out a careful assessment of what can be done with these resources so that staff will not be demoralized by impossible expectations. The work programming process recommended earlier should help in this respect. The issue of the optimal size of the Program is discussed later in this chapter.

The value added by the Program depends directly on the skills and experience of its staff. Most beneficiary countries have sanitary engineers, social scientists and representatives of the other disciplines found in the Program. They expect the Program to contribute the personal experience of its staff, access to the accumulated experience of the Program as a whole and the ability to apply this knowledge and these skills rigorously to the situation at hand. The Program's credibility thus rests on having a high caliber staff. But, there is some concern over this. One reason is that many positions are funded through partially tied bilateral sources that limit choices in recruitment. Another is the high turnover rate. Until financing and personnel policy issues are resolved, maintenance of the highest standards during recruitment will remain the only means to ensure a generally high caliber staff.

The Program's decision to drop some activities, such as handpump development and PROWWESS, because they are now "mainstreamed," has added to the issue of staff skills. As activities are dropped, some staff with expertise in these fields have moved on to assignments outside the Program. But, clients still seek this expertise from Program offices. Indeed, the Program itself still needs these skills on occasion. Care must be taken in recruitment to make sure that skills needed by the Program are maintained or that the Program maintains access to them when the programs are being carried on by one or more of its partners. This is not always easy. New directions for the Program sometimes require different skills. For example, the emphasis on community participation requires the skills of a field anthropologist, while the emphasis on structured learning requires a more academic approach.

Staff development through training and developmental assignments is one way to broaden the knowledge and experience of staff members. It would help motivate the staff where other employment conditions fail. Staff need to know that the Program cares about them and that they will be given opportunities to develop and grow. Program managers recognized this and adopted a plan of action at their meeting in May 1995. This plan needs to be followed up. One means of developing staff, transferring knowledge and perhaps creating more interesting conditions of employment is to rotate staff among assignments in the RWSGs and the countries. There is scope for this. Another way of developing staff, as suggested by the internal auditors, is to recruit, train and mentor younger professional staff who bring new skills, such as those required to facilitate community participation.

Staff recruited by the Program should have mastered at least one of the international languages used in their region and should have the capacity to learn others. The previous evaluation noted that capacity to work in French was missing in the RWSG in Abidjan. This has been corrected. Still, RWSG staff and representatives of the countries informed the Team that there is a paucity of communication and documentation from headquarters in French. Similarly, in East Africa the RWSG is not staffed to serve the francophone countries in the region.

Management style

The Evaluation Team heard one message repeatedly—a need to make the Program a true partnership in which the beneficiaries, other ESAs and donors feel they are respected as equals. While not wanting to manage the Program, beneficiaries and the support community want to be involved in setting its strategic direction and in setting priorities. But, the general perception is that the Program managers are reluctant to learn from the experience of others and to disseminate this learning. The 1991 evaluation recommended that one way to recognize the diversity of stakeholders would be to change the name of the Program to the Joint Program for Water Supply and Sanitation. This was not done. But as part of the new Global Water Partnership the Program will become a true partnership. A change in name will signal this clearly.

The previous evaluation also recommended the creation of a steering committee with a number of management responsibilities

The most important findings: the Program needs a more strategic focus to evolve towards a true partnership and adjust its planning, programming, budgeting and monitoring arrangements

for the Program. This concept was rejected by donors, who felt that management should be left to those responsible. Instead, an Advisory Committee was established, which meets annually to review progress of the Program. An expanded role for this Committee would also signal commitment to partnering.

A closer relationship between the Program and the Collaborative Council on Water Supply and Sanitation would also help change the perception that the Program does not learn from others. The Council includes most of the Program's partners in the process of learning how to better manage the water and sanitation sector. Between bi-annual meetings, a number of Council committees and study groups explore sector-related issues. Some staff of the Program are participating in these study groups. And at least one representative of the Collaborative Council is invited to meetings of the Program's Advisory Committee. The Program should examine other means to demonstrate its commitment to the Council.

When the Program was first established, donors were anxious to help ensure access to water supply and sanitation for the poor as quickly as possible. Program management was relatively free to undertake almost any activity that seemed to lead to improved access. Subsequently, requests for assistance began to come from the field. These were frequently generated by civil servants who spoke for the beneficiaries without knowing their real needs. More recently, clear criteria for selecting Program activities have been developed and administered centrally. Although these have helped focus the Program, some staff members and outsiders believe that the Program is now somewhat out of touch with people's needs.

Reorienting the relationship between headquarters and the RWSGs, and between the Program and the other partners, is fundamental to achieving the Program's objectives. The proposed approach to setting the Program strategy and the recommended work planning, budgeting and monitoring system and process should help. The relationships can be further improved by delegating decision-making to the lowest level in the organization at which it can be exercised responsibly.

Structure

The Program has developed a highly decentralized organizational structure that includes a small and shrinking core of administrative and technical staff at headquarters, five regional managers together

with regional staff, and teams in each of the major focus countries. The organization chart in Annex 5 shows the structure of the Program and current countries of concentration. A list of the principal disciplines and nationalities of the staff at the close of the evaluation is included in Annex 5. The principal roles of headquarters staff are: leading the strategic planning and programming and budget exercise; providing administrative and technical backstopping; fundraising; donor liaison and related activity (including marketing the Program within the World Bank); overseeing the learning and dissemination process; and facilitating exchanges of personnel and learning among regions. The RWSG staff carry out the daily operations of the Program. This structure is generally working well. There is a consensus within the Program and among the beneficiaries and donors that this structure is an important asset of the Program and should not be changed. The Evaluation Team agrees (subject to action being taken on earlier recommendations which would strengthen the RWSGs).

The allocation of resources to these countries reflects the work load involved and the relative costs of supervision. Countries that do not have their own country teams, are usually handled through the regional team, which is usually larger and more flexibly staffed than individual country teams. During the tripartite reviews the suggestion was made that the Program designate country contact persons who are knowledgeable about the Program's activities and could thus serve as a link to the Program. The Evaluation Team agrees as long as the chosen person is well-connected and respected in the sector.

Beneficiaries, other ESAs, donors, NGOs and even task managers of the World Bank and staff of the regional bureaus of UNDP usually judge the performance of the Program by the competence and responsiveness of the RWSGs

Beneficiaries, other ESAs, donors, NGOs and even task managers of the World Bank and staff of the regional bureaus of UNDP usually judge the performance of the Program by the competence and responsiveness of the RWSGs. The competence of the RWSGs could be improved with additional funding, as discussed below. Another improvement would be to transfer some of the functions and activities of TWUWS and the Program to the RWSGs. In doing so, the staff carrying out these functions would be closer to the beneficiaries and their needs, provide a greater variety of disciplines in the regions and enable the RWSGs to be more flexible in responding to needs.

Strengthened RWSGs could become centers of excellence for some specializations as well as centers for publication and dissemination of information. They should also carry out fund raising and donor liaison activities within their region, be active in regional organizations and work closely with the regional development banks.

Principal issues and summary recommendations

The general conclusion is that while Program management is adequate, there are a number of areas in which it can be improved. The most important findings are: (i) the Program needs more strategic focus; (ii) it needs to continue to evolve toward a "true partnership;" and (iii) it needs to adjust its programming and budgeting arrangements. Following is a listing of recommendations dealing with issues raised in this chapter.

Recommendations

Mission

1. It is recommended that Program management review the mission statement prepared by the Evaluation Team and confirm its validity or modify it in consultation with all of the partners in the Program strategy.

2. It is recommended that the Program managers establish the strategy for the next phase through an iterative participative process, beginning with a tentative, centrally determined strategy based on information gathered by the tripartite reviews and this evaluation, and by making optimum use of the Program's comparative advantage. Country and regional consultations to establish specific regional needs would use this draft strategy as background information and suggest changes that might better satisfy their needs. Finally, management should finalize the strategy in consultation with the principal partners of the Program.

Work planning, budgeting and monitoring system

3. It is recommended that Program management:

■ Make a greater effort to record and analyze how staff time is spent. In this it should revamp activity codes to make them more useful (Management has already set out to do this in response to the internal audit report).

■ Conduct reviews, at least semi-annually, but preferably quarterly, of performance against input and output indicators and activities. These can be primarily for internal use, although they might be cited informally in discussions with the World Bank, UNDP and other partners.

■ Require each Program manager to evaluate performance of his staff in part using the results of these reviews.

4. It is recommended that the inputs and outputs of the Program be identifiable within the work program, budget and reports of the Division.

Program monitoring and evaluation

5. It is recommended that the Program take responsibility for helping to establish baseline criteria to be used in determining where the sector is today and in monitoring its movement over time. It should do this by:

■ Developing a clear set of monitorable indicators with which to measure progress against objectives.

■ Making one of its high priority activities the upgrading of systems to measure access to safe water supply and sanitation by the poor in rural and marginal urban areas; encouraging other international agencies working in the sector to adopt a similar approach; and advocating that they adopt and use these indicators.

Once such criteria exist, the Program should conduct with its partners a participatory self-evaluation of progress against the indicators for each of its objectives during the annual work planning exercise. This evaluation should include the number of persons served for each demonstration or large-scale investment project. The Program's Annual Report should incorporate the findings of this exercise.

Personnel management system

6. It is recommended that the Vice President, Environmentally Sustainable Development, request that the Senior Vice President, Management and Personnel Services, designate a resource person to assist the Program in designing personnel policies and procedures more suitable to its organization. The UNDP and the Bank could then be asked to put the new policies into effect for the remainder of the current project.

Other work processes and procedures

7. It is recommended that the Program manager arrange for a review of work processes at headquarters and in the regions to determine whether different work methods and procedures could improve efficiency. The Organization and Business Practices Department (OBP) might be able to assist with this exercise.

Staff and skills

8. It is recommended that Program managers systematically review professional development needs and opportunities with each

staff member and jointly agree on an appropriate program by no later than the next staff performance review.

9. It is recommended that Program management review language requirements for staffing in each region and develop plans to meet these requirements through recruitment or training. It is further recommended that language skills at headquarters be developed so that headquarters can communicate directly with the regional staffs.

Management style

10. It is recommended that the Program be named as the Water Supply and Sanitation Program of the Global Water Partnership.

11. It is recommended that the role of the Advisory Committee be expanded to approving the strategic plan for the Program and reviewing progress against the objectives each year.

12. It is recommended that the Program encourage its staff to participate in the committee work of the Collaborative Council by planning and budgeting time for this activity. The formal relationship with the Council should be strengthened perhaps by formal representation on each other's governing or advisory bodies.

13. To achieve the sense of teamwork that is sought within the Program, it is recommended that the Program manager involve managers and staff of the regional offices and headquarters in designing and implementing ways to respond to recommendations to strengthen the management of the Program.

Structure

14. It is recommended that opportunities for further decentralization to the RWSGs be examined in the review of work processes. Consideration should be given to using the RWSGs as facilitators in establishing the regional groups under the Global Water Partnership. Decision-making authority should be delegated to the regional managers on issues for which they can exercise this authority responsibly, thus enhancing the prestige and effectiveness of the regional groups.

Notes

1. *Report on an Audit of the UNDP–World Bank Water and Sanitation Program, South Asia Operational Functions*, Confidential Report; Internal Audit Department, World Bank; September 27, 1995.

2. Annex 4 presents the criteria now used in selecting activities for the Program.

3. TWUWS FY96 Midyear Review; memorandum to Anthony Pellegrini from Paula Stone; December 11, 1995

4. See, for example, *Indicators Program, Monitoring Human Settlements—Key Indicators, Abridged Survey;* Programme of the United Nations Center for Human Settlements, Nairobi; March 1995.

Chapter 8

Program Financing

Although the Program is an organic and integrated entity in the operational sense, funding by the UNDP remains tied to the original, individual, regional and interregional project components. At the same time bilateral support is governed by a multiplicity of individual project agreements. These funding arrangements have greatly complicated financial management and accounting. The level of funding peaked in 1991 and has since declined rapidly, largely because of severe UNDP financial difficulties (table 1 and figure 3). From 1992 to 1994 disbursements from UNDP dropped by about $4.5 million, a decline of nearly 50% and a loss of about 30% of the Program's total resources from the 1992 level. During that period bilateral funding increased, but not nearly enough to offset the loss. In 1995, out of total funding of $11.1 million, $6.4 million came from bilateral donors, $3.7 million from UNDP and $0.9 million from the World Bank.

Within the funding categories, there are also constraints regarding the use of funds. In the past, funding for the core activities of the Program came principally from UNDP's interregional budget. This amount dropped from $4.7 million in 1992, to $1.1 million in 1994, with a slight recovery to $1.3 million in 1995. The balance of the UNDP contribution comes from its regional budget or Country Indicative Funds. This amount is generally intended to support projects carried out at the country level, although some of it may support staff of the RWSGs. Bilateral donors have differing approaches to allocating their funds. In general, they have preferred to support specific projects rather than core activities. In fact, most of their funding is allocated by country desks that have no interest in core activities. This practice is in keeping with a worldwide trend to show concrete results to taxpayers.

A significant portion of the World Bank's contribution is earmarked for direct support to the Bank's operational activities or

is the passing through of fees earned for the management of trust funds. In calendar year 1995, out of the $947,000 coming from the World Bank, $149,000 was for activities directly supporting World Bank operations and $443,000 represented fees received by the Bank for management of trust funds that support the Program. Thus the Bank's real contribution to the Program's activities was only $355,000 or 3.2% of its total budget.[1] This compares with $1.0 million (7.7%) in 1993.

Program managers have taken steps to bring expenditures in line with reduced funding and some of the major bilateral donors have picked up the costs of positions previously funded by the UNDP. Nevertheless, activities could not be cut back far enough or fast enough to bridge a funding gap. As a result, as of early 1995 the Program faced a substantial shortfall for its regional staff and operations in both Africa and Asia during 1996. The Program has explored new ways to access funding for activities through the end of 1996. It has approached many of its donors to obtain additional money or permission to use funds already approved or earmarked more flexibly. Mainly as a result of new commitments of support from a few donors, the Program has the financing needed to continue activities at the present level to the end of 1996. However the core function no longer has the critical mass required to assure a high quality Program.

In recent years core funding has not fully covered core activities, including management and technical support staff at headquarters and the regional level, plus some activities at the country level including the team leaders. As a consequence, individual positions and activities at headquarters and in the regions have been increasingly funded from bilateral sources. These commitments are often relatively short-term and tied to the funding cycle of individual donors. Even UNDP core funding is tied in this manner. One consequence of this arrangement is that in 1996 the UNDP funding cycle will end at the same time as a number of bilateral funding arrangements. Only bridge financing by some bilateral donors has kept the Program functioning.

The internal audit report notes that the present financial arrangement hampers the Program's effectiveness. Among other difficulties, it shortens the work programming cycle and, most important, requires that valuable professional time and technical resources are used in seeking funding sources. Many high-level staff at headquarters and in the field are fundraisers, beginning with the Program manager at headquarters and including regional managers and

From 1992 to 1994, disbursements from UNDP dropped about $4.5 million, a decline of nearly 50% and a loss of about 30% of the Program's total resources at the 1992 level

Table 1
Program disbursements by donor, 1978–95
(USS thousands)

	1978	1979	1980	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991	1992	1993	1994	1995	Total
Bilateral Agencies																			
Australia	0	0	0	0	0	0	0	0	0	0	0	0	0	0	11	2	30	11	54
Canada	0	0	0	0	79	499	494	476	455	93	490	297	133	83	92	931	29	0	4,152
Denmark	0	0	0	0	0	0	0	0	0	0	86	409	137	224	326	686	393	399	2,660
Finland	0	0	0	0	150	131	36	34	35	0	48	123	146	126	0	111	134	0	1,075
France	0	0	0	0	0	0	0	0	0	503	359	15	0	0	0	0	35	80	992
Germany	0	0	0	0	0	40	519	237	388	460	372	66	99	50	66	0	0	44	2,341
Ireland	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	87	26	113
Italy	0	0	0	0	0	0	91	24	60	80	45	35	0	0	0	0	42	231	608
Japan	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	343	1,111	1,402	2,856
Luxembourg	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	122	267	235	624
The Netherlands	0	0	0	0	0	0	0	0	0	0	0	131	699	1,839	2,062	1,519	653	302	7,205
Norway	0	0	0	0	0	0	148	281	323	663	605	8'0	1,276	854	1,348	1,474	972	1,554	10,259
Sweden	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	202	329	880	1,411
Switzerland	0	0	0	0	0	0	196	258	401	895	1,019	344	368	1,094	953	904	1,175	1,107	8,714
United Kingdom	0	0	0	0	0	0	78	191	96	0	0	0	99	180	193	180	0	151	1,166
Total Donors	0	0	0	0	229	670	1,563	1,501	1,758	2,695	3,024	2,230	2,907	4,450	5,051	6,472	5,256	6,421	44,229
UNDP																			
Interregional												3,331	3,895	3,532	4,670	1,298	1,058	1,279	19,063
Regional Africa												1,886	2,139	2,121	402	1,024	916	561	9,098
Regional Asia												0	0	1,384	328	641	1,319	723	4,395
Country Projects												1,540	1,888	3,870	3,205	2,033	1,985	1,123	15,644
Other Regional												138	147	243	445	150	79	52	1,254
Total UNDP	51	415	822	2,135	3,818	4,054	3,936	2,306	4,820	4,637	11,805	6,894	8,119	11,150	9,049	5,145	5,357	3,738	88,250
World Bank *	0	0	0	0	0	0	178	37	113	0	0	0	575	636	1,061	1,002	843	355	4,800
(Fee Income)ª													—	—	—	423	513	443	1,378
(CAM)ᵇ													—	—	—	0	0	149	149
Total World Bank	0	0	0	0	0	0	178	37	113	0	0	0	575	636	1,061	1,425	1,356	947	6,328
Grand Total	51	415	822	2,135	4,048	4,723	5,677	3,844	6,691	7,332	14,829	9,124	11,601	16,235	15,161	13,042	11,968	11,106	138,807

* The World Bank's contributions represent several funding mechanisms (primarily fee-income and administrative-budget grant support which have evolved over time). Pre-1990 data could not be found for every year.
a. Fee income: revenue earned from managing funds for other donors.
b. CAM: payment received from other parts of the World Bank for support provided to operational lending activities.

Figure 3
Donors' contributions
(US dollars)
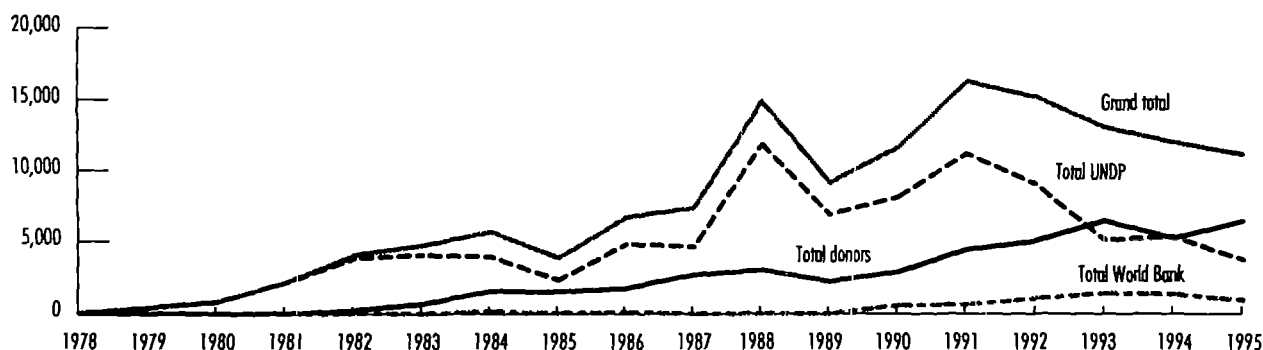
An Evaluation of the UNDP--World Bank Water and Sanitation Program

country team leaders. Audit team interviews indicated that as much as 50 percent of key managers' time is spent on direct fundraising or in donor-related activities.

Another impact of the weak financial support is low staff morale, high turnover and difficulties in developing and implementing a long-range human resources plan. Individual staff members must frequently be financed with project activity funds of relatively short duration. This limits the terms of employment because World Bank policy, by which the Program is bound, requires that contracts be coterminous with funding. An experienced staff member with much-needed core skills might have to be supported with a series of short contracts, some for no more than six months.

The internal auditors noted that staff uncertainty caused by short contracts is worsened by the perceived lack of commitment from the World Bank. Staff members in the field told the auditors that they could live with relatively short-term contracts provided they had a sense that the Program would continue. But they felt that the Program is not valued by the Bank. For example, they point to the lack of any mention of the Program in the documents describing projects to which Program staff have provided assistance. They are aware that the Bank's real contribution to the Program since 1992 has far from offset the decrease in overall core funding, despite the fact that this decrease began before the present round of World Bank downsizing. The Evaluation Team heard from other possible and actual donors that lack of World Bank support, in addition to cutbacks made by UNDP, has affected their willingness to support the Program.

The internal audit report recommended that the Vice-President, Environmentally Sustainable Development (ESD), make the necessary arrangements to commit the Bank to provide greater financial support to the Program, recognizing its synergy with the new direction Bank operations are taking. The report suggested that this commitment could take the form, of among other things, financing or allocating Bank positions to the slots required for the managers of the RWSGs. The Evaluation Team supports this recommendation and proposes that Bank support for core activities be pooled with that of others to avoid identifying sources of funding with individuals.

Recommendations

These financing issues will also trouble proponents of the Global Water Partnership. A suggestion made to planners of the Partnership was that it finance its activities through a water fund.[2] Such a fund

Activities could not be cut back far enough or fast enough to bridge a funding gap

would be at arm's length from any specific donor and could attract funding from different sources. At the same time donors to the fund could earmark the specific elements of the work program to which they wanted to contribute. Finally, it was argued, the fund arrangement could help provide an element of continuity to the principal thrusts of the Partnership, such as the Program. Developing countries or their institutions would submit the proposals from which the activities that the water fund would support would be selected. The size of the water fund could be based on anticipated needs over a period of time, say four years (the Evaluation Team feels strongly that the present size of the Program is the minimum needed to be effective). Donors would commit to provide their pro rata share of the administrative costs. They would choose the projects that they wished to support from the agreed upon overall program. Establishing a more meaningful consultation process is likely to mean an increase in funding opportunities. Several donors said they would be willing to put more money into the Program if this approach is taken.

The Global Water Partnership will not be formally established until August 1996. The Swedish aid agency, Sida, has agreed to provide funding for the Secretariat. At this stage proponents have not discussed the funding mechanism by which the Program will be incorporated into the Partnership. In the meantime, the Program must find financing for the next stage of its activities. A Program strategy and work program developed from the ground up by consensus with all of the partners will facilitate this process.

It is recommended that the Program managers establish a funding pool similar to the suggested water fund—with the size based on an agreed upon strategy and work program. A percentage of all funding should be set aside for core costs, as determined by an agreed upon budget. As the principal core function is the distillation and dissemination of worldwide learning in the sector, this share might be called the Learning Fund. The remainder of the funding could be earmarked by the various donors to the elements of the Program that they choose to support. Given the impact of the Program on the capacity of countries to implement and sustain large investment projects, the World Bank should play a major role in raising the financial support required for the Program to succeed.

Note

1. This does not recognize the value of a number of overheads such as office facilities and publications provided by the Bank, and

paid either from its administrative budget, or from a portion of the fee-income retained by the Bank for administering the contributions of other donors

2. *Governance for the Water Partnership;* a Discussion Paper contributed to the Stockholm meeting by William Cosgrove; 11/30/95.

Chapter 9
Conclusions and Recommendations

The Evaluation Team found that the Program has a strategic advantage that is recognized by beneficiaries and donor partners. It agrees with both parties that the Program should be continued. The Program performs a unique function. It is focused on the provision of water and sanitation services to the poor in rural and marginalized urban areas. It is interregional, trusted, accepted and considered independent by nearly all partners, yet seen as close enough to the World Bank to influence this major lender. Its regional structure makes it accessible to countries. It is credible when it advises on policy and disseminates information. And it can influence informal sector coordination at all levels.

The designers of the current phase of the Program set objectives for it that were broadly defined, ambitious and clearly beyond the Program's ability to achieve alone. Methods to measure its impact were not clearly defined. And since changes that have taken place in the sector are the result of many forces and the contributions of many factors, it is not easy to separate out the specific contributions of the Program.

By its mission, much of what the Program does is related to learning through research and experience, both in its own and others' projects. Objectives and indicators for this type of activity are different from those of projects designed to provide goods or services. At the outset of its work the Evaluation Team designed a set of indicators against which it could measure the Program's progress. During the evaluation the evaluators also gained experience. The indicators that they would select now are different from those chosen in the beginning. Today, the Team would attempt to separate objectives and activities into two categories: projects designed to produce definable outputs and impacts and projects designed to learn what is needed and how to achieve it. The indicators for the first category would be more quantifiable than those for the second

category. This approach is recommended for the future.

Program activities have contributed both directly and indirectly to projects that provide improved access to water and sanitation for the poor and to those that create capacity to carry on this effort. They have also contributed to learning about new approaches to providing service which can be used at the government and community level. The Program's staff has accomplished this in spite of the difficulties of working with continuously, and sometimes unexpectedly, reduced resources.

The Program has had its greatest successes when sector agencies and NGOs have been involved in prior pilot and/or demonstration projects

Capacity-building: institutions, people, technology and research

National and local institutional capacity in different countries has been strengthened to varying degrees by the Program. The Program has had its greatest success when sector agencies and NGOs have been involved in prior pilot or demonstration projects. Several problems are still common. In many countries it is not certain that the capacity of the community to act on its own is sustainable. Skills and incentives are missing for the continuing operation and maintenance of the systems that have been installed. In many countries there is still a multiplicity of government agencies acting in the sector, contributing to inconsistency and confusion in policies and practices. Where NGOs have been active in developing systems, there is a lack of intermediation with the government agencies whose support will be needed for sustainability. In some cases, more effort must be made to sustain awareness of the value of sensitivity to issues of gender and human diversity in general. There is still a need to create and strengthen existing national training institutions and networks.

Investments in the sector are lagging. Yet the capacity of communities to build, operate, maintain and sustain water and sanitation systems for the disadvantaged continues to be the major constraint hindering large-scale sustainable investments. Building this capacity is a slow process. More effective and innovative techniques must be developed to speed it up.

Effectiveness of policies, strategies and plans

Principal findings
Most countries have made significant progress in shifting to demand-driven sector policies and strategy. The extent to which these policies

and strategies are implemented varies widely. At least 13 countries have sought assistance from the Program to develop national, provincial or municipal sector policies. Through this assistance, the Program has had an impact on policy directions in these countries.

Future issues
The reasons why the new policies and strategies are not being implemented vary by country and need further study. Governments and the Program have not given a high enough priority to hygiene education, better hygiene practices and access to sanitation, including solid waste management, especially for peri-urban areas.

Impact on domestic and external investment

Principal findings
The impact on investment has been mixed. Several task managers in the World Bank have found the Program helpful in preparing projects. Others have acknowledged the impact of the work of the Program on their own thinking. But there is little recognition of the Program in the Bank's operations documents although the Program has been associated significantly with more than $2 billion of Bank-funded projects. The influence of the Program is often indirect as in South Africa, which is not a country of concentration, but where the Program's approaches are influencing some $275 million of investments for community water and sanitation. Some investment projects have been facilitated because there are strategies in place to which the Program has contributed, such as in Benin and Ghana. In some cases such as Bolivia, Nepal, Pakistan and Sri Lanka, the World Bank is learning from demonstration projects in which the Program is involved. But there are other countries, such as Uganda, where scaling up has not yet followed demonstration although the government has expressed commitment to the approach. In addition, many of the World Bank and regional bank task managers do not look to the Program as a source of information and assistance. Those in the Bank who have used the Program have most often learned about what it can do from the RWSGs, rather than from headquarters.

Future issues
Providing input during the preparation of investment projects is needed, but there is danger that the Program will become a service center. It must maintain its identity and independence. The

Capacity-building is a slow process, but it is essential to sustainable future large-scale investments in the sector. Now that there are more large scale investment projects underway, it is important that they be monitored by the Program for lessons learned

approaches that the Program has identified as helpful often require changes in the procedures and in the attitudes of the lenders and the countries. The Program could do more to foster political will among the donors and the countries to support demand-driven investment. In many cases it is questionable whether the capacity yet exists to support sustainable, large, demand-driven investment. The Program can help to develop the understanding among governments and donors that, at least up to now, no one has found a way to shorten the time required for the capacity-building essential for sustainable projects. Finally, the Program's sponsors and donors must insist on a system that will enable them to determine what progress, if any, is being made against the sector objectives.

Systematic learning and exchange of information

Principal findings
There have been some successes in systematically approaching the learning process. These include a workshop on the subject sponsored by RWSG-EAP in 1994 and systematic approaches planned or underway in Indonesia, Nepal and the Philippines. But the Evaluation Team generally found systematic learning and exchange of information to be the weakest element of the Program. The Program has yet to define systematic or structured learning or action research in conceptual or, more importantly, operational terms. Many of the case studies have been documented but are not culturally transferable. There is a bias toward producing reports in English and there is a need for information in other international and local languages. Yet the Team found that there is a wealth of learning that has not been documented. A research project should not be considered complete until its findings have been documented, disseminated and effectively communicated. One reason for the failure to document is that local staff are reluctant to share the lessons that they learned for fear of criticism or rejection by Program headquarters and Bank staff, who are perceived to have higher standards.

Program staff do not learn enough from others outside the Program or enough about activities being carried out elsewhere within the Program. There have been some local initiatives to overcome this in India and in East and West Africa. But, Program staff continues to move in small orbits. Internationally knowledgeable staff are few in number. Over-dependence on personal or individual networking leads to a lack of continuity and breakdowns in information transfer.

> The Program still is trying to do too much. Part of the reason is that its initial objectives were too broad and ambitious

It is recommended that the Program be continued, maintaining its distinct identity within the Global Water Partnership

Future issues
Now that there are more large-scale investment projects underway, it is important that they be monitored by the Program to distill lessons learned. Methods of disseminating such lessons have been traditional and uncreative. Once the Program develops an approach to better gathering and sharing of lessons learned, it should be monitored and evaluated regularly to ensure its effectiveness.

Sector coordination and collaboration

Principal findings
Governments are responsible for formal sector coordination at the national level. But, most are experiencing great difficulty in fulfilling this task and would benefit from outside support. Some sector coordination is also needed at the regional level. In all countries where the Program has been active and, especially, where it has had a continuous presence, it has positively affected sector coordination by providing forums for informal and non-threatening communications between ESAs and NGOs, and between these organizations and government agencies. The Program has been less successful as a regional coordinator. Its record with regard to direct collaboration with other agencies is also mixed. Some ESAs have reported a serious lack of willingness on the part of the Program to participate in international working groups. The recent record shows that, whatever the initial cause for this unhappiness, the Program now makes every effort to collaborate systematically within the limits of its resources.

Future issues
The role of the Program in formal and informal sector coordination at both the country and regional level requires better definition.

Program management

Principal findings
The Program still is trying to do too much. Part of the reason is that its initial objectives were too broad and ambitious. At the same time, budget cuts have resulted in inadequate resources to support several core and field activities. In 1995 a major effort was made to strengthen the work planning, budgeting and monitoring system. The criteria introduced at that time for selecting countries of con-

centration and specific projects should help significantly. It would still be useful to review the Program's strategic focus, keeping in mind the Program's comparative advantage. Although the Program has been evolving to recognize the roles of the donors that support its activities and the countries that benefit from them, Program managers should involve both donors and beneficiaries to a greater extent in defining strategy and developing work programs.

Program management needs to be fully reviewed and strengthened. Staffing, systems and procedures, management style or culture and structure should be selected to support the redefined strategic direction, to respond to client needs at the regional level and to ensure that authority is delegated to the lowest appropriate level.

Future issues

The Program needs to be strengthened as quickly as possible to ensure effective use of resources in the ongoing phase. At the same time it must begin discussions to raise financing for the next phase of activities in a manner that will ensure both the adequacy and continuity of funding. As leaders of the flagship program of the Global Water Partnership, the Program managers must define its relationships in a way that gains donor confidence.

Corroboration of conclusions by questionnaire

From the 100 responses to the close ended questions asked in the questionnaires distributed by the Evaluation Team, between 63 and 75 percent of the participants in the survey responded positively with respect to the Program achieving its objectives (see figure 2). But, there are three areas in which the Program is seen as contributing much less: the developing of low-cost technology, providing publications that are useful and positively affecting sector policies. Rightfully, the Program is not currently involved in development of low-cost technology. It is focused instead on keeping abreast of developments and keeping the field informed. The low rating given here might be linked to the relatively low rating given to providing publications which are useful in the work of the respondents. Respondents may simply feel that they are not hearing enough from the Program about low-cost technology.

The low rating in the area of communicating learning confirms the message heard consistently that the Program is not doing an adequate job of communicating what is being learned. The lower rating

given to the Program's role benefiting sector policies is probably derived from the indirect link that is generally seen between the Program's activities and changes in sector policy. There are many factors at work that ultimately convince a government to introduce new policies. The Program's influence is only one.

Recommendations

It is recommended that the Program be continued, maintaining its distinct identity within the Global Water Partnership. The Program has been transforming itself while helping to transform the sector. This is commendable. It should continue to evolve in response to changes in the environment, thus setting an example in the sector of continuous improvement. Nevertheless, this evaluation provides an opportunity for stock-taking and significant course correction. Throughout this report a number of recommendations are made for improving the Program and its approach to the sector. Although these were made in the context of specific subject areas, such as capacity-building or effectiveness of sector policies, they are interrelated.

The first three of the following recommendations are intended to improve the way the Program achieves its immediate operational objectives. The last two will help the Program do this, but concern internal changes in the management and financing of the Program to ensure its efficiency and sustainability. It is, therefore, recommended:

■ That the Program create, or cause to be created, programs or projects supporting direct user-to-user assistance or mentoring. These would bring together those who have already been through the process of introducing water supply and sanitation services, using the approaches recommended by the Program, with others who are beginning the process. Users should manage these programs. The RWSGs, ITN centers or other NGOs and ESAs might play facilitating roles. The Program should recommend more selective use of individual capacity-building approaches which include an emphasis on the role of WID, appropriate technology, training and focus on policies and strategies based on specific country needs.

■ That the Program assist governments in identifying the obstacles to implementing new policies and determine what role it might play in assisting governments to overcome them. Case studies should be developed based on successful examples of demand-driven, bottom-up sector policies and strategies. These should be

promulgated through such means as the Program's India Think Tank, the annual West African Retreat, workshops and seminars. Study tours with follow up and support should be arranged for sector politicians and administrators to visit countries that have successfully put such policies into effect. The Program should provide policy advice and technical assistance that give higher priority to hygiene and sanitation.

■ That the Program make greater efforts to learn from the experience of others and to document and disseminate lessons learned. It should make more innovative and creative use of available information-sharing methods and technologies, for example, an interactive e-mail/dialogue system among regions and portable audio-visual demonstrations using video cassettes.

■ That the Program manager should conduct a full review of the management of the Program. A review of the purpose, strategy and priorities for operations and research should be conducted jointly with the Program's partners, including both donors and participating beneficiaries. Staffing, structure, systems and procedures should flow from the strategy and priorities. Greater decentralization from headquarters to the RWSGs and a more collaborative relationship between the Program and the other partners, are fundamental to achieving the objectives of the Program.

■ That the Program managers seek to establish a funding pool similar to the suggested water fund. The size would be based on the agreed strategy and work program. A percentage of all funding would be set aside for core costs, as determined by an agreed upon budget. As the principal core function is the distillation and dissemination of worldwide learning in the sector, this share set aside might be called the learning fund. The rest of the funding could be earmarked by the various donors for the elements of the Program they choose to support. Given the impact of the Program on the capacity of countries to implement and sustain large investment projects, the World Bank should play a major role in raising the financial support required for the Program to succeed.

The Program is a model for the Global Water Partnership. Its strategic or comparative advantages are those needed by the Partnership as an advocate of integrated water resource management. As noted above, the Evaluation Team recommends that the Program retain its distinct identity as the program within the Global Water Partnership that is dedicated to ensuring the provision of safe water supply and sanitation for disadvantaged rural and urban populations. Based partly on evaluation of the Program, a discussion paper was

submitted to the founding conference of the Global Water Partnership. This paper recommended that the governance of the Partnership encompass a true partnership, decentralization to the regional and the country level, respect for the autonomy of the donors and the beneficiary countries and transparency based on clear objectives and monitored criteria and reporting.

Annexes

Annex 1

Status of Recommendations from 1991 Evaluation

A team of external evaluators carried out the last evaluation of the UNDP–World Bank Water and Sanitation Program in 1990–91. Their Summary of Principal Findings and Recommendations contains 54 recommendations addressed to the Program managers and its sponsors. Many of these have been implemented. Given the number of recommendations and the evolutionary nature of the Program, others are still in the process of being implemented. Finally, Program management has not acted on a few recommendations that they do not consider appropriate. The reader is referred to the original report for a complete listing of recommendations. The following sections comment only on those recommendations that are still being implemented or have not been acted upon. They are presented under the headings in which they appeared in the report.

Chapter 2: An emerging identity

a) Change the title of the Program to "Joint Program for Water and Sanitation."
■ This change was not made because the Program managers did not consider the word joint to be appropriate. However, they agreed that a more representative title was desirable and are seeking a more appropriate title.

b) Link the Program more closely with the monitoring program currently being developed by UNICEF in collaboration with WHO, with CESI, and with the International Labor Organization's (ILO's) network of training programs.

An Assessment of the UNDP–World Bank Water and Sanitation Program; Report of an Independent Team; May, 1991

■ CESI no longer exists. Efforts are ongoing to collaborate on monitoring. However, the current evaluation team did not see an integrated monitoring program at either the country or global level. Similarly, it did not find at the country or regional levels an integrated listing of training programs offered by ILO, the ITNs, and others providing training in the sector.

c) Establish closer links with other UN agency sector staff already working in the participating countries and draw upon the agencies for short-term consultant services.

■ This is being done quite systematically with WHO and UNICEF. In China there has been collaboration with UNTCDC. In Kenya the Program has worked with ILO. There seems to be little collaboration with PAHO. Thus there has been progress and cooperative efforts are continuously increasing.

d) Increase the participation of PROWWESS in Program activities as a means of expanding links with NGOs (as well as enhancing women's participation at various levels).

■ PROWWESS has been fully integrated into the Program. However as a result of budget cuts activities in this area have been cut back.

e) Expand contacts with regional development banks (following policy discussions in the Collaborative Council).

■ Contacts with the Asian Development Bank (ADB) have been good over the years. Representatives of ADB told the Team that they have been even better under the new Program management. ADB is experiencing organization and financing problems that have affected the possibilities of working more closely with them. There has been little contact with IDB. Cooperation has been wanting in the past. The new Program management in Bolivia is expected to address this issue there and in neighboring countries. In general, Program managers believe that they have begun to improve relationships with IDB.

Chapter 3: The financial base

a) UNDP should continue to provide core support for the Program at not less than the existing level and the World Bank should assume significant financial responsibility toward the core costs.

■ UNDP funding for the Program has been the victim of general budget cuts in all UNDP programs. The World Bank has provided additional funding in recent years. Some of this is

through the CAM process, that is, compensation to the Program
for services. This has not provided the Program with the
resources it needs to maintain its work program. Staffing at head-
quarters and the field is now less than the critical level required.

b) A Joint Task Force should be set up by UNDP and the Bank to
negotiate an appropriate division of core cost support.

■ Bank management declined.

c) UNDP's regional bureau should continue and expand their
support, including the broadening of operations in Latin America
and the Arab states.

■ Support has not expanded overall. They did provide the core
money for the Central American and Andean Networks. The Pro-
gram was involved in only one regional project in the Arab states.

d) UNDP should consider consolidating all of its support into an
overall indicative planning subvention for core support (both at
headquarters and at the field level) on a rolling basis over a five-year
period, allocated with the minimum possible documents.

■ It is not known whether this was considered but it was not
undertaken. On the contrary, funds have been withdrawn with
short notice after the Program had previously been advised of
their allocation. The three-year work plan and budget currently
being prepared will provide another opportunity.

Chapter 4: Interchange with sponsors

A small informal Review Board comprising representatives of sup-
porting donors should be established with the following functions:

a) provide for candid and unrestricted exchange of views; b)
sanction important policy statements; c) verify the need for signifi-
cant changes in managerial and programming arrangements; d) con-
sider new initiatives, taking account of the need for coordination
with Board members own programs; and e) help mobilize continu-
ing support for the Program.

■ An Advisory Group has been created to which Program man-
agement reports annually. Although the Group provides feedback
to the Program's managers as provided under (a) above, it has no
formal terms of reference and does not appear to fulfill the other
functions recommended. The Team understands that the Nordic
donors in particular did not wish to create the more formal
review structure. They preferred to leave the responsibility for
these actions to Program management.

Chapter 5: The World Bank linkages

b) Cooperation between the Program and the Bank's technical and operating departments in the areas of work programming, sector work, project preparation and policy guidance to governments should be continued and expanded.

■ Good progress has been made for some countries. However, the suggested approach cannot be said to have become generalized. The Program could be more proactive.

Chapter 6: Management and staffing

a) Consideration should be given to carrying out a more comprehensive organization and management study of the headquarters structure than the team was able to conduct, to identify possible economies and ways of improving management efficiency.

■ While a management study was not done, the recent internal audit does cover some of this area and makes some suggestions.

b) The problems relating to conditions of service should be addressed as a matter of urgency. The Team proposes that the Bank's Vice President for Personnel and Administration be requested to undertake a review of the current situation for the purpose of developing a system that would reduce the existing anomalies to the absolute minimum consistent with legal requirements governing World Bank administration.

■ It is not known whether the VPA ever received this recommendation. It has not been undertaken.

c) As a minimum, all staff members, before signing their contracts, should be informed very clearly of the terms on which they are being engaged. In addition, field staff should be told the terms of employment of other members of the RWSGs.

■ Although this is not being done systematically, it is not considered as big a problem as previously thought because the Bank has reduced the number of categories of staff, making the system more transparent. There does remain the problem of radically different compensation for locally recruited and internationally recruited staff who may have similar qualifications and responsibilities.

Chapter 7: Field structure

a) Although the composition of the various RWSGs will necessarily vary in accordance with the regional situation and Program priorities, membership might typically include: engineer (rural water supply), economist/financial analyst, community development specialist, human resources development specialist, engineer (sanitation and waste management), one person-year of consultancy (various), and a public health specialist in West Africa.

■ Many of these positions are provided, but in a scaled-down version to fit the budget. The result is that in some offices, clearly in East Africa, a critical mass is no longer present.

b) The human resources specialist would be responsible for expanding activities aimed at capacity-building and for relations between the RWSGs and the ITN centers.

■ When there were human resources specialists in the teams, they had this responsibility. As the staffing of the RWSGs has decreased and the ITN centers have become more independent, there has been a tendency for this relationship to weaken.

c) In West Africa half the members of the RWSG should be French speaking.

■ The target has been exceeded. The need is now for more staff who speak English.

d) More nationals from the respective region should be included in the RWSGs, and in-country staff should, to the extent possible, be nationals of the country concerned. The situation varies by region, but in general there are more nationals in the regional staff. Most staff in the country offices are nationals of the country. [Note that these figures have yet to be verified from the staffing lists.]

e) Budgetary resources should be increased to provide for additional country Program staff, some of whom could assist a cluster of neighboring countries.

■ This was done temporarily. Today, there might be fewer resources for this purpose than when the recommendation was written. It is necessary to keep in mind the distinction between Program staff and project staff. The latter are on specific assignments and leave when that task is completed.

f) In Latin America two modest offices—RWSGs in embryo—should be established: one for Central America and the Caribbean region based in Guatemala City and one for South America, based in Bolivia.

■ An office was created in Central America and the responsibility for it has been transferred to UNICEF. There is an office in Bolivia, but it is basically a national office as opposed to an office serving South America.

Chapter 8: Strategy and effectiveness

b) Organized consultations should be held with all governments with regard to the proposed country work program for their countries prior to its finalization.
■ Consultations do take place. However, there is an issue about who represents governments. Government representatives met by the evaluation team feel that these consultations prior to work programming still need to be more organized.

c) Future emphasis should be placed on analyzing the lessons learned from Program-sponsored demonstration work, as well as from the experience accumulated by other agencies and programs, and on disseminating the information thus gathered as a step toward scaling up to major investment projects. Organization of rural water supply demonstration projects should be de-emphasized unless there is some compelling reason to conduct one, in collaboration with government, where none exists.
■ Analysis of demonstration work, and especially of the experience gained by other programs and agencies, still does not receive adequate attention. Staff are being recruited to address the issue of dissemination of lessons learned. Nevertheless, scaled-up projects are being designed to incorporate many of the lessons learned.

d) Work in low-income, congested urban areas both on the urban fringe and within cities should be expanded, along with intensified research and development aimed at building a wider range of low-cost intermediate technologies, with high priority on sanitation.
■ The Program is now beginning to address these issues. However, resources available for this purpose are minimal compared with the size of the need.

f) The Program should define more clearly its approach to capacity-building and to the priorities it should focus on in this important area.
■ This remains to be done. Some guidance was given by the Advisory Committee in Delft.

Chapter 9: International training network (ITN)

b) The assessment process for establishing a Network center should be oriented to the objectives, and the selection of institutions, key staff, and preparation of work programs should follow accordingly.

■ The principal selection criterion now being used is whether there is local demand. The remainder of the above recommendation flows from this.

e) Global collaboration, as well as ITN expansion, should be the responsibility of a small and non-bureaucratic coordination unit at World Bank headquarters. But for collaboration activities such as training, exchange, research, documentation, information and so forth, this unit should cooperate with appropriate international institutions, thus establishing a link with the entire water and sanitation community.

■ One person was given the above task as a full-time assignment. However, the effort was dropped, presumably because there was no demand for the service or approach.

Chapter 10: Program priorities in the 1990s

c) Revitalize the ITN along the lines described in Chapter 9 as a critical component of future strategic planning and as an instrument to support locally generated initiatives based on Program principles and priorities.

■ As noted earlier, this effort was dropped. The local ITN centers are now largely supported by bilateral donors, with the emphasis on their financial autonomy. Where they are most successful, it is precisely because they support locally generated initiatives. However, links to the Program are now almost always made on an ad hoc basis.

d) Accelerate publication of Program findings. These publications fall into two categories: materials needed as soon as possible by operational staff and the ITN (guidelines, case studies, designs, sample questionnaires and soon) and basic research findings. The long process of research and peer review for the latter should not be allowed to jeopardize operations by delaying the former. Preparation and publication of the former might be entrusted to the ITN centers.

■ There is almost unanimous agreement among clients of the Program that this area continues to be neglected. Gathering, eval-

uating and disseminating lessons has been neglected because of operational priorities and budget restrictions. A communications specialist, who will address the issue, is now joining the Program. No systematic attempt has been made to use the ITN centers for this purpose.

e) Prioritize the research and development effort to support the agreed strategy. More systematic and operationally focused research on both hardware and software is vital. Much more of this should be undertaken through the rejuvenated ITN, which will be in most direct contact with field needs.

■ There has been a clarification of objectives. In 1995 a priority-setting process was established for the work program. Structured learning has been adopted as the guiding principle to research. However, little attempt has been made to transfer the actual research to others, such as the ITN, which has not been rejuvenated.

f) Develop and disseminate models for institutional systems that ensure sustainable service. These models should draw on a range of institutions (public sector agencies, NGOs, the private sector and user communities) and should emphasize involving the communities themselves.

■ The work program involves these types of activities. However, it has not been carried out, evaluated and disseminated systematically.

g) Make greater use of social marketing approaches and techniques to ensure that scaling-up activities are truly demand driven. Effective demand approaches should be based on the customer selection of service level and the willingness to pay.

■ This recommendation is interpreted by the Program managers to mean advocacy or selling the concepts of the recommended approach. There can be no doubt that the principle underlies the Program's activities. Field experience is varied. Project developers often have difficulty accepting the slowness and apparent cost of the approach. Even where countries have agreed to adopt the strategy, projects continue to be carried out that do not respect it. The advocacy role of the Program could be reinforced.

h) Expand activities in low-income areas not adequately served by existing conventional systems and established utilities, and support this effort with expanded innovational research on appropriate urban technologies, institutional arrangements and linkages with conventional urban systems.

■ The Program is beginning to address this recommendation, especially in the area of sanitation, for example, in Ouagadougou,

Burkina Faso. Program managers consider that the supply of water in these areas is a question that is best addressed by the water utility specialists.

i) Establish closer cooperation with the Urban Development Division (INURD) of the Bank's Infrastructure and Urban Development Department (PRE) complex to link Program activities with overall urban policy and planning.

■ Program managers have found this difficult, especially with their limited staffing.

k) The next decade will see increasing problems in the urban infrastructure in developing countries, especially in the megacities . As a complement to the urban component of the program, consider broadening the scope of the Asia Sector Development Team into an Urban Environmental Services Team (UEST), and expand its activities beyond Asia to Latin America and selected major cities in Africa and the Arab states, with core funding from UNDP's DGIP and Regional Bureau.

l) It is not recommended that the Program and the proposed UEST, if established, be merged and brought under a single management. Each program should have its own specific identity and focus, as well as diverse staffing and management requirements.

m) If broadened in the manner suggested, consider locating the management of UEST in the Urban Development Division of the Bank's PRE complex to facilitate coordination with the Program and with urban policy research.

These three recommendations are interrelated. It is not clear to whom they should have been addressed. Program management has not acted on them.

Annex 2

UNDP–World Bank Water and Sanitation Program: Logical Framework Analysis

Annex table 2 1
Logical framework analysis

End-of-project situation	Indicator	Source/means of verification
1. National and local capacity strengthened from community to ministerial level	1 1 Appropriate models of institutional framework including role of private sector and national research institutions 1 2 Beneficiaries acquire skills required by participatory approach. 1.3 Greater attention to gender issues. 1.4 Creation and support of national training networks linked to regional networks 1 5 Recruitment of national staff for in-country and regional posts.	1 1 Obtain list of organizations with increased capacity and means used. 1.2 Selected verification with beneficiaries. 1.3 Selected verification with beneficiaries. 1.4 Obtain lists of networks created and supported; verify with network members. 1.5 Examine staff lists of current and previous years
2. Countries have made significant progress in shifting national sector policies and strategies to become demand-driven, bottom-up	2 1 Involve private sector, NGOs, communities and users, especially women, in development and management of services 2 2 Decision-making at lowest possible level 2.3 Financing through cost recovery 2 4 Development and use of affordable technologies.	2.1 New policy/strategy document exists which include these. 2 2 Sector/project reports, and consult selected beneficiaries. 2 3 Questionnaire 2 4 Individual meetings or focus groups covering beneficiaries, NGOs, ESAs, private sector and government agencies at all levels.
3.1 New options for provision of services tested in large-scale projects and learning disseminated.	3 11 Large scale projects include components with new organization and/or technical approaches. 3.12 Evaluation of new approaches built into projects. 3 13 Lessons learned disseminated within country, region and interregionally as appropriate, as well as to financing agencies and donors.	3 11 Obtain list of projects from regional program. 3.12 Review appraisal reports for projects. 3.13 Regional manager provides list of means used (publications, workshops, training materials, etc.) and recipients
3.2 Qualitative improvements in design and implementation of large-scale investments projects.	3 21 Program identifies and provides inputs to design and implementation of investment projects funded by World Bank, regional development banks and other donors to improve access by poor through demand-driven sector policies 3.22 Projects are more sustainable as result of Program involvement	3 21 Obtain list of investment projects to which inputs have been made by Program. Verify through appraisal reports, interviews with project Task Managers 3.22 Seek opinions of governments, task managers, beneficiaries and others; exercise judgment
4. Systematic learning process developed and institutionalized.	4.1 New approaches to sector development tested and monitored at country level, results fed back into sector development process 4.2 Cross-fertilization encouraged between regions, for example, by exchange of national staff 4.3 Learn from projects and research outside Program	4 1 Obtain list of examples, related documents, and mechanisms used to feed results back into sector development process from regional managers. 4 2. Ask for mechanisms used for inter-regional cross-fertilization including staff lists with explanatory notes 4 3 Interviews of headquarters and regional managers.

Logical framework analysis (cont.)

End-of-project situation	Indicator	Source/means of verification
5. Sector coordination will have been greatly improved	5 1 Sector-coordination mechanisms formalized among national agencies 5 2 Formal and informal coordination and communication mechanisms developed at country level among ESAs and NGOs, and between them and government. 5 3 Formal and informal regional coordination and communication mechanisms developed to involve countries and other partners.	5 1 Ask governments for documents formalizing mechanisms. 5.2 Ask country reps and regional managers for documents for formal mechanisms and examples of informal ones. 5 3 As above.
6. Efficient, cost-effective organization and management structure at headquarters and field levels.	6.1 Clear objectives and strategy developed in participatory manner and well-communicated to all levels 6 2 Work planning and monitoring systems in place to ensure focus on priorities. 6 3 Management and staff performance appraisal system in place related to Program objectives. 6 4 Management style encourages two-way communications between and within all levels, and creativity. 6 5 Roles and responsibilities of headquarters and regional offices are clear, and appropriate to mandate and work plan 6.6 Numbers and skills of staff are appropriate to work plan 6 7 Staff retention ensures continuity of skills and knowledge of program. 6 8 National staff with gender sensitivity fill most positions at headquarters, regional and country levels. 6 9 Efficient and effective mechanisms are in place to raise funds and apply them to national and regional programs and projects 6 10 Partners are satisfied that Program has utilized their strategic advantage (value-added)	6.1 Assess clarity of objectives and strategy, assess process for their development with respect to participation at all levels. Determine whether knowledge of existing objectives and strategy obtains at all levels. 6 2 Examine process for setting priorities, and for preparing and monitoring the work plan; relate existing work plans to Program objectives 6 3 Consult management and staff at all levels. 6 4 Consult management and staff at all levels. 6.5 Consult management and staff at all levels and compare with strategy 6 6 Seek the views of management and staff at all levels, compare work plan with staff numbers and profiles 6.7 Examine staffing records for turnover with respect to numbers and skills. 6 8 Examine staff records over recent years and document trends 6 9 Assess existing and possible alternative mechanisms with Program managers and Internal Audit. 6 10 Interviews with managers of Bank, UNDP, major donors, and possible major donors who do not contribute

UNDP–World Bank Water and Sanitation Program External Evaluation

Work Program Summary (July 1995–January 1996)

Literature review	July 20–Aug 10
Prepare regional (tripartite review) meetings	Aug 21–31
Headquarters interviews	Aug 21–31
Bank and UNDP	
Regional meetings	
(Including prep. country meetings)	
Delhi	Sept 18–19
Jakarta	Sept 21–22
Nairobi	Sept 28–29
Abidjan	Oct 2–3
Country meetings	Oct 10–31
Donor consultations	Nov 1–15
Headquarters 2nd Round Interviews	Nov 1–15
Evaluation team working session and	Nov 28–30
presentation of findings to UNDP-WB	
Draft final report	Dec 15
Final report	Jan 15

List of Persons Met

Annex table 3 1
UNDP Headquarters and New York

Name	Division
Carlin Wiesen	RBA
Christian Lehembre	RBA
Ben Brown	RBAP
Roberto Lenton	SEED
Firouz Sobhani	SEED
Tim Rothermel	STAPSD
Frank Hartvelt	STAPSD
Piet Klop	STAPSD
Arienne Naber	STAPSD
Claude Sauveplane	UNDDSMS
Jacob Burke	UNDDSMS
Richard Rieger	RBAS
Dr. Michael Sacks	BPPS/STAPSD
Helli Perrett	BPPS/STAPSD
Gounsankar Ghosh	UNICEF
Brenden Boyle	UNICEF
Michael Saint-Lot	UNICEF

Annex table 3 2
World Bank Headquarters and Washington DC

Name	Division
Brian Grover	TWUWS
Bruce Gross	TWUWS
Laurie Edwards	TWUWS
Jennifer Sara	TWUWS
Wendy Wakeman	TWUWS
Mike Garn	TWUWS
Mari Dhokai	TWUWS
Armi Felix	TWUDR
Louis Pouliquen	TWUDR
Letitia Obeng	AFTES
Tony Van Vugt	EDIEN
Edouard Motte	EA2EM
Alberto Harth	AF5IN
Jean Doyen	AFTES
David Grey	AFTES
Francois Mone-Patorni	EDIEN
Karl Kleiner	SA2AW
Laura Frigenti	AF2PH
Christopher Couzens	SA2AW
John Shepherd	AF1EI
Maryvonne Plessis-Fraissard	AF3IN
Xavier Legrain	SA2AW
Dung Nguyen	IADDR

Annex table 3 2
World Bank Headquarters and Washington DC (cont.)

Name	Division
Steve Weissman	AI 2EI
David Howarth	HRGLL
Diann Martin	ACCTF
Anupam Khanna	EA3IN
Graeme Lee	SATIN
Leslie Rigaud	GEF
Tauno Skytta	OEDD3
Jan Janssens	AF5IN
Olga Boemeke	OPRSL
Raymond Reid	PAHO

Annex table 3 3
South Asia: Tri-partite review meeting, September 18–September 19, 1995, New Delhi, India

Name	Title	Organization
G. Haldia	Joint Secretary	MOF
R.S. Sharma	Director (TC)	MOF
Manoranjan Kumar	Deputy Director	MOF
P.K. Sivanandan	Joint Secretary	MORAE
Dr. S.K. Biswas	Adviser	MORAE
B.S. Minhas	Joint Secretary	MOUAE
Dr. S.K. Shukla	Adviser	CPHEEO/MOUAE
Tilak Hewawasam	Director	Community WS Program, Government of Sri Lanka
D C. Pyakuryal	Director General	Dept of WS & S, Government of Nepal
Ian Curtis	First Secretary/WSO	ODA
Jens Bjerre	Counsellor (Dev), New Delhi	DANIDA
Carel Brands	First Secretary	DGIS (Netherlands)
Ove Bjerregaard	Deputy Resident Representative	UNDP, India
B. Radhakrishnan	Program Officer	UNDP, India
Manel de Silva	Sr National Program Officer	UNDP, Sri Lanka
Zafar Iqbal	Assistant Resident Representative	UNDP, Pakistan
M. Alam	Project Implementation Officer	ADB, India
Rupert Talbot	Chief, WSS	UNICEF, India
B.B. Samantha	Project Coordinator, WSS	UNICEF, India
J.C. Pospisilik	Regional Director	WHO, India
Arun Banerjee		World Bank, Bangladesh
Tashi Tenzing		World Bank, Nepal
Sheela Patel	Director	NGOs, SPARC, India
Brian Grover	Program Manager	
Robert Boydell	Regional Manager	
Rekha Dayal	Regional Program Adviser	RWSG SA, India
L. Panner Selvam		
K S. Ramasubban	HRD Adviser	RWSG SA, India
Susan Turnquist	Consultant	RWSG SA, India
K.M. Minnatullah	Team Leader	RWSG SA, Pakistan
Zahir Sadeque	Team Leader	RWSG SA, Bangladesh
Prem Raj Goutam	Consultant	RWSG SA, Nepal

Annex table 3.4
East Asia and the Pacific: Tri-partite review meeting, September 21, 1995, Jakarta, Indonesia

Name	Organization
Dr. Soutsakhone Chantaphone	MoPH, Lao PDR
Dr. Phan Si Liem	Vice Ministry of Construction, Vietnam
Baasanhu Damba	Mongolia
Ellen Pascua	DILG, Philippines
Willem Horhoru	Bina Swadaya, Indonesia
Ifan Afani	Bina Swadaya, Indonesia
Ir Reggy Irwani Busroni	OECF, Indonesia
Michael Sternberg	DANIDA, Indonesia
Hans Vervloeg	Dutch Embassy
Hilda Winarta	AusAid
Neil Collins	AusAid
Robert Kim Farley	WHO, Indonesia
Y.D. Mathur	UNICEF
Imam Krismanto	Bappenas, GOI
Francois Binder	Swiss Embassy
Jan C. Kamp	UNDP, Indonesia
Fritz Lobus	UNDP, Indonesia
Minoli De Bresser	UNDP, Indonesia
Bonana Siahaan	UNDP, Indonesia
Ibrahim Zahab	FAO
Brian Grover	WB, Washington
Robert Boydell	RWSG SA, India
Jerry Silverman	RWSG EAP, Indonesia
Richard Pollard	RWSG EAP, Indonesia
Mary Judd	RWSG EAP, Indonesia
Alfred Lambertus	RWSG EAP, Indonesia
Nguyen Cong Thanh	RWSG EAP, Vietnam

Annex table 3 5
Eastern and Southern Africa: Tri-partite review meeting, September 18–September 19, 1995, Nairobi, Kenya

Name	Title	Organization	Country
D N Stower	Deputy Director	Water Development, Ministry of Land Reclamation	Kenya
J.E. Alela	Director	Urban Development, Ministry of Local Government	Kenya
F W Maina	Sr Urban Planner	Urban Development, Ministry of Local Government	Kenya
Victor M Serugendo	Town Clerk	Kampla County Council	Uganda
P Kahangiere	Director	Directorate of Water Development, Ministry of Natural Resources	Uganda
Simon S Mambali	Commissioner for Water Affairs	Ministry of Water Energy and Minerals	Tanzania
George Nhunhama	Coordinator	National Coordination Unit, National Action Committee for Water and Sanitation	Zimbabwe
C C. Govah	Chief Water Resources Officer	Water Department, Ministry of Irrigation and Water Development	Malawi
Ato T Mosissa		Water Supply & Sewerage Authority	Ethiopia
Dr Paul Taylor	Executive Director	Institute of Water & Sanitation Development	Zimbabwe
Khamisi Chome	Deputy Executive Director	Kenya Water for Health Organization	Kenya
Margaret Mwangola	Executive Director	Kenya Water for Health Organization	Kenya
Matthew N. Kanuki	Director	Network for Water & Sanitation International	Kenya
I. Islamshah	Head	Swiss Development Corporation	Kenya
Sara Wakeham	Coordinator	Unit II, HABITAT	Kenya
Aage Kruger	First Secretary	Royal Norwegian Embassy	Zambia
Ato Girma Alemayehu		UNDP	Zambia
Frederick Lyons	Res. Representative	UNDP	Kenya
Nancy Asanga	Dep. Res Rep.	UNDP	Kenya
Khadija Ibrahim	Program Asst	UNDP	Kenya
Salome Mwenda	Project Officer	UNDP	Kenya
Ken Maskall	Project Officer	UNDP	Tanzania
Kristin Sverdrut	Program Officer	UNDP	Tanzania
George Zimalima	National Program Officer	UNDP	Malawi
Motlana	Asst. Res Rep	UNDP	Uganda
Bruce Gross	Sr Tech Asst.	World Bank	Washington DC
Tore Lium	Reg. Manager	Regional Water & Sanitation Group, World Bank	Kenya
Mukami Kanuki	Regional Specialist	Regional Water & Sanitation Group, World Bank	Kenya
Leif Hommelgaard	Planning Engineer	Regional Water & Sanitation Group, World Bank	Kenya
Rose Lidonde	Asst. Program Officer	Regional Water & Sanitation Group, World Bank	Kenya

Annex table 3 6
Western Africa: Tri-partite review meeting, Abidjan, Côte d'Ivoire

Name	Title	Organization
J. Bazille-Finley	Resident Representative	UNDP, Abidjan
A Cisse	Regional Program Officer	UNDP, Abidjan
R. Radji	Program Officer	World Bank, Abidjan
O. Cissoko	Program Officer	World Bank, Abidjan
Bruce Gross	Sr. Tech. Asst. Officer	World Bank, Washington DC
Alain Mathys	Regional Manager	Regional Water & Sanitation Group, World Bank, Abidjan
Anni Manou Savina	Project Officer	Regional Water & Sanitation Group, World Bank, Abidjan
Sylvie Debomy	Project Officer	Regional Water & Sanitation Group, World Bank, Abidjan
Eustache Ouayoro	Project Officer	Regional Water & Sanitation Group, World Bank, Abidjan
Yves Degiacomi	Project Officer	Regional Water & Sanitation Group, World Bank, Abidjan
A Djouka	Dir of Water Department	Ministry of Equipment, Abidjan
M. Sakho	Dir of Water Department	Ministry of Equipment
A Toupe	Hydraulics Dept. Director	
H. Ouadraogo	Chief of Sanitation Dept	Water & Sanitation National Agency, Burkina Faso
M. A. Congo	Ex-General Manager	Water & Sanitation National Agency, Ghana
M L Salifu	Deputy Director	Waste Management Dept, Kumasi Metropolitan Authority, Ghana
H Ouedraogo	Division Chief	ADB, Abidjan
C. de Rooy	Reg Programs Coordinator	UNICEF
M Jensens		DANIDA, Cotonou
P Berthet Thomas		French Cooperation
Arnal		French Agency for Development
A. Mady		ASAPSU, Abidjan
G Kopieu		CREPA-CI, Abidjan
A. Badarou	Consultant	Essentielles, Cotonou
Eugene Larbi	Managing Director	TREND, Ghana

Annex table 3 7
Country meeting, India

Name	Title	Organization
V M. Ramaprasad	Deputy Adviser	Ministry of Urban Affairs & Development
S Mendiratta	Deputy Secretary	Ministry of Rural Areas & Development
Dr. Camila da Costa	Joint Director	ACDIL
PS Reddy	Administrator	Panjim Municipal Council
R R Mohan	Consultant	OM
Nagabhushan	Consultant	OM
Kullappa	Consultant	OM
A Dasgupta	Director	Development Dialogue
Dr. V Lakshmipathy	Professor of HRD & M	Osmania University
Dr. Shyalama Abeyratne	Chief Advisor	IRS & WS Project
Carel de Groot		IRS & WS Project
P M.K. Namboodiri	Director	Institute of Rural Development
PV. Rao	Executive Secretary	Municipal Industrial Trust
LP Selvam	Team Leader	RWSG-SA, World Bank
K S. Ramasubban	Sector Specialist	RWSG-SA, World Bank
A Dasgupta	Consultant	RWSG-SA, World Bank
M. Ravichandran	Admin Secretary	RWSG-SA, World Bank

Annex table 3.8
Country meeting, Pakistan

Name	Title	Organization
Arif Hasan	Consultant	OPP
Mohammed Murtaza	Deputy Director (Planning)	LGRDD
Imtiza Elahi	Acting DG	PMU
Saleem Raza	Project Coordinator	
Ismat Ara Saeed		SPO
Simi Kamal	Managing Director	Raasta Development Consultant
Siddique Khan	Director General	LGRDD
Syed Mubbashir Aftab		PHED
Hamanyun Sabir	Assistant Director	LGRDD
Amin-ud-Din Ahmed	Deputy Director	Ministry of LGRDD
Mir Naeemullah	WSS Specialist	MSU
John Collett		Gilgit
Muhammed Aslam		PHED
Atta-ur-Rehman	Project Director	PHED
Cmdr. A A. Naseem	Chief Executive	NRSP
Yasmeen Jawaid		
Allah Javaya		
Qazi Azmat Isa	Chief Executive	BRSP
Abdul Aziz Khan	Chief Engineer	PHED
Syed Mazhar Ali Shah Bukhan	Director General	RRD
Saeed A Khan	Deputy Director	Local Bodies & Rural Development
Raja Rehan Arshad	Engineer	RWSG SA, Pakistan
K M Minatullah	Team Leader	RWSG SA, Pakistan
Maliha Hussein	Consultant	Enterprise Consulting (pvt) Ltd.

Annex table 3 9
Country meeting, Indonesia

Name	Organization
Dr. Marthini Budi Salijo	National Planning Board Office (Bappenas)
S Bona	UNDP
Minolli de Bressier	UNDP
Nugoroh	BAPPENAS
Mednl	BAPPENAS
Risyano	Ministry of Public Works
Iswadi	World Bank
Juli Soemirat Slamet	Institute of Technology Department
Nashihin Hasan	CARE
Willem Horhoru	Bina Swadaya (NGO)
Rachmadi	Rudjito Public Works
Indrawati	

Annex table 3.10
Country meeting, Philippines

Name	Title	Organization
Ellen Pascua	Asst. Program Manager	DILG
Rogelio Ocampo	Head, Planning Division	DILG
Rebecca Ravalo	Project Officer, PHI Project	DILG
Elizabeth Yape	Project Officer, FW4SP	DILG
Raissa Segovia	Development Management Officer	DILG
Rogelio Flores	Project Director, PMO-Rural Water Supply	DPWH
Lamberto Abrecea	Chief Mechanical Engineer	PMO-Rural Water Supply, DPWH
Ma Ines Bagadion	Executive Director	ITN
Maribel Belizano	Operations Officer	World Bank, Manila Office
Thelma Cruz	Program Manager	UNDP
Eriberto Calubaquib	Resident Manager	Carl Bro Group A/S (Local Consultant)
Charles Pendley	World Bank Consultant	LGUUWSSP
Kennedy Tuzaon	Community Development Specialist	LGUUWSSP Team
Carmelo Gendrano	Resident Officer	Tulungan Sa Tubigan Foundation (NGO)
Santanu Lahin	UNV Specialist	PHI Project, RWSG EAP
Cesar Yniguez	Team Leader	PHI Project, RWSG EAP
Eladio T Abesamis		PPDO Staff
Yolanda A. San Juan	Supervising Sanitary Inspector	IPHO
Romeo S. Francisco	Engineer	DEO/DPWH
Crisanta G. Sevilla		MLGOO/DILG

Annex table 3 11
Country meeting, Ethiopia

Name	Organization
Almaz Jerefe	Int Holistic Approach
Asefa Gemeda	Ministry of Health
Inge H. Rydland	Norwegian Church Aid/E
Meselech Seyoum	Water Action
Tesfu Estifanos	Water Aid
Amha Yesus Metaferia	Metaferia Consulting
Yirbarek Tessema	AA Urban Development Project
Lakech Haile	Ministry of Water Resource
Fanta Fayissa	Oromia WMERDB
Piero Buca	Italian Embassy
Belete Muluneh	Private Consultant
Endashaw Tadessa	ESRDF
Gedion Asfaw	Private Consultant/WB
Mesfin Lemma	UNICEF WES
Estifanos Zerai	Ministry of Water Resource
Gebre Selassie Okugagzhi	World Bank, Ethiopia
Yohannes Gebremedhin	Ministry of Water Resource
Akale Kifle	U/Dev Support Serv.
Teshome Regassa	Ministry of Health
Guma Alemayehu	UNDP
Rose Lidonde	RWSG-EA, World Bank
Tore Lium	RWSG-EA, World Bank

Annex table 3.12
Country meeting, Uganda

Name	Organization
Ian Dolan	GOAL
C.B Jespersen	RJWASA
Sven Jacobi	DANIDA
Theresa McDonnell	Irish Aid
Monica Kunihira	Water Aid
Wr. Fellous	UNICEF
J M.R Kiiza	KUPP
Marcella Ochwo	KUPP
Samwel Mutono	DWD
Moses Gava	DWD
Ayub Kutori	KUPP
Kakembo Fred	KUPP
Andrea Bauer	UNDP
Wilson Wamimbi	RUWASA
David Mukama	RUWASA
Muaizi Rwandume	KCC
Leif Hommelgaard	RWSG-EA, World Bank
Rose Lidonde	RWSG-EA, World Bank

Annex table 3 13
Country meeting, Benin

Name	Title	Organization
Andre Toupe	Director	Direction de l'Hydraulique
Stanislaus Nkwain	Resident Representative	UNDP
Sherry Suggs		USAID
Dr Souleymane Diallo	Program Coordinator	UNICEF
Kay E. Ehlers		IGIP
Flemming Nichols		DANIDA
J Lugros Vauquelin		CFD
Adnen Affogbolo	Director	Direction de l'Hygiene et de l'Assainissement
Georges Aballo	Director General	SIBEAU
Kona Mere	Regional Director	Direction de l'Hydraulique, Boycon
Faustin Dahito	Director	ENERDAS
Veronique Gnanih	Coordinator of Project Application	CPPS
J Eudes Okounde	Administrator	Consult, Cabinet d'Ingeniere-Conseil et Assistance Technique
Philip Anglais	Development & Training Consultant	CEDA
Prof Alfred Mondjanogni	Development & Training Consultant	CEDA
Jean Baptiste Achidi	Director	STRA HM
Agniola Claudione Badarou	Senior Consultant	ESSENTIELLES
Da Silva	Project in-Charge	UNDP
Helga Fink	Chief	IGIP
Bettina Horstmann	Biologist	GTZ
Lambert Koty	Director General	Agence d'Execution des Travaux Urbains
Christian Loupeda	Project in-Charge	World Bank
Bachir Oloude	Director	SERHAU
Amidou Roufai Tamama	Director	Societe Beninoise d'Electricite et d'Eau
Bernard Gnantonnou		CEO, Survie de la Mere et de l'Enfant, Dassa-Zoume

Annex table 3 14
Country meeting, Ghana

Name	Title	Organization
Eustache Ouoyoro	Projects Officer	RWSG WA, World Bank
S. Edem Asimah	Planning Officer	CWSD-GWSC
Thomas Kirke	Senior Advisor	CWSD/DANIDA
Else Moller Nielsen	Inst. Secr.	Danish Embassy
Philippe Collignon	Project Officer	C F.D
Emmanuel M Bawa	Project Officer	UNICEF
Dr. J G Monney	Head of Environmental Quality	Civil Eng. Department
Henry Noye-Mortey	Director/Environmental Health Division	Ministry of Local Government & Rural Development
Samuel Akwei Allotey	Env Health Technologist	Ministry of Local Government
Kwame Aswonnteng	Env Health Technologist	Ministry of Local Government
Divine Dugbartey	Asst. Public Health Eng.	Ministry of Local Government
Eugene Larbi	Managing Director	TREND Group
Pauline Foli Neefjes	Program Officer	UNDP
Collins Annoh	Consultant	World Bank
E D. Mannor	Deputy Minister	M W.H
N.A. Asmah	Chief Mechanical Engineer	W M D./A.M A
S A. Darkwen	Deputy Director Water	M W.H
D T F. Agyapong	Deputy Director Housing	M.W.H.

Annex table 3 15
Country meeting, Bolivia

Name	Title	Organization
Walter Franco	Resident Representative	UNDP
Antonio Vigilante	Deputy Resident Rep	UNDP
Gerardo Berthin	Project Officer	UNDP
Isabelle Girardot-Berg	Resident Representative	World Bank
Fernando Tamayo	National Secretary	Urban Affairs
Jorge Calderon	National Directorate	Water & Sanitation
Jose Decker	Director	PROSABAR Project
Fidel Herrera	Director	IPTK
Ricardo Gonzales	Technical Advisor	PROSABAR Project
Virginia Chumacero	Social Advisor	PROSABAR Project
Marco Quiroga	Technical Advisor	PROSABAR Project
Ramiro Iporre	Head	Basic Sanitation Unit
Gustavo Clavijo		Ministry of Health

Annex table 3 16
Bilateral donors

Name	Organization	Country
Klaus Kresse	GTZ	Costa Rica
Willem Ankersmit	DGIS	Holland
Hughes Le Masson	Formerly Caisse Francaise	France
Piers Cross	Mvula Trust	South Africa
Mona Gleditsch	NORAD	Norway
Ingvar Anderson	SIDA	Sweden
Alistair Wray	ODA	United Kingdom
Paul Peter	SDC	Switzerland
Guy Carrier	CIDA	Canada
Hank van Schaik	Formerly DGIS	Netherlands
Jes C Boye-Moller	DANIDA	Denmark
Henning Jensen	DANIDA	Denmark
Eddy Perez	EHP	U.S.A.

Annex 4

UNDP–World Bank Water and Sanitation Program: Criteria for Selecting Projects of Opportunity

The following criteria should be applied when selecting projects of opportunity within which the Program will work.

Project characteristics

- *Vehicle for structured learning in the Water and Sanitation Sector*—The projects' objectives should be such that they provide a vehicle for carrying out our mandate of improving knowledge and practice in the water and sanitation sector, particularly in the theme areas established by the Informal Institutions Group established under TWUWS.
- *Adaptive and flexible design*—The projects should be based on a flexible and adaptive design that will use a learning process approach during their implementation.
- *High potential impact on future practice and projects*—The projects should have high potential for having an impact on future projects and sector initiatives both in the country and globally.
- *Sufficient resources*—The projects should have sufficient resources assigned to them to ensure a high standard of preparation and supervision. Within each project sufficient resources should be allocated to manage the learning process.

Project justification

- *High potential impact on sector development*—The project should have a high potential for having an impact on improving service delivery and sustainability in the country.
- *Collaborative sector operating division (SOD)*—The project should have a task manager and division chief who are willing to collaborate with the Program and who support innovation and systematic learning. They should also be willing to take a stand on principles and maintain support throughout the projects' evolution.
- *Cooperative government*—The recipient Government should support the learning approach and principles embodied in the project design. It should also provide a receptive environment in which reforms can be initiated.

Project location

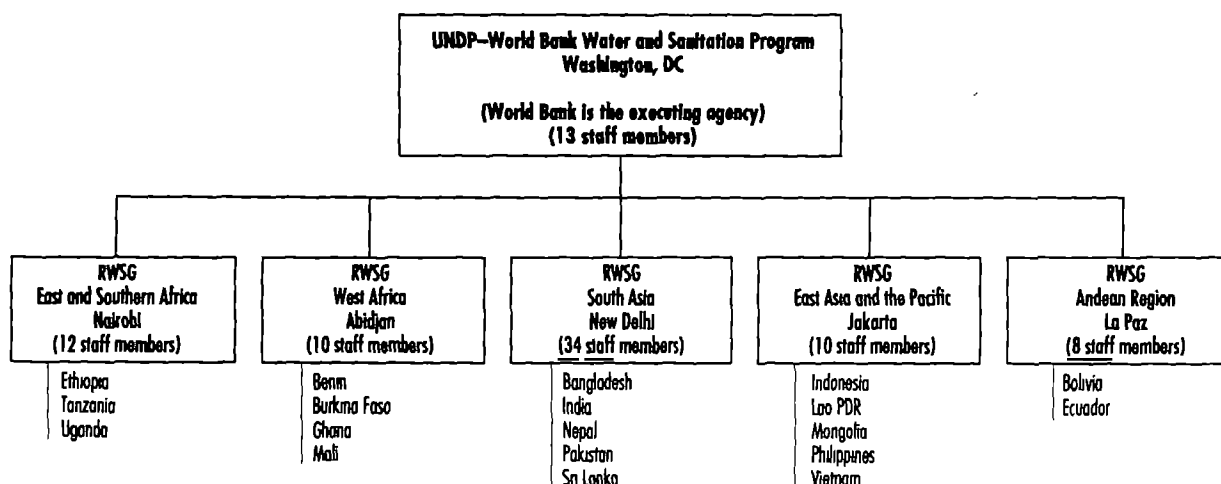- *Based in a country of concentration*—The project should be located in a country of concentration for TWUWS in which sufficient resources can be brought to bear to provide the high level of strategic supervision required to ensure a successful conclusion and a high standard of documentation. New countries of concentration can be identified in a dynamic process as new projects of opportunity present themselves.

Annex 5

Organization of UNDP–World Bank Water and Sanitation Program and Countries of Concentration

```
                  UNDP–World Bank Water and Sanitation Program
                              Washington, DC

                     (World Bank is the executing agency)
                            (13 staff members)
```

RWSG East and Southern Africa Nairobi (12 staff members)	RWSG West Africa Abidjan (10 staff members)	RWSG South Asia New Delhi (34 staff members)	RWSG East Asia and the Pacific Jakarta (10 staff members)	RWSG Andean Region La Paz (8 staff members)
Ethiopia Tanzania Uganda	Benin Burkina Faso Ghana Mali	Bangladesh India Nepal Pakistan Sri Lanka	Indonesia Lao PDR Mongolia Philippines Vietnam	Bolivia Ecuador

Annex table 5 1
Program staffing

Location	Description	International staff	Regional staff	National staff
HQ	Program Manager	1		
	Administrator	1		
	Budget Analyst	1		
	Communication Specialist	1		
	Community Development Specialist	1		
	Budget Assistant	1		
	Rural WS & S Specialist	1		
	Senior Technical Assistance Officer	1		
	Operations Assistant	1		
	Support Staff	4		
Andean Region				
RWSG	Andean Network Coordinator (vacant)	1		
	Support Staff			2
Bolivia	Engineer			1

Annex table 5.1

Location	Description	International staff	Regional staff	National staff
Ecuador	Chief Technical Adviser			1
	Technical Support Adviser			1
	Community Development Specialist			1
	Social Development Specialist			1

East and Southern Africa Region

Location	Description	International staff	Regional staff	National staff
RWSG	Regional Manager	1		
	Assistant Program Officer			1
	Regional Specialist		1	
	Water & Sanitation Specialist	1		
	Support Staff			5
Ethiopia	Country Officer			1

West Africa Region

Location	Description	International staff	Regional staff	National staff
RWSG	Regional Manager	1		
	Community Development Specialist	1		
	Community Water Supply Specialist	1		
	Sanitary Engineer		1	
	Urban Planner	1		
	Support Staff			5
Ghana				
Benin				
Guinea				

East Asia and Pacific Region

Location	Description	International staff	Regional staff	National staff
RWSG	Regional Manager	1		
	Program Officer	1		
	Support Staff			5
China	Translator			
Lao PDR	Chief Technical Adviser	1		
Philippines	National Country Officer			1
	United Nations Volunteer			1
Indonesia	National Country Officer			1
Vietnam	National Country Officer			

South Asia Region

Location	Description	International staff	Regional staff	National staff
RWSG	Regional Manager	1		
	Regional Program Adviser		1	
	Support Staff			5
India	Team Leader			1
	Consultant			1
	HRD Adviser			1
Bangladesh	Team Leader			1
	Consultant			1
	Project Officer			1
	Technical Assistant Officer			1
	HTMP Coordinator & 2 Assistants			1
	Support Staff			3
Nepal	JAKPAS Chief Technical Adviser	1		
	JAKPAS Consultants			6
	Support Staff			3
Pakistan	Team Leader	1		
	Engineers			2
	Support Staff			3

An Evaluation of the UNDP--World Bank Water and Sanitation Program

Annex 6

Summary of Recommendations

Chapter 2: Building National and Local Capacity

It is recommended that:

- The Program assist governments in developing capacity-building strategies which should include: a regular review of capacity-building needs at all levels, identification of institutions and organizations that can best fulfill these needs and coordination of their activities.
- The Program adopt a new strategy toward the ITN program, based on the concept that each ITN center develops its own objectives, guiding principles and business plans, and that the Program ensure that the ITN centers are included in the development of national capacity-building strategies.
- The Program assist the ITN centers in identifying suitable organizations for external support, assistance and advice.
- Models be developed that demonstrate how to increase the capacity of beneficiaries to repair and maintain their systems with minimal external assistance.
- Models should also be developed on how to make optimal use of the NGO system without creating parallel structures.
- The Program focus on making the link between pilot projects and large-scale investment projects by implementing demonstration projects and participating in the preparation and evaluation of large-scale projects.
- The Program ensure that new developments and learning at all levels, around the world are captured and fed into the sector.
- The Program continue to emphasize the need to involve the diverse elements of the community, especially women, in the planning and operation of water and sanitation systems.

■ The Program seek ways to apply the participatory approach in the sector at a national scale.

Chapter 3: The Effectiveness of Policies, Strategies and Plans

The Evaluation Team recommends that:

■ The Program identify on a country-specific basis the reasons why new policies are not always being implemented and identify the most appropriate role the Program can play in each case.

■ The Program develop as soon as possible a group of case studies based on countries that have improved the well-being of their citizens in general, especially the poorest, as a result of having developed and applied policies, strategies and plans based on the Dublin principles.

■ The Program continue to help countries develop and apply policies, strategies and plans based on the Dublin principles.

■ The Program sponsor well-thought-out study tours for politicians and senior sector administrators from countries wishing to adopt new policy frameworks to countries that have one. These could be followed by a continuing mentoring process where effective relations have been established.

■ Given the enormous disparity between the number of people who have access to potable water and those who have knowledge of appropriate hygiene practices and access to adequate sanitation facilities, the Program assign a higher priority to hygiene and sanitation than it has in the past.

■ The Program recognize that individual capacity-building themes or solutions, such as Women in Development (WID), technology, training, policies, strategies and the Program itself are tools that are not universally applicable.

Chapter 4: Impact on Domestic and External Investment

There is a strong need for demonstration projects to test community-wide application of water and sanitation sector policies and approaches. These are expensive to implement and often exceed local financing capacity. But they are essential precursors to the large investment projects that lenders such as the World Bank are organized to make. The Program should advocate to the World Bank and the regional development banks that water and sanitation

demonstration projects be financed and monitored under project preparation funds.

The Program should give greater priority to micro-level preparation of investment programs, which includes preparing project proposals and financing schemes, developing pilot demonstration projects and upscaling pilot and demonstration projects. This can be accomplished by providing training or capacity development in the various countries regarding these aspects, rather than relying on the Program's regional offices to undertake them.

The regional staff should not be in-house consultants for the countries in which they are located. They must continue to focus on the objectives of the Program within each country and leave once they have achieved these objectives. Otherwise, the Program will be spread too thinly and will lose its unique position and competence.

Chapter 5: Systematic Learning and Exchange of Experience and Information

The Program should develop a strategy for systematic learning from experience within and outside the Program. This should take account of the different requirements at the levels of pilot, demonstration and large-scale investment projects. It should include at least:

- A definition of the Program's approach to structured learning as an operational concept and process; and
- A concept of how to ensure that learning experiences from around the world are captured and communicated as rapidly as possible.

The Program could make more innovative and creative use of available information-sharing methods and technologies, such as an interactive e-mail dialogue system among regions or portable audio-visual demonstrations using video cassettes. It could be useful for the Program to maintain an electronic bulletin board, the equivalent of the telephone yellow pages, with the names and coordinates of who knows what.

The Program should develop a system for measuring the number of users and usefulness of the information that is being disseminated.

Chapter 6: Sector Coordination and Collaboration

The Evaluation Team recommends that the Program should more systematically and consistently make use of its independent image by being more active in sector coordination. This could include:

- Assisting governments in the development and normalization of coordination mechanisms at the national level, particularly facilitating and enhancing coordination between government agencies active in the sector.
- Providing forums for informal and non-threatening communication mechanisms among ESAs, NGOs and the private sector, and between these groups and government agencies.
- Taking a lead role in initiating and developing formal and informal coordination and communication mechanisms at the regional level, especially in connection with the establishment of the regional organizations of the Global Water Partnership. This position might include clearly defining and disseminating a statement of its own role in the sector, thus encouraging the definition of the respective roles of the other agencies in the sector, including UNICEF, WHO and the regional banks.

The Program should enhance its collaboration with other agencies and organizations active in the sector by regularly involving all partners in defining Program priorities and activities and working more actively with other agencies and organizations in international working groups, including those of the Collaborative Council, that are dealing with specific sector issues and developing tools for the field.

Chapter 7: Program Management

Mission

(i) It is recommended that Program management review the mission statement prepared by the Evaluation Team and confirm its validity or modify it in consultation with all of the partners in the Program strategy.

(ii) It is recommended that the Program managers establish the strategy for the next phase through an iterative participative process, beginning with a tentative, centrally determined strategy based on information gathered by the tripartite reviews and this evaluation, and by making optimum use of the Program's comparative advantage. Country and regional consultations to establish specific regional needs would use this draft strategy as background information and suggest changes that might better satisfy their needs. Finally, management should finalize the strategy in consultation with the principal partners of the Program.

Work planning, budgeting and monitoring system

(iii) It is recommended that Program management:

- Make a greater effort to record and analyze how staff time is spent. In this it should revamp activity codes to make them more useful (management has already set out to do this in response to the internal audit report).
- Conduct reviews, at least semi-annually, but preferably quarterly, of performance against input and output indicators and activities. These can be primarily for internal use, although they might be cited informally in discussions with the World Bank, UNDP and other partners.
- Require each Program manager to evaluate performance of his staff in part using the results of these reviews.

(iv) It is recommended that the inputs and outputs of the Program be identifiable within the work program, budget, and reports of the Division.

Program monitoring and evaluation

(v) It is recommended that the Program take responsibility for helping to establish baseline criteria to be used in determining where the sector is today and in monitoring its movement over time. It should do this by:

- Developing a clear set of monitorable indicators with which to measure progress against objectives.
- Making one of its high-priority activities the upgrading of systems to measure access to safe water supply and sanitation by the poor in rural and marginal urban areas; encouraging other international agencies working in the sector to adopt a similar approach; and advocating that they adopt and use these indicators.

Once such criteria exist, conducting with its partners a participatory self-evaluation of progress against the indicators for each of its objectives during the annual work planning exercise. This evaluation should include the number of persons served for each demonstration or large-scale investment project. The Program's Annual Report should incorporate the findings of this exercise.

Personnel management system

(vi) It is recommended that the Vice President, Environmentally Sustainable Development, request that the Senior Vice President, Management and Personnel Services, designate a resource person to assist the Program in designing personnel policies and procedures more suitable to its organization. The UNDP and the Bank could then be asked to put the new policies into effect for the remainder of the current project.

Other work processes and procedures

(vii) It is recommended that the Program manager arrange for a review of work processes at headquarters and in the regions to determine whether different work methods and procedures could improve efficiency. The Organization and Business Practices Department (OBP) might be able to assist with this exercise.

Staff and skills

(viii) It is recommended that Program managers systematically review professional development needs and opportunities with each staff member and jointly agree on an appropriate program by no later than the next staff performance review.

(ix) It is recommended that Program management review language requirements for staffing in each region and that plans be developed to meet these requirements through recruitment or training. It is further recommended that language skills at headquarters be developed so that headquarters can communicate directly with the regional staffs.

Management style

(x) It is recommended that the Program be named as the Water Supply and Sanitation Program of the Global Water Partnership.

(xi) It is recommended that the role of the Advisory Committee be expanded to approving the strategic plan for the Program and reviewing progress against the objectives each year.

(xii) It is recommended that the Program encourage its staff to participate in the committee work of the Collaborative Council by planning and budgeting time for this activity. The formal relationship with the Council should be strengthened, perhaps by formal representation on each other's governing or advisory bodies.

(xiii) To achieve the sense of teamwork that is sought within the Program, it is recommended that the Program manager involve managers and staff of the regional offices and headquarters in designing and implementing ways to respond to recommendations to strengthen the management of the Program.

Structure

(xiv) It is recommended that opportunities for further decentralization to the RWSGs be examined in the review of work processes. Consideration should be given to using the RWSGs as facilitators in establishing the regional groups under the Global Water Partnership. Decision-making authority should be delegated to the regional managers on issues for which they can exercise this authority

responsibly, thus enhancing the prestige and effectiveness of the regional groups.

Chapter 8: Program Financing

It is recommended that Program managers establish a funding pool similar to the suggested water fund—with the size based on an agreed strategy and work program. A percentage of all funding should be set aside for core costs, as determined by an agreed budget. As the principal core function is the distillation and dissemination of worldwide learning in the sector, this share might be called the learning fund. The remainder of the funding could be earmarked by the various donors to the elements of the Program that they choose to support. Given the impact of the Program on the capacity of countries to implement and sustain large investment projects, the Bank should contribute significantly more to the Program, say 15% of the total cost.

Chapter 9: Conclusions and Recommendations

It is recommended that the Program be continued, maintaining its distinct identity within the Global Water Partnership. The Program has been transforming itself while helping to transform the sector. This is commendable. It should continue to evolve in response to changes in the environment, thus setting an example in the sector of continuous improvement. Nevertheless, this evaluation provides an opportunity for stock-taking and significant course correction. Throughout this report a number of recommendations are made for improving the Program and its approach to the sector. Although these were made in the context of specific subject areas, such as capacity-building or effectiveness of sector policies, they are interrelated.

The first three of the following recommendations are intended to improve the way the Program achieves its immediate operational objectives. The last two will help the Program do to this, but concern internal changes in the management and financing of the Program to ensure its efficiency and sustainability. It is, therefore, recommended:

■ That the Program create, or cause to be created, programs or projects supporting direct user-to-user assistance or mentoring. These would bring together those who have already been through the process of introducing water supply and sanitation

services, using the approaches recommended by the Program, with others who are beginning the process. Users should manage these programs. The RWSGs, ITN centers or other NGOs and ESAs might play facilitating roles. The Program should recommend more selective use of individual capacity-building approaches, such as emphasizing the role of WID, appropriate technology, training and focus on policies and strategies based on specific country needs.

- That the Program assist governments in identifying the obstacles to implementing new policies and determine what role it might play in assisting governments to overcome them. Case studies should be developed based on successful examples of demand-driven, bottom-up sector policies and strategies. These should be promulgated through such means as the Program's India Think Tank, the annual West African Retreat, workshops and seminars. Study tours with follow-up and support should be arranged for sector politicians and administrators to visit countries that have successfully put such policies into effect. The Program should provide policy advice and technical assistance that give higher priority to hygiene and sanitation.

- That the Program make greater efforts to learn from the experience of others and to document and disseminate lessons learned. It should make more innovative and creative use of available information-sharing methods and technologies, for example, an interactive e-mail/dialogue system among regions, and portable audio-visual demonstrations using video cassettes.

- That the Program manager should conduct a full review of the management of the Program. A review of the purpose, strategy and priorities for operations and research should be conducted jointly with the Program's partners, including both donors and participating beneficiaries. Staffing, structure, systems and procedures should flow from the strategy and priorities. Reorienting the relationship between headquarters and the RWSGs, and between the Program and the other partners, is fundamental to achieving the objectives of the Program.

- That the Program managers seek to establish a funding pool similar to the suggested water fund. The size would be based on the agreed strategy and work program. A percentage of all funding would be set aside for core costs, as determined by an agreed budget. As the principal core function is the distillation and dissemination of worldwide learning in the sector, this share set aside might be called the learning fund. The rest of the funding could be earmarked by the various donors for the elements of the

Program they choose to support. Given the impact of the Program on the capacity of countries to implement and sustain large investment projects, the World Bank should contribute much more to the Program, say 15% of total costs.

The Program is a model for the Global Water Partnership. Its strategic or comparative advantages are those needed by the Partnership as an advocate of integrated water resource management. As noted above, the Evaluation Team recommends that the Program retain its distinct identity as the program within the Global Water Partnership that is dedicated to ensuring the provision of safe water supply and sanitation for disadvantaged rural and urban populations. Based partly on the evaluation of the Program, a discussion paper was submitted to the founding conference of the Global Water Partnership. This paper recommended that the governance of the Partnership encompass a true partnership, decentralization to the regional and the country level, respect for the autonomy of the donors and the beneficiary countries and transparency based on clear objectives and monitored criteria and reporting.