



Final Evaluation of the Joint Programme:

**“Enhancing Access to and Provision of Water Services with the Active
Participation of the Poor”
(MDG-F 1919)**

FINAL REPORT

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A. EXECUTIVE SUMMARY

The JP was implemented by two UN agencies – the United Nations Development Programme (UNDP) and United Nations Children’s Fund (UNICEF) in partnership with the National Economic development Authority (NEDA) and the Department of Interior and Local Government (DILG). The National Water Resources Board (NWRB) was also responsible for some outputs. 36 Local Government Units (LGUs) were targeted in 12 provinces from 5 regions. The JP contributed to two outcomes; (1) Investment support mechanisms established for poor communities/municipalities to improve efficiency, access, affordability and quality of potable water, and (2) Enhanced capacities of LGUs and WSPs to develop, operate and manage potable water services.

Relevance

The JP was well aligned to MDG Target 7.c (of MDG goal 7) – “Halve, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation”. The Philippines Development Plan (PDP) 2011-2016 identified nine priorities areas, among them, “acceleration of infrastructure development”, under which water supply and sanitation was included. However, the Philippine Water Supply Sector Roadmap (PWSSR) and the Philippine Sanitation Roadmap (PSR) noted that there was a weak regulatory environment and inadequate support for service providers resulting in low performance levels and dismal service delivery.

The MDG Progress Report (2010) also noted that water supply investments were significantly low relative to the overall public infrastructure spending. The JP was therefore aligned with the President’s Priority Programme on Water (P3W) launched in 2005, which aimed to address the needs of 432 waterless municipalities outside of Metro Manila. The programme was succeeded by the new Sagana at Ligtas na Tubig para sa Lahat (SALINTUBIG), through which the government allocated an annual budget of P1.5 billion to build the water supply infrastructure in priority waterless municipalities.

The JP was also aligned to, and contributed to addressing the objectives of the MDG-F thematic window on democratic economic governance through interventions to promote and strengthen the capacity and ability of the poor to participate in, and influence planning, design, implementation and management processes for water supply and service provision; as well as promoting mutual accountability between water service providers (WSPs) and water users through development of a social contract known as the Localised Customer Service Codes (LCSCs).

Implementation and Management

The JP was originally planned to be implemented over a three year period (June 2009-May 2012). Delays were experienced during the inception phase with some activities

started implementation as late as June 2010. The programme was initially granted a 6-month extension in order to facilitate the final evaluation process after a full 3 years of implementation. An additional 7-month extension was granted when the MDG-F allocated extra \$300,000 grant assistance. Implementation of activities was vested and integrated into the functions of the participating national institutions. The JP Manager was seconded to the JP from NEDA, and integral staff personnel were assigned as output officers under Outcome 1 on policy interventions. The activities for Outcome 2 were also implemented within the ambit of DILG integral staff. At the LGU level, JP activities were implemented and coordinated by the water and sanitation (WATSAN) councils, which were either established as part of the JP outputs or were re-activated.

Out of the total US\$5,67million JP budget, 27.5% (\$1,56m) was allocated towards policy interventions under Outcome 1; and US\$4,11m or 72.5% was allocated for capacity building interventions at local level. At the time of writing this report, the JP had achieved overall 97.4% budget delivery. Outcome 1 had an overall budget disbursement rate of 95%, while Outcome 2 had overall disbursement rate of 98%.

Overall governance and oversight was vested in the National Steering Committee (NSC) which comprised of the UN Resident Coordinator (co-chair), NEDA (co-chair), and representative of the Spanish Government in the Philippines. A Project Management Committee (PMC) comprising the partner UN and national government agencies was established to provide technical and operational management on the advice of a Technical Working Group composed of the technical staff and personnel from the respective agencies and institutions.

Effectiveness

At the output level, the JP delivered all the expected results. Six outputs were delivered for Outcome 1, and for Outcome 2, seven outputs were delivered. However, in spite of the good policy recommendations, Outcome 1 outputs were yet to yield concrete results, particularly with regards to increasing funding and resources for infrastructure investments, which was the stated outcome. The JP effectively addressed the “soft aspects” of water supply namely, enhancing the policy environment for investment and providing capacity development for waterless communities. However, this was not matched with sufficient resources to develop water supply infrastructure and physical facilities, which are also critical for the flow of water.

The capacity development outputs (Outcome 2) at the local level had a much more significant impact compared to the policy interventions. All the 36 municipalities targeted by the JP had either established or revived their respective WATSAN Councils and Barangay Water Service Associations (BAWASAs). A WATSAN toolbox was developed as a repository of the knowledge products. Although they faced the challenge of infrastructure funding,

there was evidence of increased access of water supply, including limited upgrading from Level 2 (communal faucet) to Level 3 supply (piped distribution and household tap).

Efficiency

Based on the estimated number of beneficiary households, which the evaluation estimated at 44,136 households (or 264,816 individuals) in the best case scenario, the JP's per capita cost for providing access to safe drinking water was estimated at US\$21.41. The World Health Organisation (WHO, 2008) estimated that the average per-capita cost for non-household connection was \$55 in Asia; which renders the JP to be reasonably cost efficient, more so if one considers the effect of improved access to safe water on other MDGs.

Sustainability

The sustainability strategy included in the JP document lacked specific details on how and by whom the results would be continued post the programme funding. However, the evaluation noted a positive outcome under the JP's local capacity building component (Outcome 2), which although unintended, constituted the sustainability pillar for the JP results. The JP established 10 regional hubs, which would continue to provide capacity building training to waterless municipalities not covered by the JP under the operational management of DILG.

A proposal was presented to donors at the meeting of the Philippine Development Forum (PDF) Sub-Working Group on Water and Sanitation in June 2013, to consider funding and provide support for; (a) Institutional development and strengthening of the regional WATSAN hubs, (b) Establishment of a monitoring and evaluation system to ensure effective and efficient delivery of capacity development services by the regional hubs, (c) Integration of other capacity development packages in addressing the following: corruption in water, climate change, conflict in water use, culture and community participation, and (d) Sector assessment, planning and programming that will lead to investment in water and sanitation infrastructure.

Conclusions

One of the most significant accomplishments of the JP were in raising awareness that water was not just an engineering concern for installation of pipes and faucets, but a basic human right and governance issue. Access to safe water has a wider impact on human development and should be considered as a crosscutting issue to be mainstreamed in other government and development partner programmes through the emphasis of Integrated Water Resources Management (IWRM) approaches.

In spite of the very good outputs under both outcomes, there was an apparent lack of convergence of the outcomes. For example, the policy paper on 'Incentives Mechanisms

and Partnership Modalities' in Outcome 1 was not included as a module in local capacity building on innovative resource mobilization and private-public partnerships. At the local level, the municipalities targeted by the JP all developed their respective municipal water supply sector plans (MW4SPs) and LCSCs. However, there were no mechanisms specifically established to monitor the implementation of the MW4SP and LCSCs. The MW4SPs identified the required investments, thus making them useful tools for resource mobilization while the LCSCs provided a binding social contract between the water service providers and consumers. However, to ensure effective and sustained implementation, a monitoring system would need to be established and institutionalized.

The WATSAN regional hubs also constituted an innovative initiative with a potential to upscale and replicate the JP's good practices to a broader coverage of waterless municipalities. However, the regional hubs were not geared to provide service on a sustainable basis by promoting a demand-driven process in which client municipalities request and pay for services provided.

Recommendations

The evaluation recommends that the UN should continue to identify all possible opportunities and entry points to integrate access to safe drinking water as an enabling activity or specific sub-objective for its development programmes, and also strengthen advocacy for safe water access to other development actors.

Based on the above conclusions contained the evaluation makes seven specific recommendations to inform future programming.

Recommendation 1: Strengthen Integrated Water Resources Management (IWRM).

The provision of safe drinking water impacts the achievement of several other development goals such as health, maternal and child mortality, but safe drinking water also competes with other water uses, including agricultural and industrial. IWRM approaches enable the development of a multi-sectoral strategy for water management, thereby providing a platform for mainstreaming access to safe drinking water as a crosscutting issue in the programmes, plans and projects of water-related government agencies and other development partners.

Recommendation 2: National ownership should be mainstreamed and reflected in programme governance and management mechanisms.

Since the joint programme funds were channeled through UN agencies, the accountability and reporting mechanisms for fund management should reside within the UN systems and structures. However, all other programme implementing and coordinating mechanisms should reside in national systems, so that these processes and results can be continued after the end of the joint programme.

Recommendation 3: Strengthen LGU capacity to acquire resources for developing water supply infrastructure.

As a basic service, the provision and supply of safe water is a devolved function, which is a responsibility of municipal governments. In order to improve the efficiency, access, affordability and quality of water services for the rural poor, municipal governments should take the lead and use innovative approaches in mobilizing resources to build water facilities and infrastructure. LGUs should have capacity to explore alternative funding sources including public private partnerships and debt financing, among others.

Recommendation 4: Strengthen policy advocacy towards lead agency for the water sector.

Numerous government agencies were involved in planning and policy formulation for the water sector, including NEDA, NWRB, LWUA and local government units. The UN should continue to support the creation of an independent authority with sufficient powers and resources to formulate national policies on water resources management, regulation (quantitative, economic and service-efficient), usage, planning and conservation.

Recommendation 5: Strengthen rights-based approach to water governance.

Access to water is recognised by the UN as a basic human right. The UN should support the development of effective laws, policies and institutions, including a public authority that has a clear mandate and the financial and human resources to implement the human right to water. The law must clearly define the relevant rights and obligations, and identify the respective rights holders and duty bearers.

Recommendation 6: Strengthen support to the Regional WATSAN hubs.

Waterless municipalities have different capacity needs depending on the specific realities in their localities. The Regional WATSAN hubs should first and foremost have capacity to undertake capacity needs assessments and designing relevant training packages suitable for their target audiences. Different training models such as peer-mentoring and god-parenting should be explored as an alternative to the traditional seminar and workshop methodologies.

Recommendation 7: Mainstream inclusive civil society participatory programmes for water governance.

Community organizations, indigenous people's groups and other local groups who have a better understanding of their life situations and local realities should be more deeply involved in water management and decision-making. The UN should mainstream Inclusive Participation in Governance interventions in its programmes and projects, including by fostering periodic water governance assessments and dialogues.

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C. ACRONYMS

AAA	Accra Agenda for Action
APIS	Annual Poverty Indicator Survey
ARMM	Autonomous Region of Muslim Mindanao
AWASA	Alayao Water System Association
AWASCO	Afga Water Service Association
BAWASA	Barangay (Village) Water Service Association
bcm	Billion cubic meters
BITWASA	Barangay Itok Water System Association
BUPB	Bottom-Up Planning and Budgeting
CAWASA	Catabaguanan Water System Association
CBO(s)	Community-Based Organisation(s)
CSO(s)	Civil Society Organisation(s)
DEG	Democratic Economic Governance
DOH	Department of Health
DPWH	Department of Public Works and Highways
EO	Executive Order
ERG	Evaluation Reference Group
ICC	Indigenous Cultural Community
IEC	Information, Education and Communication
IWAG	Watch for Water Anti-Corruption Group
IWRM	Integrated Water Resources Management
JP	Joint Programme
LCSC(s)	Localised Customer Service Code(s)
LDF	Local Development Fund
LGU(s)	Local Government Unit(s)
LWSSC(s)	Local Water Supply and Sanitation Companies
LWUA	Local Water Utilities Administration
LRI	Local Research Institute
MDG(s)	Millennium Development Goal(s)
MDG-F	Millennium Development Goals Achievement Fund
M&E	Monitoring and Evaluation
MLD	Million Liters per Day
MOA	Memorandum of Agreement
MWSS	Metropolitan Waterworks and Sewage System
NCIP	National Commission on Indigenous People
NSC	National Steering Committee
NSO	National Statistics Office
NEDA	National Economic Development Authority
NG/LG	National Government/Local Government (cost-sharing)
NRW	Non-revenue water
NWRB	National Water Resources Board

NWRMO	National Water Resource Management Office
OECD-DAC	Organisation for Economic Cooperation and Development – Development Assistance Committee
P3W	President’s Priority Programme on Water
PDF	Philippine Development Forum
PDP	Philippines Development Plan (2011-2016)
PEM	Philippine Environment Monitor
PhP	Philippine Peso
PMC	Programme Management Committee
PPP	Public Private Partnerships
PSR	Philippine Sanitation Roadmap
PW4SP(s)	Provincial Water Supply and Sanitation Sector Plan(s)
PWRZ(s)	Provincial Water Regulatory Zone(s)
PWSSR	Philippine Water Supply Sector Roadmap
RA	Republic Act
RBC(s)	River Basin Clusters
RBO(s)	River Basin Organisation(s)
TOT	Training of Trainers
UNCO	United Nations Coordination Office
UNDP	United Nations Development Programme
UNICEF	United Nations Children’s Fund
UNRC	United Nations Resident Coordinator
WATSAN	Water and Sanitation
WSP(s)	Water Service Provider(s)
WSRA	Water and sanitation Regulatory Authority

I. INTRODUCTION

1.1. Evaluation Context

1. In December 2006, the United Nations Development Programme (UNDP) and the Government of Spain signed a major partnership agreement for the amount of €528 million with the aim of contributing to progress on the Millennium Development Goals (MDGs) and other development goals through the United Nations system. The Fund used a joint programme mode of intervention and operated through the UN teams in each country, promoting increased coherence and effectiveness in development interventions through collaboration among UN agencies.

2. Under the Millennium Development Goals Achievement Fund (MDG-F) M&E Strategy and Programme Implementation Guidelines,¹ each programme team was responsible for designing an M&E system, establishing baselines for (quantitative and qualitative) indicators and conducting a final evaluation with a summative focus. In accordance with this guideline, the United Nations joint programme partners commissioned the final evaluation of the Joint Programme - “Enhancing Access to and Provision of Water Services with the Active Participation of the Poor, (MDG-F 1919). The evaluation was undertaken from April 23 to June 24 by a two-member team of independent evaluators with an international team leader and national team member.

3. The evaluation focused on the joint programme (JP) outcomes as set out in the JP document and its subsequent revisions. The unit of analysis was the JP MDG-F 1919, which in this context included the set of outcomes, outputs, activities and inputs that were detailed in the JP document and in associated modifications made during implementation. This report contains seven chapters. Chapter 1 introduces the evaluation, including a discussion on the mandate, purpose, scope, objectives and methodology of the evaluation. Chapter 2 contains an overview of historical trends and development challenges in the supply and provision of water services in the Philippines. It includes an explanation and description of how the theme is addressed by government, and how it is reflected in national policies and strategies, as well as activities of development partners. Chapter 3 explains in descriptive form (not necessarily analytic) the JP’s interventions in response to the development challenge. This chapter describes the overarching outcome model, the results frameworks and detailed explanation of the main JP components and activities. Chapter 4 contains the evaluation findings and provides an analysis of the **evidence** relating to the evaluation criteria. The analysis addresses the key evaluation questions as set out in the Terms of Reference on Relevance, Participation and Empowerment, Efficiency, Effectiveness, Sustainability and Impact. Chapters 5 contains the lessons learned and good

¹ MDG-F; Monitoring and Evaluation System, “[Learning to Improve: Making Evidence work for Development](#)”.

practices identified; while Chapters 6 and 7 provide the evaluators' conclusions and recommendations respectively, based on the evidence contained in chapter 4.

1.2. Purpose, Scope and Objectives of the Evaluation

1.2.1. Purpose of the evaluation

4. In line with the instructions contained in the MDG-F M&E Strategy, a final evaluation seeks to track and measure the overall impact of the JP on the MDGs and in multilateralism. The overall purpose of this evaluation was to (a) Measure the extent to which the JP delivered its intended outputs and contribution to outcomes², and (b) Generate substantive evidence based knowledge, by identifying good practices and lessons learned that could be useful to other development interventions at national (scale up) and international level (replicability). The primary users of the evaluation include the JP partner UN agencies, national and local government partners, civil society organizations and beneficiary communities, the MDG Fund Secretariat as well as the wider UN development system organisations.

1.2.2. Scope of the evaluation

5. The scope of the evaluation was to ascertain how successful the JP components and interventions contributed to the achievement of outcomes based on the five criteria laid out in the Organization for Economic Cooperation and development – Development Assistance Committee (OECD-DAC) [Principles for Evaluation of Development Assistance](#),³ which define the following criteria (Box 1):

Box 1: OECD-DAC Evaluation Criteria

Relevance: The extent to which the intervention is suited to the priorities and policies of the target group, recipient and donor.

Efficiency: An assessment of whether development aid uses the least costly resources possible in order to achieve the desired results.

Effectiveness: A measure of the extent to which a development intervention attains its objectives.

Impact: The positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended.

Sustainability: The probability that the benefits of an intervention are likely to continue after the programme cycle.

² By definition, **outputs** are the products, capital goods and services which result from a development intervention; and **outcomes** are the likely or achieved short-term and medium term effects of an intervention's outputs.

³ The DAC *Principles for the Evaluation of Development Assistance*, OECD (1991), Glossary of Terms Used in Evaluation, in '[Methods and Procedures in Aid Evaluation](#)', OECD (1986), and the *Glossary of Evaluation and Results Based Management (RBM) Terms*, OECD (2000).

1.2.3. *Specific objectives of the evaluation*

6. The specific objectives of the final evaluation were to:
 - a) Measure to what extent the JP contributed to solve the needs of target beneficiaries and development challenges.
 - b) Measure the JP's degree of implementation, efficiency and quality of delivered outputs and outcomes, against what was originally planned or subsequently officially revised.
 - c) Measure to what extent the JP attained expected development results to the targeted population, beneficiaries and participants, whether individuals, communities, or institutions.
 - d) Measure the JP's contribution to the objectives set out for the thematic window on Democratic Economic Governance (DEG) as well as the overall MDG Fund objectives at local and national level.
 - e) Identify and document substantive lessons learned and good practices on the specific topics of the thematic window, MDGs, Paris Declaration on Aid Effectiveness, Accra Principles and UN reform with the aim to support the sustainability of the JP or some of its components.
 - f) Provide recommendations to inform future programming, Upscaling and replication of the JP's interventions.

1.3. Evaluation Methodology

1.3.1. *Overall approach*

7. An initial desk review of official background documents and JP files and reports conducted culminating with drafting of an Inception Report outlining the scope of work and evaluation design. The Evaluation Reference Group (ERG) and MDG-F Secretariat reviewed the Inception Report and provided comments resulting in the revised Inception Report. Based on the agreed plan and design, a country mission to the Philippines was carried out from May 13 to June 14, 2013. The mission included field visits to 7 Local Government Units (LGUs) in five provinces⁴ from the total 36 municipalities in the 12 provinces covered by the JP.

8. During the course of the country mission to the Philippines, individual interviews were carried out with the JP UN agency senior management and programme staff, senior management and programme staff of the participating national and provincial Government

⁴ The field mission visited 7 LGUs in five provinces: **Camarines Norte Province (Region 5)** – Basud and Capalonga Municipalities; **Zambaonga del Norte Province (Region 9)** – Kalawit and Katipunan Municipalities; **Zambaonga Sibugay Province (Region 9)** – Tungawan Municipality; **Misamis Oriental Province (Region 10)** – Claveria Municipality; **Agusan del Sur Province (Region 13)** – Sibagad Municipality.

departments, staff of the LGUs and community beneficiaries. Additional documents were also made available and were also reviewed as part of the evaluation. The list of documents reviewed is at Annex 1 to this report. At the end of the country mission, a presentation of the evaluation findings, conclusions and recommendations was made to the ERG, and their comments were incorporated in the draft report.

1.3.2. Sampling approach

9. Selection of the municipalities was based on purposeful sampling of LGUs was done in consultation with the JP partners. The rationale for the sampling approach was to identify the LGUs with information intensity as time limitations did not allow visits to all 36 participating LGUs. Annex 2 contains the full list of participating LGUs and those that were included in the sample.

1.3.3. Data collection and analysis

10. Main sources of data included both secondary (document review) and primary (interviews and focus group discussions). Individual interviews were conducted mainly in Manila with partner UN agency staff and officials of participating national Government departments. In the LGUs, focus group discussions (FGDs) were conducted with members of the LGU staff as well as representatives of the beneficiary communities. The list of individuals interviewed is provided at Annex 3.

11. Quantitative analysis techniques were applied to assess JP performance related to quantitative targets and indicators; for example, number of households targeted to have access to water. However, mostly qualitative analysis was used to determine the JP’s contribution to outcomes. The specific analysis tools used relative to the evaluation criteria were (Box 2):

Box 2: Evaluation-criteria based data analysis
Relevance.....Content analysis of JP interventions relative to national programmes.
Efficiency.....Comparative and frame analysis.
Effectiveness.....Matrix/logical analysis (based on stated output/outcome indicators.
Sustainability.....Metaphorical analysis based on triangulated information.

1.4. Limitations

12. The evaluation was constrained by one major limitation - limited time to visit all the 36 LGUs covered by the JP. However, the use of purposeful sampling and triangulation of information effectively minimized the negative effects of this limitation.

II. THE DEVELOPMENT CHALLENGE

13. This chapter provides a general overview of historical trends and development challenges in the supply and provision of water services in the Philippines. It also examines how the theme is addressed by government, and how it is reflected in national policies and strategies. To the extent possible, information on the activities of other development partners is also provided.

2.1. Philippine Water Resources and Supply

14. It is estimated that the Philippines has an annual supply of 146 billion cubic meters (bcm) of water and a consumption of 40.9 bcm. This translates to a consumption ratio of 28% per year.⁵ On the supply side, there were a total of 6,560 water service providers, including Water Districts (861), LGU-run utilities (1,000), Regional Water Service Associations (500), Barangay Water Service Associations – BAWASAs (3,100), Cooperatives (200) and Private Firms (900).

Average annual rainfall	2,400 mm
Rivers (20 major rivers)	421
Lakes	79
Surface water	125.8 bcm
Ground water	20.2 bcm

15. However, only 44% of the population is connected to Level 3 or piped systems, which are deemed the safest and most convenient sources of water supply.⁶ Figure 1 shows the structure and coverage of water supply by service provider.

Figure 1: Structure and Coverage of Water Service Providers

Access to formal service provider – 80%			No access – 20%
Level 3: 44%		Level 2: 10%	Level 1: 25%
Water Districts 19%	Private 5% LGUs 20%	LGUs and Community Based Organisations (CBOs) 35%	
			Self-provision through private wells, tanked or vended water supply provided by small independent providers

Source: World Bank Report (2005), Philippines: meeting Infrastructure Challenges in 4th National Conference of small Water Service Providers, Nov. 28, 2011.

⁵ Rory Villaluna (2011), Updates and Challenges for Small Water Service Providers, 4th National Conference, Nov. 28, 2011.

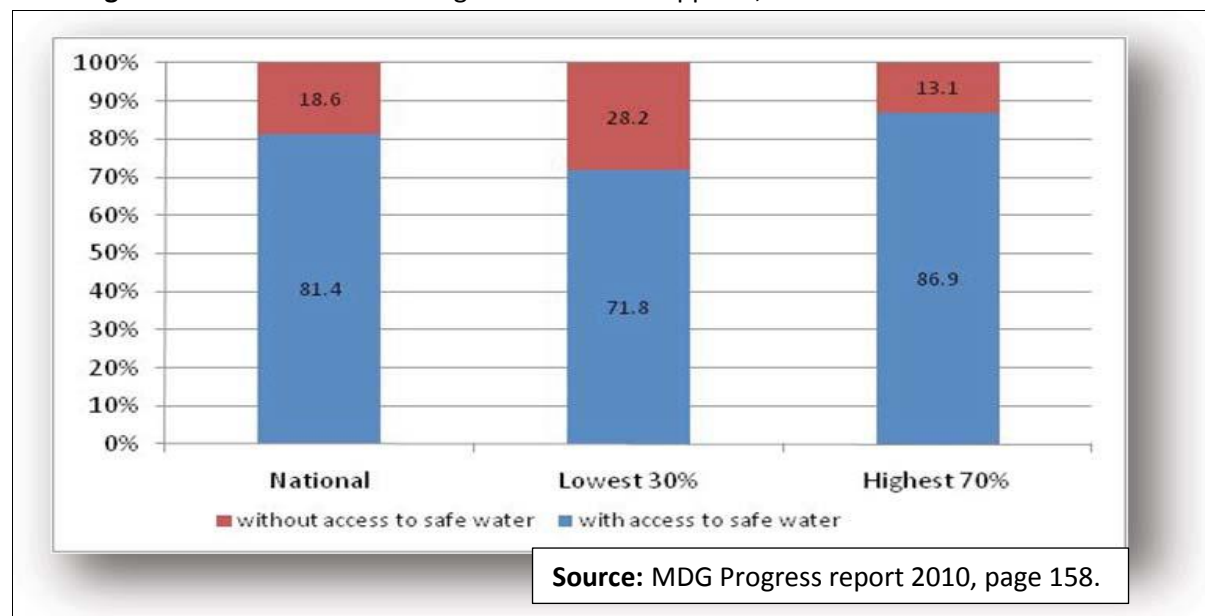
⁶ Ibid.

2.2. Challenges for Access to Safe Water

16. Water supply and sanitation in the Philippines is characterized by achievements and challenges. The MDG Progress Report (2010) reported that *“The Annual Poverty Indicators Survey (APIS) conducted by the National Statistics office (NSO) in 2008 revealed that more population have access to safe drinking water and sanitary toilet facilities. The proportion of population with clean and safe sources of water supply increased from 73.8 percent in 1991 to 81.4 percent in 2008. The remaining 18.6 percent of population obtained their water from sources that are considered unsafe such as unprotected well, developed spring, undeveloped spring, river, stream, pond, lake or dam, rainwater, tanker truck or peddler, among others”*.⁷

17. However, these data mask the fact that almost 1-in-5 people (20% of the population do not have access to safe drinking water. The number is even higher (about 33%) of the population in the lowest 30% of the population (Figure 2).

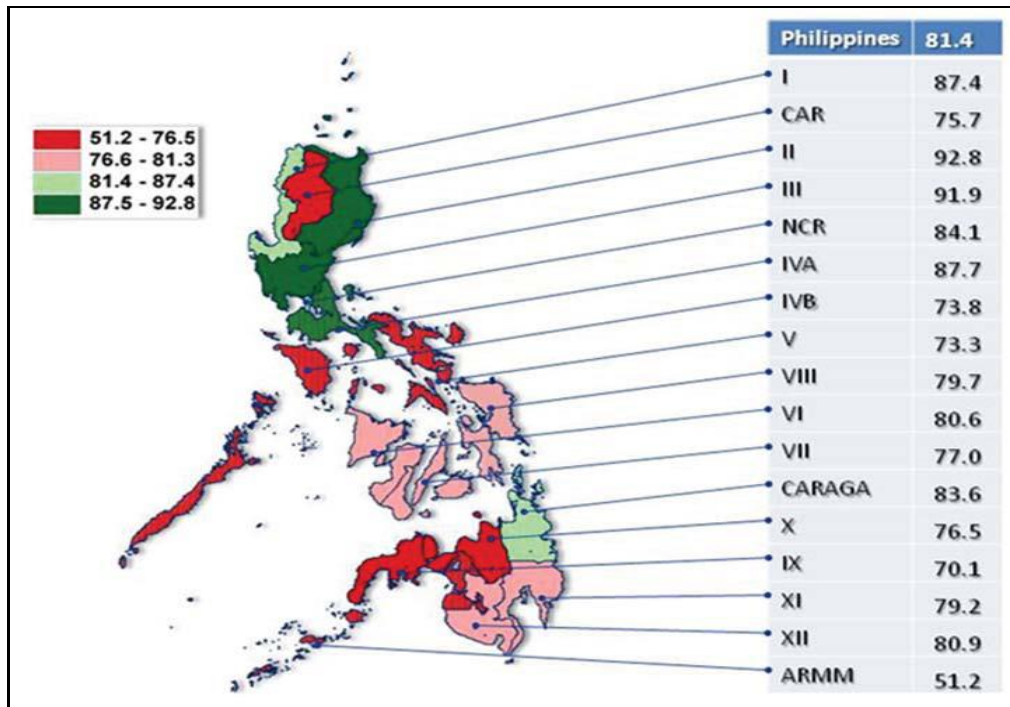
Figure 2: Access to safe drinking water in the Philippines, 2008



18. The Report also highlights disparities in water access by region. Most of the regions in the northern part of the country have higher access to safe water and sanitary toilet facilities. Visayas and Mindanao regions in general registered relatively lower access to both water and sanitation. Regions IV-B, V, IX, and the Autonomous Region of Muslim Mindanao (ARMM) were among the regions with lowest proportion of population having access to safe water. Figure 3 shows the proportion of population with access to safe water in 2008.

⁷ Philippines Progress Report on the Millennium Development Goals 2010.

Figure 3: Proportion of population (%) with access to safe water by region, 2008.



Source: MDG Progress report 2010, page 158.

19. The challenges also include limited access to sanitation and in particular to sewers; high pollution of water resources; poor drinking water quality and poor service quality; a fragmentation of executive functions at the national level among numerous agencies; and a fragmentation of service provision at the local level into many small service providers. According to the Small Water Service Providers, the water sector is characterised by perennial challenges, which include (Box 3):

Box 3: Perennial Water Sector Issues

- A fragmented regulatory environment that impedes increasing coverage, improving service quality and the protection of water resources
- Severely underperforming utilities in terms of operations and finance
- Widely scattered service provision by more than 6,000 providers
- Rapid depletion of groundwater sources as many utilities are wholly dependent on groundwater
- Increasing demands from all users (domestic, industrial and agricultural)
- Lack of quality data on water resources, coverage, utility performance and water quality
- Poor performance by LGU-run utilities
- Neglecting of sanitation in water resource management

2.3. Government Response and Strategies

20. Water supply investments have been significantly low relative to the overall public infrastructure spending. Out of the PhP442.3 billion total national expenditure for infrastructure in 1997, PhP93.7 billion (22%) was allocated to water-related infrastructures.⁸ Out of the total water infrastructure budget, only 3.8 percent or PhP3.7 billion was allocated to water supply with the rest going to irrigation and flood control. Priority to sanitation is even lower. Since 1970, while public investment in water supply and sanitation infrastructure went mostly to the water sector (97%), only 3 percent went to sanitation. Investments in sanitation are mostly in the form of private investments in household toilets, housing estate wastewater treatment and on-site treatments among commercial, industrial and institutional establishments. While local governments recognize the emerging concerns in water and sanitation, spending is constrained by high investment and operating costs and limited willingness-to pay.

21. The Government has created programs and policies to increase access to water and address some of the gaps in the water sector. The Republic Act (RA) 9275 (Clean Water Act) aims to protect the bodies of water from pollution and also mandates urban communities to be connected to a sewerage system within 5 years. Executive Order (EO) 279 (Instituting Reforms in the Financing Policies in Water Supply and Sewerage Sector and for Water Supply Services) called for the rationalization of financing for the sector, and establishment of an independent economic regulator for the water supply and sewerage sector. The President's Priority Program on Water (P3W) provided potable water services for some 321 waterless municipalities nationwide since it was started in 2005. DPWH was implementing agency for P3W. When the programme was succeeded by SALINTUBIG, DOH initially was implementing agency for one year, then later transferred to DILG, with LWUA as implementing arm. SALINTUBIG also accommodated project proposals submitted by congressmen and local executives for water services in barangays.

22. There were also policies being developed. EO 62 (October 26, 2011) mandated DPWH to exercise administrative supervision over LWUA and implement to ensure efficient flow of resources to the water and sanitation sector thereby facilitating implementation of projects; and creation of an Inter-agency committee on Water tasked to design and recommend to the President a water sector master plan and appropriate organizational structure. Several bills were introduced to reform the water sector and operationalize Integrated Water Resources Management (IWRM). Some of the bills also sought to promote Public Private Partnerships (PPP) by providing incentives to promote investments in the water sector, including income tax holiday, accelerated depreciation, tax credits on domestic capital and services. However, most of these bills were not (yet) passed into law.

⁸ Ibid (MDG Progress Report 2010)

III. DESCRIPTION OF THE JOINT PROGRAMME

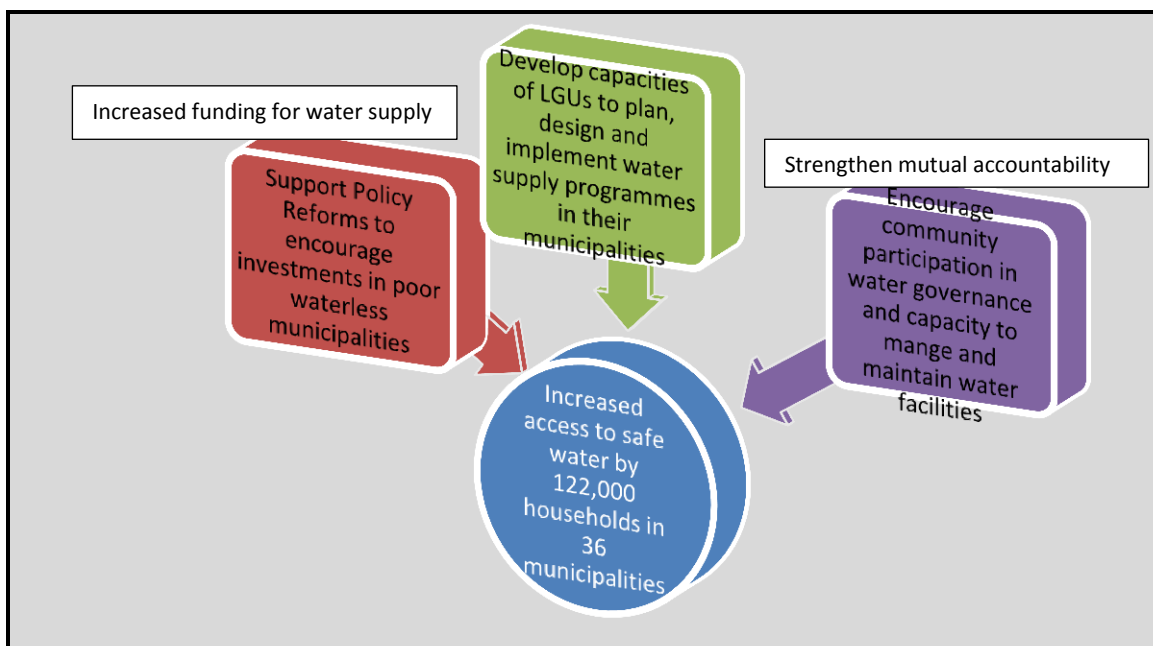
23. Against the background of Chapter 2, this chapter explains what the JP has done to respond to the development challenges in a purely descriptive, not analytical manner. The chapter provides the overarching outcome model and results framework for the programme; and also describes in detail the main JP components and activities.

3.1. JP Logic Model

24. The National Economic Development Authority (NEDA) and the National Water Resources Board (NWRB) developed the Philippine Water Supply Sector Roadmap (PWSSR), which served as the blueprint for addressing sustainable water supply services in rural and urban areas. The stakeholder consultations leading to the Roadmap found that there were about 30 agencies involved in the water supply sector, most of them with overlapping functions. The consultations further indicated that local level actors in the water sector were often unable to perform satisfactorily due to lack of capacity to undertake their mandates. The study concluded that the major problem was not so much the installation of infrastructure, but rather sustaining of services, minimizing institutional conflicts and providing better coverage. In that connection, the study identified a need for integrating and linking the ‘soft’ components – i.e. establishing a coherent institutional and regulatory framework based on a decentralized and enabling policy environment; developing capacities for the actors in the sector; and building strategic alliances with various stakeholders – with the infrastructure component, to enhance water supply delivery.

25. The JP rationale was to address these gaps by supporting the development of appropriate policy and enabling environment and developing capacities of LGUs and WSPs to provide effective water service delivery with active community participation. Figure 4 illustrates a compact version of the JP pathway to change.

Figure 4: JP Outcome Model: The pathway to change



Source: Evaluators' design

3.2. Joint Programme Results Framework

26. The JP programme strategy for achieving this objective was by contributing to two outcomes through interventions to deliver 8 outputs. The results framework is at Annex 4 to this report.

3.3. Joint Programme Interventions

27. The JP had two overarching components; the first one aimed to address policy level issues that would provide the enabling environment for the water sector. The second focused on developing institutional and individual capacities at the local government and community levels. The responsibilities for delivering on these components were shared between NEDA and the United Nations Children's Fund (UNICEF) for the policy interventions, and DILG and UNDP for the capacity building component. The NWRB was a responsible party for specific outputs under both components.

3.3.1. Policy Interventions

28. There were five interventions under the policy-level component.

- (a) **National Government/Local Government (NG/LG) Cost-sharing.** The JP had an intervention to research and to recommend a cost-sharing modality that would

institutionalize mutual accountability between the national and local government units to leverage resources for the water sector.

- (b) Investment Incentive Mechanisms.** This intervention was aimed at researching and recommending a compendium of investment incentives that could be customized for application in poor waterless municipalities.
- (c) Tariff Setting Methodology.** The tariff setting methodology under the NWRB guidelines was deemed more suited for mature private utilities and water districts. The JP intended to review these mechanisms with a view to recommend tariff-setting approaches that were more appropriate to small-scale water services providers.
- (d) Programming Policies.** This intervention was intended to address the apparent lack of sustainability for water service delivery experienced under the President' Priority Programme on Water (P3W), by reviewing and recommending amendments to the guidelines on how to institutionalize and enhance enforcement of said guidelines.
- (e) Mentoring Mechanisms.** The aim of this intervention was to identify good practices in international and national approaches for transfer of technology to LGUs and water users groups as well as customize the concepts previously adopted for water districts in a manner suitable to poor waterless municipalities.

3.3.2. Capacity Building Interventions

29. The JP had five interventions under the capacity building component.

- (a) Establish and Develop Capacity of Water and Sanitation (WATSAN) Councils and water user associations.** The rationale behind this intervention was to ensure sustainability of water supply and services by mobilizing and engaging waterless communities to participate in identifying their needs, and building their capacity to develop, plan, implement and manage home-grown water supply solutions.
- (b) Develop and Roll-out Implementation of WATSAN Toolbox.** This intervention was meant as a depository of the knowledge products needed for developing capacities of LGUs, WSPs, water user associations and CBOs that were active in planning, implementing, managing and maintaining water supply systems.
- (c) LGU Capacity to Develop and Monitor Water Sector Plans.** The intervention was aimed at addressing the gaps in availability of accurate and up-to-date data on water supply in waterless municipalities, which had a negative effect of financing to the water sector. The JP intended to review the Provincial Water Supply and Sanitation Sector Plans (PW4SPs) and introduce bottom-up planning with emphasis on broad-based civic participation.
- (d) Developing and Implementing Localised Customer Service Codes (LCSCs).** Participatory approaches to develop LCSCs conforming to NWRB regulatory

guidelines were planned under this intervention. This was intended to strengthen transparency and mutual accountability between the duty-bearers (service providers) and rights-holders (water users).

(e) Information, Education and Communication (IEC). This intervention formed the basis for advocacy, awareness and participation at all levels.

IV. EVALUATION FINDINGS

30. This chapter provides an analysis of the evidence relating to the evaluation criteria, and addresses the key evaluation questions as set out in the evaluation Terms of Reference.

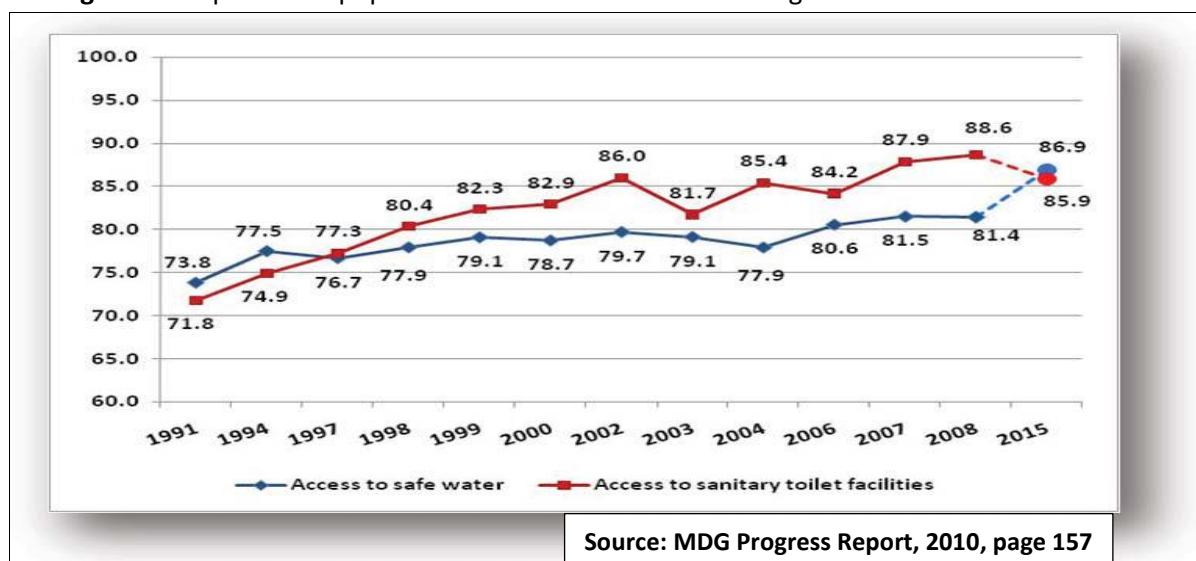
4.1. Relevance

4.1.1. Millennium Development Goals

31. The JP (MDG-F 1919) was well aligned to MDG Target 7.c (of MDG goal 7) – “Halve, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation”. The APIS (2008) revealed that an increased proportion of the population had access to safe drinking water and sanitary toilet facilities. The proportion of population with clean and safe sources of water supply increased from 73.8 percent in 1991 to 81.4 percent in 2008 (Figure 5). The remaining 18.6 percent of population obtained their water from sources that were considered unsafe such as unprotected wells, developed spring, undeveloped spring, rivers, streams, ponds, lakes or dams, rainwater, tanker truck or peddler, among others. Projections based on current trends indicated that the MDG target of ensuring that 86.9% of the population will have access to safe potable water by 2015 would be achieved.

32. Providing access to water and sanitation is more than just about provision of basic amenities. Studies have shown that improving access to water and sanitation facilities decrease the incidences and severity of vector- and water-borne diseases, therefore affecting other aspects of human health. Looking at the type of diseases that are associated with morbidity/mortality of women and children, like malaria and diarrhoea, the evidence shows that there is a direct relationship between water and sanitation and other MDG targets such as nutrition, child and maternal health. The Philippine Environment Monitor (PEM) 2003 reported that up to 58 percent of the country’s groundwater was contaminated by coliform due to the low national coverage of the sewerage system in the country, which was only about 3 percent.

Figure 5: Proportion of population with access to safe drinking water and sanitation



4.1.2. Government Priorities and Strategies

33. The Philippines Development Plan (PDP) 2011-2016 identified nine priorities areas, among them, “acceleration of infrastructure development”. Water supply and sanitation were included under this priority with the following specific outcomes (Figure 6).

Figure 6: Water Supply and Sanitation Targets for PDP 2011 - 2016

Water Supply: <ul style="list-style-type: none"> - Increased percentage of households with Level 3 connections, - Increased percentage of households with continuous (24/7) service, - Reduced non-revenue water (NRW) in million liters per day (MLD) - Reduced gap between demand and supply in MLD, and - Increased numbers of regulated WSPs from 40% in 2010 to 60% in 2016. 	Sanitation: <ul style="list-style-type: none"> - Increased percentage of households connected to sewerage system, and - Increased percentage of households covered by septage management systems.
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Source: Philippines Development Plan 2011 – 2016, page 19

34. The Philippine Water Supply Sector Roadmap (PWSSR) and the Philippine Sanitation Roadmap (PSR) identified the weak and fragmented institutional framework and policies as a major issue besetting the sector. This situation caused significant gaps in policy implementation and enforcement, particularly the inability to deliver the commitments set under existing laws and implement targets within set timeframes. The weak regulatory environment and inadequate support for service providers resulted in low performance

levels and dismal service delivery. Water and sanitation service providers needed to be regulated to ensure accountability to consumers with expanded access, efficient use of revenues and improved service quality. The lack of information on sector performance and benchmarks for providers made it difficult to hold providers responsible for service improvement.⁹

35. The MDG Progress Report also noted that Water supply investments were significantly low relative to the overall public infrastructure spending. The JP was therefore aligned with the Government's P3W programme launched in 2005 and the PWSSR adopted in 2008. The PW3 aimed to address the needs of 432 waterless municipalities outside of Metro Manila. Through the successor programme called Sagana at Ligtas na Tubig para sa Lahat (SALINTUBIG), the government allocated an annual budget of P1.5 billion to build the water supply infrastructure in priority waterless municipalities, which are defined as municipalities whose total households with access to safe water was less than 50% based on the 2000 NSO data. The PWSSR on the other hand, recommended that the soft aspects of water services provision should be given equal importance as the hard infrastructure.

4.1.3. MDG-F Thematic Window

36. The JP was aligned to, and contributed to addressing the objectives of the MDG-F thematic window on democratic economic governance. As presented in the TOR for the thematic window, democratic economic governance involves the exercise of democratic principles and good governance practices in political and economic decisions involving the management of public funds, resources and affairs. It ensures that the voices of the poor and vulnerable groups are heard.

37. There were specific interventions to promote and strengthen the capacity and ability of the poor to participate in and influence planning, design, implementation and management processes for water supply and service provision. These participatory processes resulted in broader community involvement through the bottom-up planning approach and local government/community consultations and collaboration in developing water sector plans. The JP also strengthened mutual accountability between WSPs and water users through development of a social contract known as the Localised Customer Service Codes.



⁹ MDG Progress Report, 2010, page 160

38. However, while the JP also intended to encourage a broad-based public-private dialogue, the results of this were not evident at the time of the evaluation. There were also missed opportunities, particularly with regards to the application of an Integrated Water Resources Management approach. Integrated management entails the simultaneous addressing of issues related to water usage for all the different users. In the case of the Philippines, this would invariably include addressing issues to do with demand for water for industry and irrigation, as well as issues related to climate change, sanitation and water pollution.

4.2. Implementation and Management

4.2.1. Activity Implementation

39. The JP was originally planned to be implemented over a three year period (June 2009-May 2012) but it experienced delays during the inception phase and implementation effectively started in June 2010. In March 2012, the JP was granted a 6-months no-cost extension for the conduct of the JP's final evaluation. At the same time, the JP was offered by the MDG-F Secretariat an additional US\$300,000 grant assistance for the crystallization of the JP results through systematization of the pilot experience, consolidation of partnerships and advocacy for enabling policies, and replication and scale up of the JP initiatives. In recognition that these activities required an additional extension for implementation, the JP was granted a further 7-months extension to complete all its activities, excluding the final evaluation. In view of these extensions, the JP would therefore officially close in June 2013.

40. Activity implementation was vested and integrated into the functions of the participating national institutions. Within NEDA, which was responsible for Outcome 1, an individual officer was assigned to exercise oversight functions for each output. The output officers were integral staff of NEDA and performed the JP functions in addition to their core functions.

41. The activities for Outcome 2 were also implemented within the ambit of DILG integral staff. The Programme Manager of the Water Supply and Sanitation division was assigned as the overall MDG-F Outcome 2 officer, with support from other section personnel who were assigned the functions of regional coordinators. Two other divisions - Planning and M&E division, and the Field Operation, Administration/Fund Management division - whose integral functions are project planning and monitoring, and budget and financial management respectively also provided direct support to the JP in addition to their integral functions. At the Regional level, DILG through the Project Development Management Units (PDMUs) in the 5 regions were also involved in JP activities and provided direct interventions to the local communities.

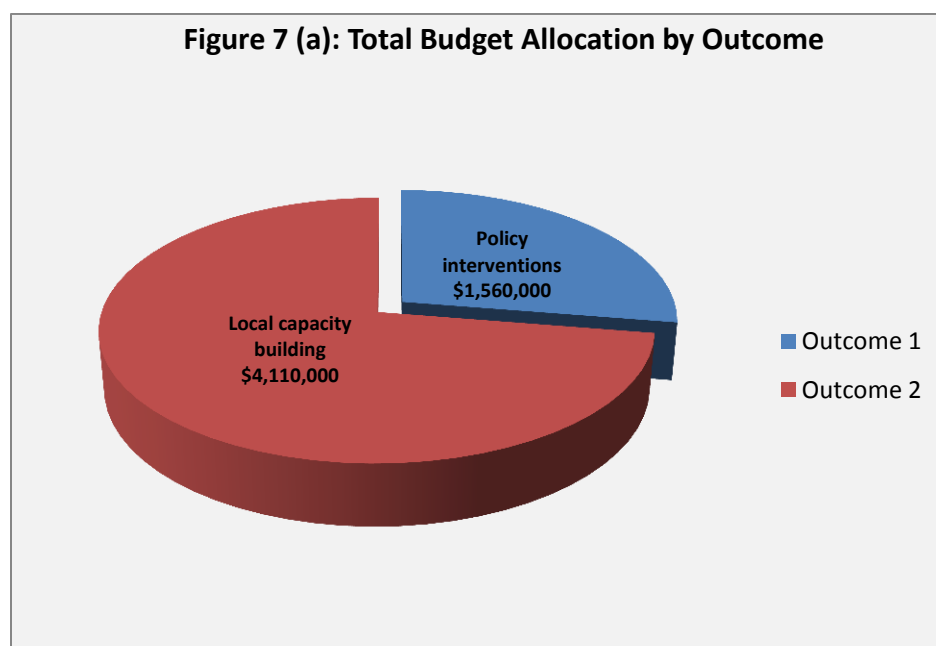
42. At the LGU level, JP activities were implemented and coordinated by the WATSAN councils, which were either established as part of the JP outputs or were re-activated. The members of the WATSAN councils were drawn from the LGU officials, including the Planning officer, Municipal Engineers, Municipal Health Officer among others. In all the LGUs visited during this evaluation, the WATSAN councils were chaired by the respective municipal Mayors.

43. The integration of activity implementation into the integral functions of national institutions is a good practice, which strengthened institutional capacities, and also provided a venue for institutional memory and the sustainability of JP processes and results.

4.2.2. Financial Disbursements

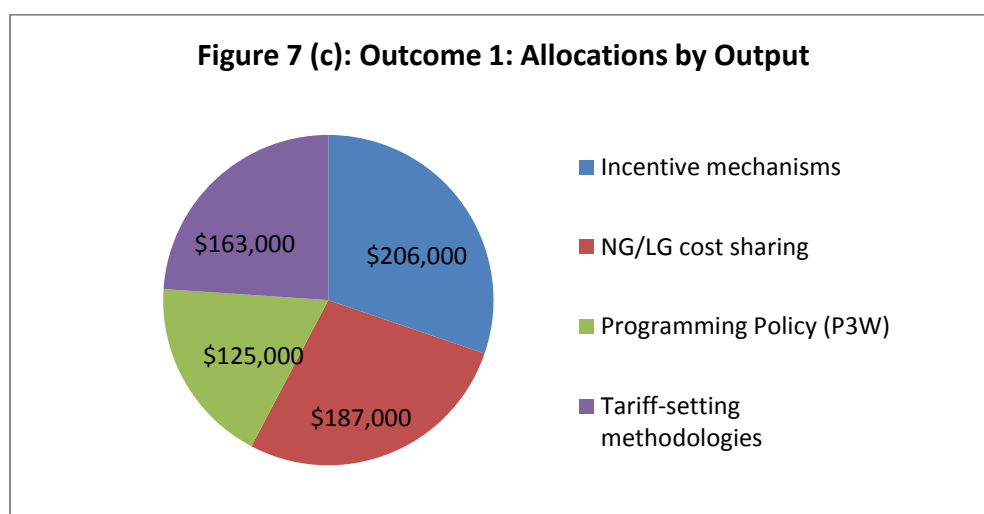
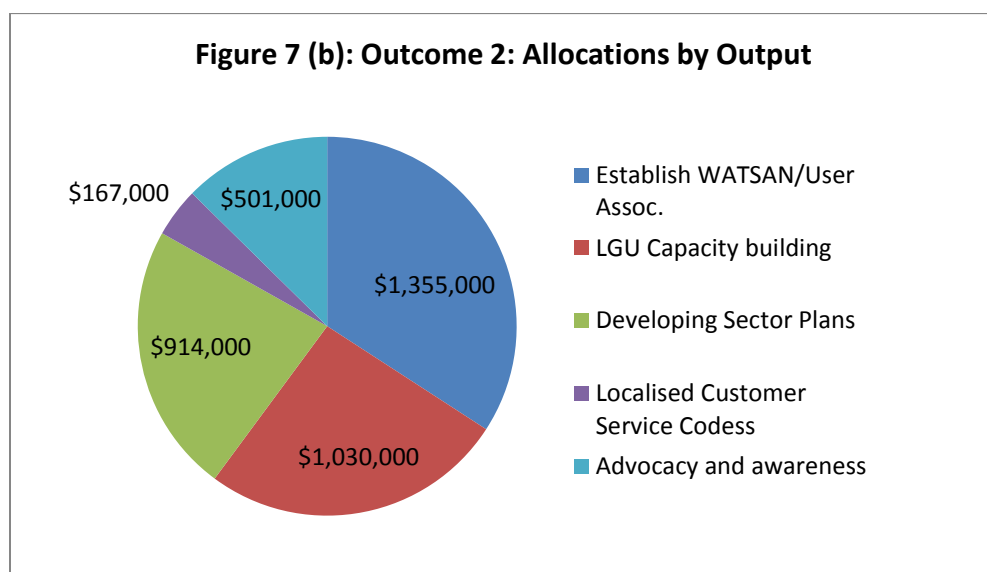
44. The MTE had reported initial delays in the release of funds from partner UN agencies, but these bottle necks were effectively addressed as part of the JP improvement plan.¹⁰ At the time of writing this report, the JP had achieved overall 97.4% budget delivery. Outcome 1 had an overall budget disbursement rate of 95%, while Outcome 2 had overall disbursement rate of 98%. The overall delivery rate was very high; and consistent for all JP outputs. Output 2.4. had lowest delivery of 83%, which is still very good (Annex 5).

45. Of the total US\$5,67million JP budget, 27.5% (\$1,56m) was allocated towards policy interventions under Outcome 1. US\$4,11m or 72.5% was allocated capacity building interventions at local level. Figure 7(a) illustrates the budget allocations by outcome level.



¹⁰ JP Mid-term evaluation report, page 9

46. About 40% (\$1,355m) of the budget for local capacity building (Outcome 2) was allocated for establishing and strengthening capacities of WATSAN councils and water user associations. \$1,030m (25%) of the outcome 2 budget went to building LGU capacities; and the rest was divided between developing capacities for water sector plans (22%), advocacy and awareness interventions (12%), and 4% was allocated for developing Localised Customer Service Codes (Figure 7b). There were roughly equal allocations to the outputs under Outcome 1 (Figure 7c).



4.2.3. Management Arrangements

47. Joint programme governance was vested in the National Steering Committee (NSC) which comprised of the UN Resident Coordinator (co-chair), NEDA (co-chair), and representative of the Spanish Government in the Philippines. The NSC was responsible for overall oversight and strategic guidance, which role it performed effectively. For example,

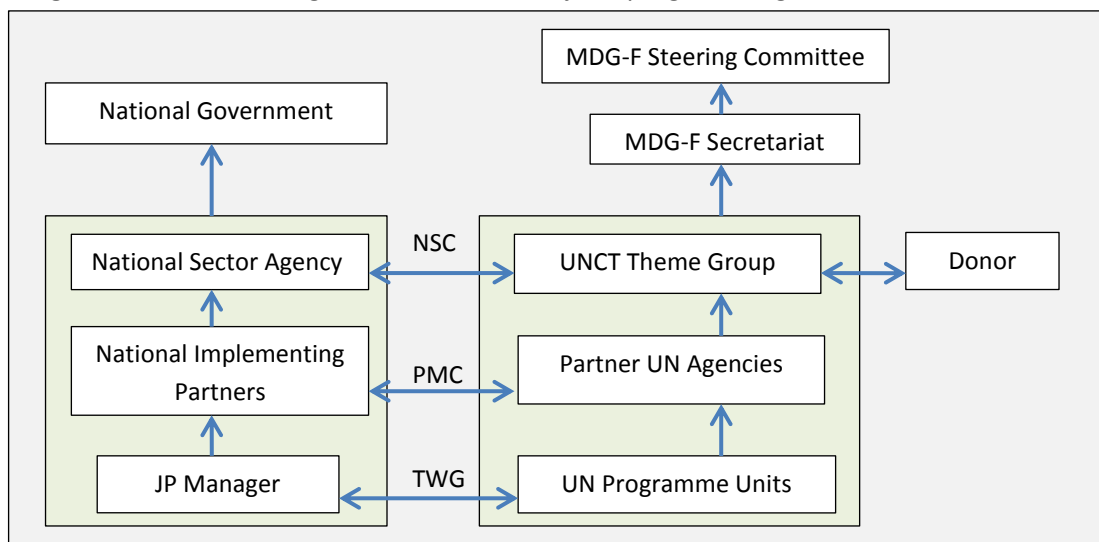
the NSC decided to change one of the targeted municipalities when it became apparent that there was lack of political support for the JP on the part of the LGU.

48. A Project Management Committee (PMC) comprising the partner UN and national government agencies was established to provide technical and operational management on the advice of a Technical Working Group composed of the technical staff and personnel of the respective agencies. All key informants interviewed noted that the PMC and TWG performed their functions effectively.

49. While acknowledging that the governance and management mechanisms were effective, there was a general observation that the mechanism could potentially lead to a parallel structure to the national system. The evaluation noted that the JP governance mechanisms created a direct line authority with a hierarchy structure starting from the JP Manager to the PMC to the NSC and the MDG-F Secretariat. While the partner national agencies had membership at all levels, clearly the structure was not nationally owned. In fact, one could reasonably surmise that the locus of the hierarchy resided much more on the donor agency (MDG-F) than in national institutions and systems. One of the key objectives of the MDG-Fund was to strengthen the principles of the Paris Declaration and Accra Agenda for Action (AAA).

50. The evaluation identified that there was challenge of how to realise a more balanced governance mechanism, which incorporates the need for UN agencies to be accountable for donor funds while at the same time utilizing national institutions and systems for programme implementation. This approach entails the mainstreaming of the principles of the Paris Declaration and AAA in UN joint programming (Figure 8).

Figure 8: Mainstreaming Paris Declaration in joint programming



4.3. Effectiveness

4.3.1. Output Delivery

51. At the output level, the JP delivered all the expected results. Six outputs were delivered for Outcome 1, and for Outcome 2, seven outputs were delivered.

a) Outcome 1 outputs delivered:

- ➔ Water Resource Management and Water Supply for the Poor (June, 2011);
- ➔ Assessment Report on Effective Mentoring Practices and Practitioners¹¹ (June, 2011);
- ➔ Review of the National Government-Local Government Unit Cost-Sharing Policy for Water Supply and Sanitation (July, 2011);
- ➔ Review of the Programming Policies of the President's Priority Program on Water (P3W) (September, 2011);
- ➔ Incentive Mechanisms and Partnership Modalities for Water Supply Provision for the Poor; and
- ➔ Development of the Implementation and Operational Plan for the National Water Resource Management Office (NWRMO, 2012).

b) Outcome 2 outputs delivered

- ➔ WATSAN Councils were organized and functional in 36 municipalities serving as technical working groups for the development and implementation of water and sanitation projects;
- ➔ BAWASAs were organized and functional in 36 municipalities (Some BAWASAs in Region 2 were not yet operational due to pending construction of facilities, water shortage or insufficient water source);
- ➔ LCSCs were developed in the 36 municipalities (Eight BAWASAs had not implemented their LCSCs yet due to same reasons as above);
- ➔ Baseline surveys for the 36 municipalities were completed;
- ➔ Municipal Water Supply, Sewerage and Sanitation Services Plans (MW4SP) were completed in 36 municipalities and were used as reference for identification of waterless areas and potential water sources as well as for the development of infrastructure projects on water and sanitation under the SALINTUBIG and Bottom-Up Planning and Budgeting (BUPB) programs.
- ➔ WATSAN Toolbox was completed although at the time of writing, it was yet to be rolled out and utilized for capacity development by the LGUs; and
- ➔ IEC activities were underway in the 36 municipalities with most of the LGUs having integrated them in their local programs and activities.

¹¹ This is Output 2.1.1

4.3.2. Contribution to Outcomes

A. Outcome 1: Policy Interventions

52. All the policy papers, briefs and reports were well-written with excellent research and analysis. They provided policy recommendations and action plans for a rational approach to enhancing access and provision of water services for the poor. However, in spite of the good policy recommendations the outputs were yet to yield concrete results, particularly with regards to increasing funding and resources for infrastructure investments, which was the stated outcome. There were several factors that may have contributed to this lack of investment support.

- a) **Lack of innovative financing and resource mobilization strategies.** There was a growing awareness and consensus for engaging the private sector through public-private partnerships as the most sustainable investment modality. However, no concrete steps had as yet been taken to establish the “appropriate and predictable enabling environment” for LGUs to attract investment funding independently.
- b) **Insufficient prioritisation of water supply by LGUs.** Most LGUs did not put sufficient priority on water supply and service delivery. Indeed, one of the often cited value-added of the JP by individuals interviewed both at national and local government level was its catalytic role in raising awareness for water as a priority. Even at the community level, the evaluation team heard that some consumers were reluctant to pay water tariffs, which were as little as PhP100-150 per month. In fact during discussions with community members, the evaluation team observed that most of them were paying up to PhP1,000 for their mobile telephones but were reluctant to pay 100 pesos for safe drinking water! The study on “Incentive Mechanisms and Partnership Modalities for Water Supply Provision for the Poor”, argued that “LGUs should be the primary institutions accountable for water provision in their respective areas. In order to fulfill this function, the study recommended that LGUs should (1) develop long, medium, and short-term development and investment plans on water provision; (2) establish partnerships with water service providers and other stakeholders; and (3) develop enabling policies and provide start-up and/or counterpart financing to provide water to waterless areas and poor constituents.
- c) **Inadequate advocacy for policy reforms.** The creation of an apex body for the water sector - NWRMO - was delayed by the dynamics among the various players whose tendency was to protect their turfs. The declaration of “Commitments to Policy Action on Water and Sanitation” made at in the first quarter of 2011 was yet to be turned into concrete action. For example, Congress committed to form a joint oversight committee of the House of Representatives, Senate and the Executive “to examine the various dimensions of the water and sanitation sector and in the long-term, create an apex body through legislation to ensure effective leadership over

the water and sanitation sector”.¹² However, the envisaged Oversight Committee was still to be established. In addition the recent meeting of the Planning Committee for the Philippine Development Plan Mid-Term Update (May 2013), the representative of the Office of the President requested the prioritization of the NWRMO. The Emerging Issues Paper noted, “...Probably, the biggest challenge for the sector is the task of identifying, strengthening and empowering a sector institution to lead the different stakeholders towards a common goal of water and sanitation for all Filipinos and soon.”

B. Outcome 2: Capacity Development Interventions

53. The capacity development outputs at the local level had a much more significant impact compared to the policy interventions. The following highlights illustrate some of the direct contributions of the outputs to the outcome on “enhancing capacities of LGUs and WSPs to develop, operate and manage potable water services.”

(a) The WATSAN Councils were strengthened. The WATSAN councils in the evaluation sample were all very active and exhibited sufficient knowledge of the issues to do with water supply in the municipality. The evaluation team was also satisfied that the WATSAN teams had sufficient authority and political support to play an effective role as they were all chaired by their respective municipal Mayors. In Capalonga municipality (Camarines Norte province), the WATSAN Council was established in 2011, and had assisted in the formulation of LCSCs, supervised the baseline survey in the municipality, and organized the Technical Working Group for municipal water and sanitation. In Sibagat (Agusan del Sur province), there was a proposal to draft a municipal resolution incorporating a sustainability plan for the WATSAN Council including an annual appropriation. There was also a proposal to create a WATSAN Unit in the Office of the Mayor. In Kalawit (Zamboanga Sibugay province), the WATSAN Council was able to mobilise and obtain additional resources from a German NGO – German Doctors for Development – using the Baseline Survey study and the Provincial Water Supply and Sanitation Sector Plan. The municipality was also providing counterpart funding in cash (25%) from the LGU and kind (15%) from the Barangay and (10%) from the community.

(b) BAWASAs were either established or revived, and fully functional. All the 36 municipalities targeted by the JP had either established or revived their respective BAWASAs. Most of the BAWASAs in the evaluation sample stated that they had increased their membership and collections; as well as developed LCSCs. The San Vicente-Ilihan Water Service Association in Sibagat (Agusan del Sur province)

¹² ‘Declaration of Commitment to Policy Action on Water and Sanitation,’ 17 March 2011, House of Representatives.

increased its membership by 74% to 388 households, and increased its collection efficiency from 40% to 92% by strictly enforcing the LCSC. In Basud (Camarines Norte province), BAWASAs in the five barangays were organized - San Pascual, Tuaca, San Felipe, Caayunan and San Jose. The San Pascual BAWASA increased the number of public faucets in Level 2 from 14 to 18 and the monthly fees from P10 to P20. In Level 3, household connections were increased from 22 to 47 and the monthly dues from P20 to P50.¹³ In Capalonga, the JP supported the establishment of BAWASAs in three barangays - Alayao Water System Association (AWASA),



Catabaguanan Water System Association (CAWASA) and the Barangay Itok Water System Association (BITWASA) which formed the Capalonga Water System. All barangays developed and were implementing their LCSCs, and they said that they were ready to mentor other barangays to establish water user associations. One BAWASA in Kalawit municipality had helped a neighboring barangay in a different municipality to establish its association and develop its own LCSC, and in addition had agreed to let them connect to its water supply source.

(c) Other providers including cooperatives and water districts were strengthened.

The JP extended its support and capacity building to other WSPs beyond the barangay user association. In Sibagat, for example, the Afga Water Service Association (AWASCO) was formerly a BAWASA but was unable to function due to changes in political leadership. It reconstituted itself into a cooperative with support of the JP. The cooperative members said they had learned bookkeeping, strategic planning and developed their own LCSC. The cooperative had PhP21,336 in its

¹³ Level 2 is a communal faucet system or stand posts with a piped distribution network; and level 3 is a water works system with a source, a reservoir, a piped distribution network and household taps.

savings account. The members said they were planning to form a Federation of Cooperatives in Sibagat. The capacity assessment of WSPs undertaken by the DILG generally gave LGU-based systems a low rating due to budget constraints and high risk owing to changes in administration. However, in Claveria municipality (Misamis Oriental province), through the JP capacity building support in the form of a Php 10m grant. The municipal government increased the allocation for water from its Development Fund to P2m; installed 800 household meters to upgrade users from Level 1 to Level 3; and expanded the water supply system to four additional barangays by constructing a 10 km water distribution pipeline.

(d) Mutual accountability between service providers and users was strengthened. The JP processes established a governance perspective into water supply and service delivery by strengthening community participation and introducing a social contract between providers and users. There was also increased participation by CSOs. For example, in Sibagat, a church-based organisation - Watch for Water Anti-Corruption Group (IWAG), was involved in monitoring corruption in water governance in such aspects as ensuring regular meetings of the WATSAN Council, transparency in the bidding process for the procurement of materials and timely payment of water dues. The organisation said it was seeking membership in the Municipal Development Council through a resolution of the Sangguniang Bayan.

(e) Strengthened Human Rights-based Approaches. Where the water source was located in an ancestral domain, Administrative Order No. 3 series of 2002 of the National Commission on Indigenous People (NCIP), and Administrative Order No.1 Series of 2006, required the “free and informed consent” of the indigenous cultural community (ICC) for accessing these resources in accordance with their customary laws and practices. In accordance with these provisions, the municipal government of Claveria negotiated an agreement with the Higaonon tribe of Barangay Mat-I Claveria, to access the water source for the water distribution system program. The Memorandum of Agreement (MOA) between the two parties provided that the Higaonons would have: (1) priority in skilled and unskilled employment commensurate with their qualifications and fitness, (2) fair and just compensation for damage to individual or communal crop or property arising from the operation, (3) a college scholarship grant to qualified children of the indigenous cultural community, (4) proper relocation and resettlement plan for affected individuals or families, provided that they will not be deprived of use of any available natural resources within the ancestral domain without their consent, and (5) financial support to undertake community rituals at the affected sites as per their traditions and culture.

4.3.3. Gender equality

54. The promotion of gender equality was not an intentional or deliberate dimension of the JP although women were participating and holding decision-making positions in WATSAN Councils, BAWASAs and cooperatives. The JP had no specific interventions or activities to (a) collect sex disaggregated data on household division of labor, (b) undertake a time survey of how women spent their time in the household and how the improvement of water services improved their life situation or how it impacted on their ability to engage in other economic and productive activities, (c) conduct a gender analysis of the impact of water policies on women and the gender roles of women compared to men in the fetching, usage and management of household water supplies.

4.3.4. Change in development situation for target beneficiaries

55. The JP's contribution has to be viewed in terms of the extent to which the outputs actually contributed to the desired development changes, which ultimately have to be assessed in terms of concrete development change; in this particular case understood to mean the '*actual access to safe drinking water by households and communities which hitherto had no access*'. The overarching objective of the JP was articulated in the JP document as (Box 4):

Box 4: JP overarching objectives

The JP is expected to contribute to the provision of more accessible, efficient, effective and quality water supply to rural areas, particularly waterless areas, through the provision of complementary support to the government efforts under the P3W. The JP will enhance the sustainable delivery of water to about 122,000 households in 36 depressed communities...

56. The JP did not report specifically on direct beneficiaries at individual or household levels; but only focused on the capacity building components by reporting the beneficiaries as 4 national government agencies, 43 LGUs and 43 WSPs. The JP also reported its interventions had indirectly benefitted 732,000 individuals (363,804 male and 368,196 female based on 2000 Census gender disaggregation).¹⁴ This figure is based on an assumed six members per household multiplied by the estimated 122,000 households. However, based on data obtained during field visits to the evaluation sample of municipalities, the beneficiaries at the household and individual level are much lower. For example, in the barangay San Pascual in Basud municipality (Camarines Norte province), the number of households with Level 2 access increased from 14 to 18; and Level 3 access increased from 22 – 47 households. Thus, if an average of 30 households benefitted per barangay, and the

¹⁴ JP Monitoring Report, February 2013.

JP benefitted 43 WSPs, then only about 1,290 households may have benefitted directly. With assumed six members per household, this translates to about 7,740 individuals that benefitted directly.

57. In Sibagat municipality, cited by the JP partners as a good practice example, the population with access to safe drinking water increased from 64% to 80% over the period 2010 to 2013. The municipality had a total population of 30,650 (2010)¹⁵ and three types of small-scale water service providers: (1) barangay-managed Water and Sanitation Association (BAWASA); (2) Water District; and (3) the Cooperative Water Service Provider (Annex 6 Case study). Assuming this to be the general average for all 36 JP municipalities also yields an average of 264,816 direct individual beneficiaries or 44,136 households. The range of direct beneficiaries was therefore somewhere between 1,290 – 44,136 households (7,740 to 264,816 individuals), which was much less than the targeted 122,000 household beneficiaries.

4.3.5 Factors that affected effectiveness.

58. The JP effectively addressed the “soft aspects” of water supply namely, enhancing the policy environment for investment and providing capacity development for waterless communities. However, this was not matched with sufficient resources to develop the hard infrastructure and physical facilities needed for the flow of water. The programme strategy was based on the assumption that the funds for infrastructure development would be provided through the government’s SALINTUBIG programme, BUPB and the Local Development Fund (LDF). The MTE had also made a similar observation and recommended that “... JP should develop a broad-based partnership to engage other stakeholders, particularly (a) donor organisations and the private sector to provide funding and investments in water delivery infrastructure, and (b) civil society to strengthen advocacy with government for resource allocations and accountability”.

59. The SALINTUBIG programme provided a grant of PhP 1,50 billion annually until 2016 for water infrastructure investment, while 20% of the Internal Revenue Account (IRA) was allocated for local development. The BUPB was introduced in 2013 and its first allocation of PhP 1,20 billion was reallocated from the SALINTUBIG budget, thereby reducing the latter to about PhP 689 million. These funds were divided equally to all municipalities, with each getting PhP 10 million. The allocations were increased in 2014 to PhP 1,80 billion and PhP 2,50 billion respectively for SALINTUBIG and BUPB. However, these funds were insufficient to cover the entire country with over 455 municipalities considered as waterless, and also given the large distances to be covered in piping due to wide dispersion of rural households.

60. On the positive side, the JP results in local capacity building were more effective due to the vast network and presence of DILG at regional, province and municipal levels. DILG

¹⁵ <http://mdgf1919-salintubig.org.ph>

local level personnel were involved in the implementation and coordination of JP interventions at local level. In addition, the involvement of the community through community organizers and establishment of barangay associations in the water governance systems also enhanced effectiveness. The LGUs were also very supportive of the JP interventions with respective municipal Mayors actually chairing the WATSAN Councils.

4.4. EFFICIENCY

61. The assessment of a programme's efficiency involves two aspects – implementing efficiency and value for money. Implementing efficiency includes (a) determining whether the sub-programme objectives were appropriate to achieve the overall programme objective, (b) assessing whether the interventions that were selected had a high probability of resulting in the expected sub-programme objectives, and (c) whether the kind and amount of resources allocated were sufficient to support the performance of the planned activities.

62. The two outcomes to develop an enabling environment conducive for increasing investments to the water supply sector, and developing local level capacities to plan, design, implement, operate and manage water supply systems were both critical to achieving the overall objective of a sustainable water supply system. In addition, the JP developed appropriate and relevant interventions and outputs to achieve the outcomes. Sufficient resources were allocated for each outcome. Under outcome 2 particularly, the planned resources included direct funding by the MDG-F as well as counterpart funding cash and kind by the local governments and beneficiary communities. The establishment and capacitation of WATSAN councils, for instance was a critical success factor as they were able to use their local knowledge to support community mobilisation and to collect baseline data.

63. With regards to value for money, there was no objective basis for making a comparative analysis of the cost efficiency of the JP interventions since the conditions in the targeted municipalities were different. For example, some of the municipalities do not have adequate water sources, while other municipalities were more prone to natural disasters, which rendered Palanan Isabela municipality (Cagayan province) inaccessible for about 9 months.

64. Based on the estimated number of beneficiary households (paragraph 57) estimated at 44,136 households and 264,816 individuals in the best case scenario, the JP's per capita cost for providing access to safe drinking water was estimated at US\$21.41. In one of its

reports, WHO (2008) estimated that the average per-capita cost for non-household connection was \$55 in Asia¹⁶ (Figure 9).

Figure 9: Average per capita costs for safe water supply

	Per capita costs (US\$ year 2005*)					
	Initial Investment Costs			Annual Recurrent Costs		
	Africa	Asia	LAC	Africa	Asia	LAC
Household connection-treated	164	148	232	13.4	9.6	14.6
Stand post (Level 2)	50	103	66	0.5	1.0	0.7
Borehole	37	27	89	0.2	0.2	0.5
Average non-household connection	50	55	72	0.4	0.5	0.5

LAC: Latin America and the Caribbean

* 2000 data adjusted to 2005 prices using an average Gross Domestic Product (GDP) deflator of 10%.

65. Based on the per-capita costs presented in Figure 9, the JP can be considered to have been efficient quite efficient in the best case scenario with 264,816 individual beneficiaries. In the worst case scenario (paragraph 57) with 7,740, the JP's per capita cost was \$732,56 which would render it very cost inefficient. The actual number of beneficiaries however is somewhere between the worst and best case scenarios. Also, if we take into consideration the other beneficiary communities outside the target municipalities (paragraph 54b) that have since established their own water systems by adopting the JP process it would be reasonable to conclude that the JP's cost efficiency compared quite favourably with estimated Level 2 per capita costs for Asia (Figure 9).

4.5. Sustainability

66. The sustainability strategy included in the JP document lacked specific details on how and by whom the results would be continued post the programme funding; it only contained a summary of how the outputs were likely to be self-sustaining based on the broad community participation and capacity development for LGUs. In May 2012, the United Nations Coordination Office (UNCO) prompted the JPs implemented in the Philippines to develop specific exit strategies and sustainability plans. The JP complied and developed an exit strategy and sustainability plan, which designated a specific national agency responsible for sustaining the JP processes and results.

67. The sustainability plan only prescribed activities and budgets that would be carried out within the JP time frame as sustainability measure. For example, for Output 1.1 (Incentive mechanisms and partnership modalities), the plan provided that *"the study output will be published and distributed to LGUs, service providers and other development partners over*

¹⁶ WHO (2008), Regional and Global Costs of Attaining the Water Supply and Sanitation Target (Target 10) of the Millennium Development Goals, page 6.

the period January – April 2012 with an operational budget of \$7,000”. However, a sustainability plan should go beyond the programme time frame as it is intended to outline how the programme would be sustained post the programme funding.

68. The evaluation team noted a positive outcome under the JP’s local capacity building component (Outcome 2), which although unintended, constituted the sustainability pillar for the JP results. The JP established 10 regional hubs for capacity development.¹⁷ The regional hubs, under the operational management of DILG would provide the following capacity building training to waterless municipalities not covered by the JP:

- (a) Simplified Feasibility Studies Preparation;
- (b) Sector Assessment, Planning and Programming;
- (c) Detailed Engineering Design and Construction Supervision;
- (d) Procurement and Fund Management;
- (e) Local Water Governance and Strategic Communication for the WATSAN Councils;
- (f) Community Organizing and Skills Development;
- (g) Operation and Maintenance, Business Planning and Contracting, Accounting, Developing LCSC for LGU and community-managed water supply systems;
- (h) Water Safety Plan Operation; and
- (i) Monitoring and Evaluation.

69. A proposal was presented to donors at the meeting of the Philippine Development Forum (PDF) Sub-Working Group on Water and Sanitation (June 2013).¹⁸ The proposal requested donors to consider funding and provide support for:

- i) Institutional development and strengthening of the regional WATSAN hubs;
- ii) Establishment of a monitoring and evaluation system to ensure effective and efficient delivery of capacity development services by the regional hubs;
- iii) Integration of other capacity development packages in addressing the following: corruption in water, climate change, conflict in water use, culture and community participation; and
- iv) Sector assessment, planning and programming that will lead to investment.

V. CONCLUSIONS AND LESSONS LEARNED

70. The most significant accomplishments of the JP were in raising awareness that water was not just an engineering concern for installation of pipes and faucets, but a basic human

¹⁷ The regional hubs were established in North Luzon, Central Luzon, South Luzon, West Visayas, Central Visayas, East Visayas, West Mindanao, Bansamoro, South Mindanao and North Mindanao.

¹⁸ The PDF is the primary mechanism of the Government for facilitating substantive policy dialogue among stakeholders on the country's development agenda.

right and governance issue. Target 10 of MDG 7, aimed to cut in half the proportion of people without sustainable access to safe drinking water. At the Johannesburg World Summit for Sustainable Development, in 2002, this target was expanded to include basic sanitation, and water as a resource was recognized as a critical factor for meeting all the MDGs. In December 2003, the United Nations General Assembly, in resolution A/RES/58/217, proclaimed the period 2005-2015 International Decade for Action 'Water for Life'. The decade officially started on World Water Day, March 22, 2005. (Box 5).

Box 5: The human right to water and sanitation

On 28 July 2010, through [Resolution 64/292](#), the United Nations General Assembly explicitly recognized the human right to water and sanitation and acknowledged that clean drinking water and sanitation are essential to the realisation of all human rights. The Resolution called upon States and international organisations to provide financial resources; help capacity-building and technology transfer to help countries, in particular developing countries, to provide safe, clean, accessible and affordable drinking water and sanitation for all.

Source: Resolution A/RES/64/292. United Nations General Assembly, July 2010

In November 2002, the Committee on Economic, Social and Cultural Rights adopted [General Comment No. 15](#) on the right to water. Article I.1 states that "The human right to water is indispensable for leading a life in human dignity. It is a prerequisite for the realization of other human rights". Comment No. 15 also defined the right to water as the right of everyone to sufficient, safe, acceptable and physically accessible and affordable water for personal and domestic uses.

Source: General Comment No. 15. The right to water. UN Committee on Economic, Social and Cultural Rights, November 2002

71. While the JP delivered very good outputs under both outcomes, there was an apparent lack of convergence of the outcomes. In fact, it was quite conceivable that each of them could have been implemented independently rather than as one programme. This was probably one of the factors that contributed to the lack of concrete results from the policy outputs. Given a carefully designed programme with horizontal linkages, the outputs of Outcome 1 could have served as the inputs to Outcome 2. For example, the policy paper on 'Incentives Mechanisms and Partnership Modalities' in Outcome 1 could have been a module in local capacity building on innovative resource mobilization and private-public partnerships.

72. Policy advocacy did not get sufficient attention in the programme design and implementation. For example, there was no concerted advocacy for the establishment of a single lead agency to coordinate development in the water supply and sanitation sector. The advocacy could have focused on the consolidation of two bills in the House of Representatives (House Bills 1679 and 4282) and two bills in the Senate (Senate Bills 2641

and 611), all of which sought the establishment of a Water Regulatory Commission. House Bill 1679 and Senate Bill 611 were tabled in 2010, while House Bill 4282 and Senate Bill 2641 were tabled in 2011. All four bills “aimed to streamline organizational functions and responsibilities and the pertinent regulatory units of the Metropolitan Waterworks and Sewerage System (MWSS), NWRB and LWUA.”¹⁹ However, while the establishment of the NWRMO as an apex body would be a strategic outcome, more efforts towards developing capacity of LGUs on innovative resource mobilization such as private-public partnerships, and developing proposals could have enhanced the JP’s contribution to the overall programme objective through the work undertaken at policy level.

73. At the local level, there were no mechanisms specifically established to monitor the implementation of the MW4SP and LCSCs. The municipalities targeted by the JP all developed their respective water sector plans and service codes. The MW4SPs identified the required investments, thus making them useful tools for resource mobilization while the LCSCs provided a binding social contract between the water service providers and consumers. However, to ensure effective and sustained implementation, a monitoring system would need to be established and institutionalized.

74. The WATSAN regional hubs also constituted an innovative initiative with a potential to upscale and replicate the JP’s good practices to a broader coverage of waterless municipalities. However, presently the regional hubs were designed as a supply side mechanism to develop capacities of LGUs, providers and users, with services either offered free or funded by donors. While access to safe water is a right, the supply and service provision is not free. There is an opportunity for the regional hubs to move towards demand-driven programming where they are paid for their services as a sustainability mechanism and social responsibility for their clients.

75. The JP provided demonstrable evidence that the poor were willing and able to pay for water supply services, as long as there is sufficient transparency and accountability in the governance system, as well effective community mobilisation. It is when the community actively participates in running their own water systems that accessibility is increased and collection of fees is enhanced. In addition, communities also demonstrated that they were capable of mentoring and transferring knowledge to other waterless communities through mentoring and ‘god-parenting’. The regional hubs therefore need not be too technical where only “expert consultants” provide training services. Mentoring or god-parenting by CSOs such as IWAG or by experienced barangays such as Sibagat could also be quite effective.

76. Without a doubt, the joint programme “Enhancing Access to and Provision of Water Services with the Active Participation of the Poor, (MDG-F 1919)” addressed a crosscutting

¹⁹ Edna Co and Mark Anthony Gamboa, “Water Supply and Sanitation in the Philippines,” Water Resource Management and Water Supply for the Poor, UP-NCPAG Policy Brief No. 1, p.p. 20-24.

issue which is central to the human security and development as well as the achievement of the MDGs in the Philippines. The JP's interventions and outputs were very strongly aligned to the government's priorities and strategies as reflected in the principles enshrined in the Philippines Water Supply Sector Roadmap (Box 6).

Box 6: PWSSR Development Framework Principles
Principle No. 1 – <i>Water is a human right and the government has an obligation to respect, protect and fulfill the enjoyment of the right to water.</i>
Principle No. 2 - <i>Water is a finite and vulnerable resource, essential to sustain life, development and the environment. It should be managed for the common good.</i>
Principle No. 3 - <i>Access to water should be equitable and sensitive to gender and the disadvantaged.</i>
Principle No. 4 - <i>The governance of water resources should be transparent and socially accountable and its management should be decentralized at the lowest possible level.</i>
Principle No. 5 - <i>Water supply services should be financially sustainable and socially acceptable.</i>
Principle No. 6 - <i>Water supply services should be demand responsive. This includes appropriateness and viability of technology and management options at various levels.</i>
Principle No. 7 - <i>Water supply projects should have capacity development components at all levels inclusive of knowledge management that promotes a learning environment for all stakeholders.</i>
Principle No. 8 – <i>Water supply provision should be a priority component in poverty reduction programs. This means giving priority to public allocation for water supply services.</i>
Principle No. 9 - <i>Sanitation is directly linked to water supply.</i>
Principle No. 10 - <i>The development of the water supply sector should contribute to the promotion of gender equality.</i>

VI. RECOMMENDATIONS

77. Since access to safe water is considered as a basic human right and also central to the achievement of the MDGs, the UN in the Philippines should therefore continue to support the government's efforts to increase access to safe drinking water as part of its agenda to accelerate progress towards achievement of the MDGs in the remaining period before 2015, and also as part of the post 2015 agenda. The UN should continue to identify all possible opportunities and entry points to integrate access to safe drinking water as an enabling activity or specific sub-objective for its development programmes, and also strengthen advocacy for safe water access to other development actors.

78. Based on the conclusions contained in the preceding chapter, the evaluation makes the following six specific recommendations.

Recommendation 1: Continue to Strengthen Integrated Water Resources Management

79. IWRM is a process which promotes the coordinated development and management of water, land and related resources in a sustainable manner. IWRM approaches enable the development of a multi-sectoral strategy for water management, thereby providing a platform for mainstreaming access to safe drinking water as a crosscutting issue in the programmes, plans and projects of water-related government agencies and other development partners.

Recommendation 2: National ownership should be mainstreamed and reflected in programme governance and management mechanisms.

80. Since the joint programme funds were channeled through UN agencies, the accountability and reporting mechanisms for fund management should reside within the UN systems and structures. However, all other programme implementing and coordinating mechanisms should reside in national systems, so that these processes and results can be continued after the end of the joint programme.

Recommendation 3: Strengthen LGU capacity to acquire resources for developing water supply infrastructure.

81. The provision and supply of safe water is a devolved function, which is a responsibility of municipal governments. The Local Government Code of 1991 (Republic Act No. 7160) devolved to local governments the power to discharge functions and responsibilities of national agencies and offices such as the provision of basic services and facilities including water supply systems (Section 17). In order to improve the efficiency, access, affordability and quality of water services for the rural poor, municipal governments should take the lead and use innovative approaches in mobilizing resources to build water facilities. LGUs should have capacity to explore alternative funding sources including public private partnerships and debt financing.

Recommendation 4: Strengthen policy advocacy towards lead agency for the water sector

82. Numerous government agencies are involved in planning and policy formulation for the water sector, including NEDA, NWRB, LWUA and local government units. The government has for a long time recognised that national and local targets in the water sector can only be achieved if there is reliable data to support scientific and evidence-based decision-making for provision of water-related infrastructure. The UN should continue to support the creation of an independent authority with sufficient powers and resources to formulate national policies on water resources management, regulation (quantitative, economic and service-efficient), usage, planning and conservation.

Recommendation 5: Strengthen rights-based approach to water governance.

83. Access to water is recognised by the UN as a basic human right. However, the implementation of the human rights based approach to water goes beyond the mere establishment of a mutual accountability mechanism through LCSCs and community participation. There should also be effective laws, policies and institutions, including a public authority that has a clear mandate and the financial and human resources to implement the human right to water. The law must clearly define the relevant rights and obligations, and identify the respective rights holders and duty bearers. While service providers may be private, public authorities have the responsibility and must have the capacity to set and implement a coherent legislative and contractual framework and monitor the performance of private (and public) service providers. There should also be a monitoring process based on structural, process and outcome indicators. National accountability mechanisms (including national human rights institutions, water tribunals and the media) should be strengthened to promote and protect the rights of citizens to have their rights respected and realised. Human rights based approach to water and sanitation also implies that water users have responsibilities, i.e. not to impede others in enjoying their right to water.

Recommendation 6: Strengthen support to the Regional WATSAN hubs.

84. While the WATSAN toolbox will serve as the main knowledge resource tool for the regional hubs, the training should be differentiated and tailored to the specific needs and conditions in each locality. This requires developing capacity of the training facilitators in conducting capacity needs assessments and designing relevant training packages suitable for their target audiences. A one size fits all approach may not be very effective, especially for training community members. Other approaches, including peer-mentoring and god-parenting should be explored as an alternative to the traditional seminar and workshop methodologies.

Recommendation 7: Mainstream inclusive civil society participatory programmes for water governance.

85. Community organizations, indigenous people's groups and other local groups have a better understanding of their life situations and local realities. They should be more deeply involved in water management and decision-making. Women and women's organisations should be engaged through capacity-building for women based on gender-sensitive capacity assessments and gender-responsive programming for the water supply sector. The UN should mainstream Inclusive Participation in Governance interventions in its programmes and projects that address all aspects associated with access to safe water, including by fostering periodic water governance assessments and dialogues.

ANNEX 1: DOCUMENTS REVIEWED

1. MDG-F (2013), Draft Report: MDG-F in the Philippines.
2. MDG-F (2013), MDG-F Survey Results.
3. MDG-F (2013), DEG Thematic Study Report.
4. MDG-F (2013), JP Monitoring Report, Feb 2013.
5. MDG-F (2012), Bi-annual Report, Jan – Jun.
6. UNDG (2012), 2011 Resident Coordinator Annual Report Philippines
7. UNDG (2012), 2011 Resident Coordinator Annual Report Philippines.
8. MDG-F (2012), Colour Coded Annual Work Plan
9. MDG-F (2011), Colour Coded Annual Work Plan.
10. MDG-F (2011), JP Mid-Term Evaluation report.
11. MDG-F (2011), Mid-Term Report Improvement Plan.
12. MDG-F (2011), Bi-annual Report, Jan – Jun.
13. MDG-F (2011), Bi-annual Report, Jul – Dec.
14. MDG-F (2011), JP 1st Semester Fact Sheet.
15. Philippine Water Partnership (2011), Challenges for Small Water Service Providers.
16. GOP (2010), Philippines MDG Progress Report, 2010.
17. MDG-F (2010), JP 1st Semester Fact Sheet.
18. MDG-F (2010), Bi-annual Report, Jan – Jun.
19. MDG-F (2010), Bi-annual Report, Jan – Jun.
20. GOP (2008), Philippine Water Supply Sector Roadmap.
21. MDG-F (2008), Joint Programme Document, MDG-F 1919.
22. WHO (2005), Regional and Global Costs of Attaining the Water Supply and Sanitation Target (Target 10) of the Millennium Development Goals.

ANNEX 2: LIST OF PARTICIPATING AND LGUS SAMPLED FOR EVALUATION

Region	Participating Provinces	Participating LGUs	Sampled LGUs
Region 2: Cagayan Valley	Cagayan	Abulog	
		Ballesteros	
		Allacapan	
		Pamplona	
		Sta. Teresita	
		Sto. Nino (Faire)	
	Isabela	Palanan	
Region 5: Bicol Region	Camarines Norte	Basud	Basud
		Capalonga	Capalonga
	Camarines Sur	Garchitorena	
		Siruma	
Region 9: Zamboanga	Zamboanga del Norte	Mutia	
		Jose Dalman	
		Kalawit	Kalawit
		Katipunan	Katipunan
		Siayan	
		Siocon	
		Siriwai	
	Zamboanga del Sur	Lapuyan	
		Midsalip	
		Tigbao	
	Zamboanga Sibugay	Alicia	
		Payao	
		Titay	
		Tungawan	Tungawan*
Region 10: Northern Mindanao	Misamis Oriental	Claveria	Claveria
	Misamis Occidental	Baliangao	
		Sinacaban	
	Bukidnon	Dangcagan	
		Don Carlos	
		Kadilingan	
		Kibawe	
		Kataotao	
	Lanao del Norte	Colabugan	
Region 13: Caraga Region	Agusan del Sur	La Paz	
		Sibagat	Sibagat

* The visit was cancelled due to security advisory.

ANNEX 3: INDIVIDUALS INTERVIEWED

	Name	Designations	Agency/Institution
UN Agencies			
1	Luiza	UNRC	UNCO
2	Eden Grace Lumilan	Coordination Specialist	UNCO
3	Alicia Giminez	Coordination Associate	UNCO
4	Joel Beasca	Cardno Emerging Markets	UNCO
5	Tommo Hozumi	Country Representative	UNICEF
6	Hammad Masood	Planning, M&E Specialist	UNICEF
7	Michael Emerson Gnilo	C4D Specialist	UNICEF
8	Rosario Aurora Villaluna	WASH Cluster Coordinator	UNICEF
9	Toshihiro Tanaka	Country Director	UNDP
10	Emmanuel Buendia	Governance Specialist	UNDP
11	Pamela Grafilo	Democratic Governance Unit	UNDP
Government officials			
12	Austere A. Panadero	Under Secretary for Local Government	DILG
13	Fe Crisilla M. Banluta	Outcome Officer	DILG
14	Josephine Ramos	Junior Programme Officer	DILG
15	Rolyn Q. Zambales	Director, Office of the Project Development Services	DILG
16	Kathleen Mangune	JP Manager	NEDA
17	Uzein Corcuera	Infrastructure Specialist	NEDA
18	Belen I. Juarez	Supervising Public Utilities Regulation Officer, Water Utilities Division	NWRB
19	Emmie L. Ruales	Engineer IV, Policy and Program Division	NWRB
20	Mark Anthony Gamboa	Professor	NCPAG
Individual interviews at Regional level			
21	Redentor Salvaleon	Mayor, Claveria Municipality	
22	Arnold Tepere	Director, Propegemus Foundation	
23	Roberto Latras	General Manager, Sibagat Water District	
24	Mauricia Naybe	Chief PDMU, DILG Region 10	
25	Salvador Zubila	Director, IWAG	
26	Thelma G Lamanilao	Mayor Municipality of Sibagat	
27	Dominador Davocol	Mayor Municipality of Basud	
28	S. Jalgallado	Mayor Municipality of Capalonga	
29	Eugenio B. Baliling	Mayor Municipality of Kalawit,	
30	Crissostomo Eguia	Mayor Municipality of Katipunan	
REGIONAL FOCUS GROUP DISCUSSIONS			
	Province (Region)	Municipality	# of participants
1	Camarines Norte (5)	Basud	16
2		Capalonga	16
3	Zamboanga del Norte (9)	Kalawit	25
4		Katipunan	15
5	Misamis Oriental (10)	Claveria	10
6	Agusan del Sur (13)	Sibagat	10

ANNEX 4: JOINT PROGRAMME RESULTS FRAMEWORK

OUTPUT TARGETS	PROGRESS INDICATORS	BASELINE
Output 1.1: Incentives, Mechanisms and partnership modalities (e.g. leveraging local capital and/or subsidy) developed and enhanced for investments in “waterless” and poor communities.	1 policy issuance promoting the use of the schemes by 2011	No policy issuance
Output 1.2.1: Policy on National Government-Local Government Units (NG-LGU) cost sharing arrangement for water supply and sanitation provision for poor municipalities reformulated and recommended for adoption.	1 policy issuance recommended for cost sharing arrangement by 2011	Current cost sharing Arrangement based on LGU income class only
Output 1.2.2: Programming policies of the P3W reviewed and amended, and recommended for adoption.	1 set of Programming guidelines recommended for adoption by 2010	Current implementing guidelines available
Output 1.3: WATSAN Councils and Water user associations formed/organized with increased participation of women	36 WATSAN councils & water user associations organized	No WATSAN Council nor user association was organized during the implementation of the P3W
Output 1.4: Tariff-setting methodology adjusted for small scale water service providers.	1 tariff setting methodology revised and recommended for adoption	Current 5-year tariff-setting methodology available
Output 2.1.1: Mentoring mechanisms formulated, recommended for adoption and institutionalized.	At least 1 module for mentoring formulated	No available guidelines/ modules.
Output 2.1.2: WATSAN Toolbox implemented.	36 LGUs trained in Planning and management/ financing;	Toolbox available; Level 3 (medium) competency
Output 2.2: Improved sector plans formulated and monitoring mechanisms established.	36 MW4SPs Formulated 36 monitoring systems established	No MW4SPs (sector plans) and 1 monitoring System

OUTPUT TARGETS	PROGRESS INDICATORS	BASELINE
Output 2.3: Localized Customer Service Code based on the framework for service delivery developed and adopted.	36 localized customer service codes based on manual/ guidelines developed	Only Customer Service Code for Level III is available
Output 2.4: Advocacy and awareness raised of LGUs, WSPs, and community on a) WSP responsibilities; b) Customer service code; c) KPIs and standards; d) tariff setting and regulation; e) management and operations options/ alternatives; and a) Sanitation.	1 national IEC plan; 36 localized IEC plans; Level 4 (high) level Of awareness of LGUs, WSPs, and community by 2012	Level 2 (low) awareness of LGUs, WSPs and communities

ANNEX 5: MDG-F 1919 Financial Delivery as at 31 March 2013

	AMOUNT (in US\$)			RATE		
	UNDP	UNICEF	TOTAL	UNDP	UNICEF	TOTAL
NEDA						
PMU	427,343	134,303	561,646	100%	66%	89%
Output 1.1		206,167	206,167		100%	100%
Output 1.2.1		187,262	187,262		100%	100%
Output 1.2.2	16,143	125,211	141,354	75%	100%	96%
Output 1.4*		163,220	163,220		100%	100%
Output 2.1.1	51,963		51,963	100%		100%
Output 2.4		120,565	120,565		100%	100%
Total	495,449	936,727	1,432,176	99%	93%	95%
DILG						
PMU			0			
Output 1.3	1,355,684		1,355,684	100%		98%
Output 2.1.2	973,774		973,774	105%		102%
Output 2.2	914,916		914,916	100%		100%
Output 2.3	167,181		167,181	100%		100%
Output 2.4		314,986	314,986		83%	83%
Total	3,411,555	314,986	3,726,541	101%	73%	98%
7% Indirect Support Cost	270,502	100,760	371,262	100%	100%	100%
JP	4,177,506	1,352,473	5,529,979	101%	88%	97.44%

Undisbursed Funds as at end of March 2013

Undisbursed			
	AMOUNT (in US\$)		
	UNDP	UNICEF	TOTAL
NEDA			
PMU	0	68,667	68,667
Output 1.1	0	0	0
Output 1.2.1	0	0	0
Output 1.2.2	5,416	0	5,416
Output 1.3			0
Output 1.4		0	0
Output 2.1.1	0		0
Output 2.4		0	0
Total	5,416	68,667	74,083
DILG			
Output 1.3	0	26,976	26,976
Output 2.1.2	-48,108		-48,108
Output 2.2	0		0
Output 2.3	0		0
Output 2.4	0.00	65,558	65,558
Total	-48,108	92,535	44,426
JP	-42,693	161,202	118,509

ANNEX 6: Basud, Camarines Norte: A Case Study

The municipality of Basud lies in the southernmost part of Camarines Norte in Region 5. It is bounded on the North by the municipalities of Daet and Mercedes, on the East by the shore of San Miguel and on the West by the municipality of San Lorenzo Ruiz. The total land area is 26,028 hectares (ha) of which 989 ha. are agricultural lands, 7,555 ha. are devoted to coconut, 5,790 ha. are second growth forest, 3,002 ha. are residual forests, and the rest are built up areas, brushwood, grasslands and other categories. Given this topography, the population of 38,023 depend mostly on farming with seasonal work and livestock raising as the next most important source of income.

Only 37% of the population in Basud's 29 barangays is covered by the 174 water facilities broken down as follows:

- Level 1: 161 facilities serving 32% of the population
- Level 2: 8 facilities serving 3% of the population, and
- Level 3: 5 facilities serving below 2% of the population (serving only 4 barangays)

The water service providers (WSP) in Basud are of two categories: the BLGU-managed water systems and the water-association-owned water systems. Data shows that there are 7 WSPs in 7 barangays, 5 of whom are BLGU- managed and 2 are association owned (SARUWASA and Tuaca BAWASA) but are managed by BLGUs. Five of the BAWASAs were organized under the auspices of MDGF 1919: BAWASA San Pascual, Tuaca, San Felipe, Caayunan and San Jose. Of these, BAWASA San Pascual availed of the MDGF 1919 Capacity-Building Program²⁰ and learned about bookkeeping, accounting, records management and the Local Customer Service Code (LCSC) which resulted in increasing the : 1) number of public faucets in Level 2 from 14-18; and household connections in Level 3 from 22 to 47; 2) the fees in Level 2 from P10 to P20 and in Level 3, from P20 to P50. It is also able to collect P2000 a month and earns an average annual income of P 96,000. BAWASA San Pascual used to be run solely by barangay or village officials but now it is run by its own set of officers serving for 5 years with re-election. It is now registered with the Department of Labor. BAWASA San Pascual believes that it can now mentor other BAWASAs such as those in Tuaca and Caayunan. Generally, BAWASAs in Basud have low capacity in organization and leadership; resources; management, functions and processes, tie-ups and alliance and enabling environment.²¹

The WATSAN Council of Basud is relatively new and while it has competent and capable members such as the Municipal Planning and Development Officer, the Municipal Engineer, the Municipal health Officer, the DILG officer, and representatives from NGOs and the Basud Government Workers Cooperative, it still needs to firm up its strategic vision, structure and plan of action.

The Basud Municipal Council passed a resolution approving the Municipal Water Supply, Sanitation and Sewerage Services Plan (MW4SP) and appropriated P350,000 for capacity-building and IEC activities. While Basud has received P10M from SALINTUBIG for the construction of its water

²⁰ Meeting with the officials of BAWASA San Pascual in Basud, Camarines Norte, May 27, 2013.

²¹ Basud Baseline Survey Report for the Municipality of Basud, Camarines Norte, p. 63

facilities, it needs P140M more for water to reach the town center or poblacion. Basud is a good example of a municipality mobilizing its own resources to fulfill its duty and obligation to provide water services to all its constituents. The municipal government will form an economic enterprise engaged in agri-industrial processing of coconut and pineapple; open an auction market ; and promote ecotourism.

The municipality of Bassud has shown how the rights based approach to water governance works to address the issue of accessibility, affordability and availability of quality water for all its constituents. On the one hand, the local government has assumed the responsibility of developing innovative investment mechanisms to raise resources for the construction of its water infrastructure. On the other hand, the community through the BAWASA has maximized opportunities to develop its capacity to operate and manage its water facilities by learning simple financial skills that will increase its membership, enhance collection of fees, upgrade the level of its water system and shoulder the cost of system repair and maintenance.

Sibagat, Agusan del Sur: A Case Study

Sibagat , a landlocked municipality in Agusan del Sur province in Mindanao is bounded on the north by Butuan City, on the south by the municipality of Bayugan, the East by the province of Surigao del Sur and in the west by the province of Agusan del Norte.²² It has a land area of 56,782 hectares that is highly suitable for agricultural crop production. It has a population of about 30,644 in 2010²³ and considered a first class municipality but the incidence of poverty remains high at 70% and extreme poverty at 14.7%. It has 24 predominantly rural barangays with only 1 barangay categorized as urban. Only 45% of the population has access to water services: Level 1 ---4% users; Level 2 ---37%; and Level 3 ---4%. For levels 1 and 2, users travel more than 100 meters and spends more than 30 minutes to fetch water.²⁴ Level 1 (point source) is where there is a protected well or a developed spring with an outlet but without a distribution system; in Level 2 (communal faucet system or standposts) there is a piped distribution network with communal faucets; and level 3 (water works system or individual house connections) is a system with a source, a reservoir, a piped distribution network and household taps.²⁵

Sibagat was chosen as one of two municipalities in Region 13 or the CARAGA Region of Mindanao to be one of the beneficiaries of MDGF 1919 Water Program on “Enhancing Access to and Provision of Water Supply Services with the Active Participation of the Poor.” Based on the capacity assessment conducted by the Water Supply and Sanitation Unit (WSSU) of the Office of Project Development Services (OPDS) of the Department of Interior and Local Government (DILG) several steps were

²² Baseline Survey Report of the Municipality of Sibagat, Agusan del Sur, p. 30.

²³ <http://mdgf1919-salintubig.org.ph>

²⁴ <http://mdgf1919-salintubig.org.ph>

²⁵ Lasmarinas, Pollisco and Arcenas, “Review of the Programming Policies of the President’s Priority Program on Water (P3W), “ September 2011, p. 5.

taken to address the water problem in the municipality: 1) invigorated the Water and Sanitation Council (WATSAN); 2) capacity development of the small water service providers; 3) the drafting of the Municipal Water Sector Plan; 4) advocacy and communication at the local level; and 5) the formulation of the Local Customer Service Code (LCSC).

The organization of the WATSAN Councils was provided in the President's Priority Program on Water (P3W) of 2005. The primary aim of the P3W was to provide water infrastructure facilities to the 432 "waterless" municipalities in the country defined as those with less than 50% water supply coverage. Assistance from P3W to LGUs is contingent on organizing multi-sectoral WATSANs tasked with designing long-term water supply and sanitation plans. They also recommend policies and measures to generate resources and oversee the implementation of the water and sanitation plans.

DILG through its capacity development program, helped re-energize the WATSAN Council of Sibagat which resulted in the following: 1) more than 4% of its 20% Development Fund was appropriated for water in the last two years, increasing its allocation from P755,000 to P 1.2 M; 2) provided needed data for the formulation of the Municipal Water Supply and Sanitation Services Sector Plan (MW4SP); 3) identified 4 SALINTUBIG sites/beneficiaries; and 4) facilitated the project design and source identification for the Technical Working Group.²⁶

In Sibagat, there are three types of small-scale water service providers: 1) the barangay-managed or administered water facility such as the San Vicente-Ilihan Barangay Water and Sanitation Association (SIWASA); 2) the Water District; and 3) the Cooperative Water Service Provider such as the Tag-oyango Multi-Purpose Cooperative and the Agfa Water Service Association.

SIWASA manages and operates the water system in San Vicente and Ilihan, that has one unit reservoir and one unit spring box with 40 tap stands serving 388 households. It is run by a set of officers elected by the General Assembly that includes the Chairperson, the Vice-Chairperson, the treasurer, and the secretary for operation and maintenance. It has also a Board of Directors composed of 9 members. For facility maintenance, it hired a plumber and caretaker.

SIWASA is guided in its work by the Local Customer Service Code (LCSC)²⁷, a document that serves as a binding social contract between itself as a service provider and its members as consumers. Discussed and approved in June, 2010, the LCSC defines the rights and responsibilities of both parties. For example, while the service provider has the right to collect and levy water tariffs in accordance with agreements with its customers, it has the responsibility to ensure adequate supply of water and properly maintain water sources and facilities at all times. On the other hand, while the customers have the right to adequate, safe and potable water, they have the responsibility to pay appropriate tariffs on time and comply with utility rules and policies.²⁸ SIWASA cites the following gains from the LCSC among others: 1) increase in collection efficiency from 40% to 92% ; 2) decrease

²⁶ Reine Borja-Reyes, "Documentation on Results, Good Practices and Lessons Learned," April, 2013, p. 13

²⁷ With the leadership of the National Water Resources Board (NWRB) and DILG, all 36 municipalities covered by MDGF 1919

²⁸ "Bridging Interests of Service Providers and Customers for Sustainable Water Supply Services," MDG Achievement Fund in the Philippines.

in water-borne diseases; and 3) improved quality and availability of water supply. NWRB as responsible party to DILG provided the training to SIWASA for the formulation and implementation of the LCSC.

Another water service provider in Sibagat is the Water District, a government-owned and controlled corporation (GOCC) which is supervised by the Local Water Utilities Administration (LUWA) and mandated to provide Level 3 water supply systems within the districts. The water district in Sibagat inherited 200 concessionaires from the local government unit. To enhance the capacity of the Water District, the “godfather” scheme, an informal mentoring or coaching system was used where a bigger, more capable water district like Bayugan Water District coached the Sibagat Water District on various aspects of water supply provision such as financial and accounting skills, administration and management, and operations and maintenance. It has now increased the number of its concessionaires to 397.

Finally, there are the cooperatives like the Tag-oyango Multi-Purpose Cooperative and the Afga Water Service Association. Both of them were organized before MDGF 1919: Tag-oyango was established in 1993 but hibernated until a water system was set up in 2004. Afga on the other hand was a BAWASA until MDGF 1919 when it started operating as a water cooperative. Through the capacity-building program of DILG, Tag-oyango learned how to prepare a strategic plan, record keeping, bookkeeping and financial reporting. It was able to increase collection and among its customers added 70 more households. Though it does not use the LCSC now, it is planning to do so in August. There is active participation of both women and indigenous people in the Board composed of 7 members, 3 of whom are women.

The Afga Water Service Association (AWASCO) is formerly a BAWASA but it was not functioning well. It is now organized as a cooperative with a Board of 5 members and supported by 7 Committees. It has availed of the training provided by DILG and was able to formulate its own LCSC. It collects water tariffs at the end of every month: P 50 for Level 2 and P 100 for about 30 Level 3 customers.

Sibagat now provides 80% of its population with water compared to 64% in 2010.

ANNEX 7: EVALUATION TERMS OF REFERENCE

1. General Context: The MDGF Democratic Economic Governance (DEG) Window

In December 2006, the UNDP and the Government of Spain signed a major partnership agreement for the amount of €528 million with the aim of contributing to progress on the Millennium Development Goals (MDGs) and other development goals through the United Nations System. In addition, on 24 September 2008 Spain pledged €90 million towards the launch of a thematic window on Childhood and Nutrition. The MDG-F support joint programmes that seek replication of successful pilot experiences and impact in shaping public policies and improving peoples' life in 50 countries by accelerating progress towards the MDGs and other key development goals.

The MDG-F operates through the UN teams in each country, promoting increased coherence and effectiveness in development interventions through collaboration among UN agencies. The Fund uses a joint programme mode of intervention and has currently approved 130 joint programs in 50 countries. These reflect eight thematic windows that contribute in various ways towards progress on the MDGs, National Ownership and UN reform.

The Democratic Economic Governance (DEG) thematic window aims to contribute to a reduction in poverty and vulnerability in eligible countries by supporting interventions that improve environmental management and water supply and sanitation services provision at the national and local levels through promotion of good governance.

The Window includes 11 joint programmes that encompass a wide range of subjects and results. These programmes focus mainly on strengthening the government's capacity to manage water provision and water quality, including citizens, especially the poorest, in plans and policies regarding water, and increasing financial investments in the water provision sector.

These efforts contribute directly to meeting the MDG target of halving the proportion of people without sustainable access to safe drinking water by 2015, one of the targets of MDG 7.

The joint programmes within this thematic window serve a variety of participants²⁹, ranging from national and local governments to community-based organizations. All joint programmes include a support component directed at national and local governments. Other participants include civil society, communities and citizens.

The MDG-F M&E Strategy

A result oriented monitoring and evaluation strategy is under implementation in order to track and measure the overall impact of this historic contribution to the MDGs and to multilateralism. The MDG-F M&E strategy is based on the principles and standards of UNEG and OEDC/DAC regarding evaluation quality and independence. The strategy builds on the information needs and interests of the different stakeholders while pursuing a balance between their accountability and learning purposes.

²⁹ It refers to what previously was named beneficiaries

The strategy's main objectives are:

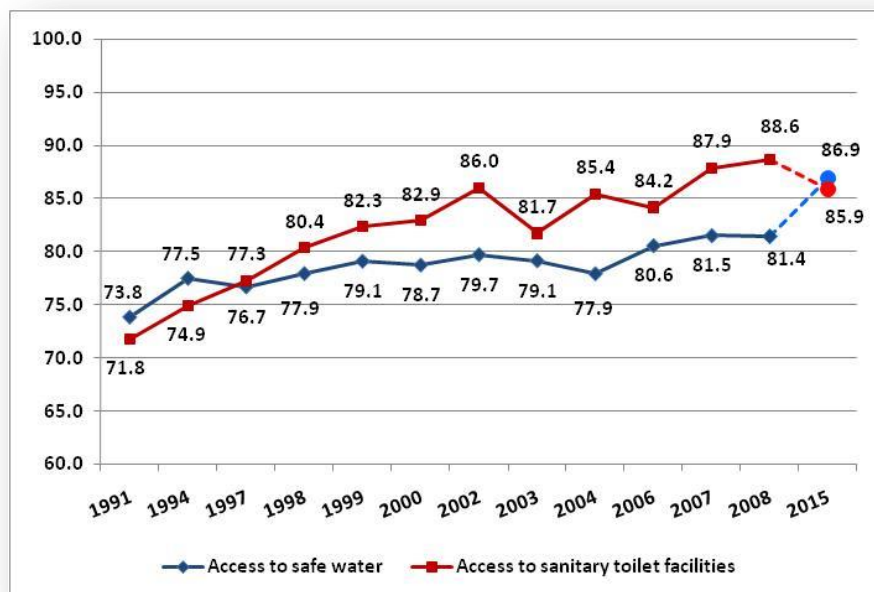
1. To support joint programmes to attain development results;
2. To determine the worth and merit of joint programmes and measure their contribution to the 3 MDG-F objectives, MDGS, Paris Declaration and Delivering as one; and
3. To obtain and compile evidence based knowledge and lessons learned to scale up and replicate successful development interventions.

Under the MDG-F M&E strategy and Programme Implementation Guidelines, each programme team is responsible for designing an M&E system, establishing baselines for (quantitative and qualitative) indicators and conducting a final evaluation with a summative focus.

The MDG-F Secretariat also commissioned mid-term evaluations for all joint programmes with a formative focus. Additionally, a total of nine-focus country evaluations (Ethiopia, Mauritania, Morocco, Timor-Leste, Philippines, Bosnia-Herzegovina, Brazil, Honduras and Ecuador) are planned to study more in depth the effects of joint programmes in a country context.

The Joint Programme on DEG in the Philippines

The Philippines 2010 Millennium Development Goals (MDGs) Achievement Report stated that there is medium probability of achieving the target on halving the population without access to safe and clean drinking water by 2015. Latest statistics show that while water supply coverage has been increasing in recent years, growth has been inconsistent with a slight decreasing registering from 2007 to 2008.



The report affirms the assessment of the Philippine Water Supply Sector Roadmap (PWSSR) that there are many factors hampering the achievement of the water supply target, including the lack of a cohesive policy brought about by the lack of a single driver in the sector, as well as the lack of capacities at the local level to ensure the effective and sustainable delivery of water services.

The Joint Programme on Enhancing Access to and Provision of Water Services with the Active Participation of the Poor, also referred as JP in this document, was approved in February 2008. Originally, the JP was to be implemented over a three year period (June 2009- May 2012). In March 2012, the JP was granted a 6-months no-cost extension for the conduct of the JP's final evaluation. At the same time, the JP was offered by the MDG-F Secretariat an additional US\$300,000 grant assistance for the crystallization of the JP results through systematization of the pilot experience, consolidation of partnerships and advocacy for enabling policies, and replication and scale up of the JP initiatives. Acknowledging that the crystallization activities will require an additional extension for implementation, the JP was granted a 7-months extension to complete all its activities (excluding the final evaluation). This is on top of the 6-months no-cost extension approved for the final evaluation. In view of these extensions, the JP will officially close in June 2013.

The JP focused on assisting LGUs and water service providers address the above key strategic issues directly affecting the achievement of the MDG target on water supply by pursuing the following outcomes, to wit:

- Recommending policy reforms that will encourage investment in poor waterless municipalities; and
- Enhancing local capacities to plan for, design, implement, operate and maintain, and manage water supply systems.

The JP is implemented in partnership with three government institutions (NEDA, DILG, and NWRB), two UN organizations (UNDP and UNICEF) and 36 local government units (LGUs) in 12 provinces in Regions 2 (Cagayan Valley), 5 (Bicol Region), 9 (Zamboanga), 10 (Northern Mindanao) and 13 (CARAGA Region). The implementation of various JP activities further entailed the active involvement as responsible/contracted partners 6 academic institutions, 5 civil society partners and 3 national government agencies (NGAs). Other academic institutions (at least 12), civil society groups (at least 3), NGAs and private sector entities have also been involved in a minor capacity.

The management arrangement of the JP consists of close collaboration, to the extent possible, between organic staffs from both the Government and the United Nations. Working with mandated agencies who, eventually, will apply what they have gained from the JP is an integral part of the JP's sustainability strategy. Below is an illustration of the management structure, followed by a table of the staff structure.

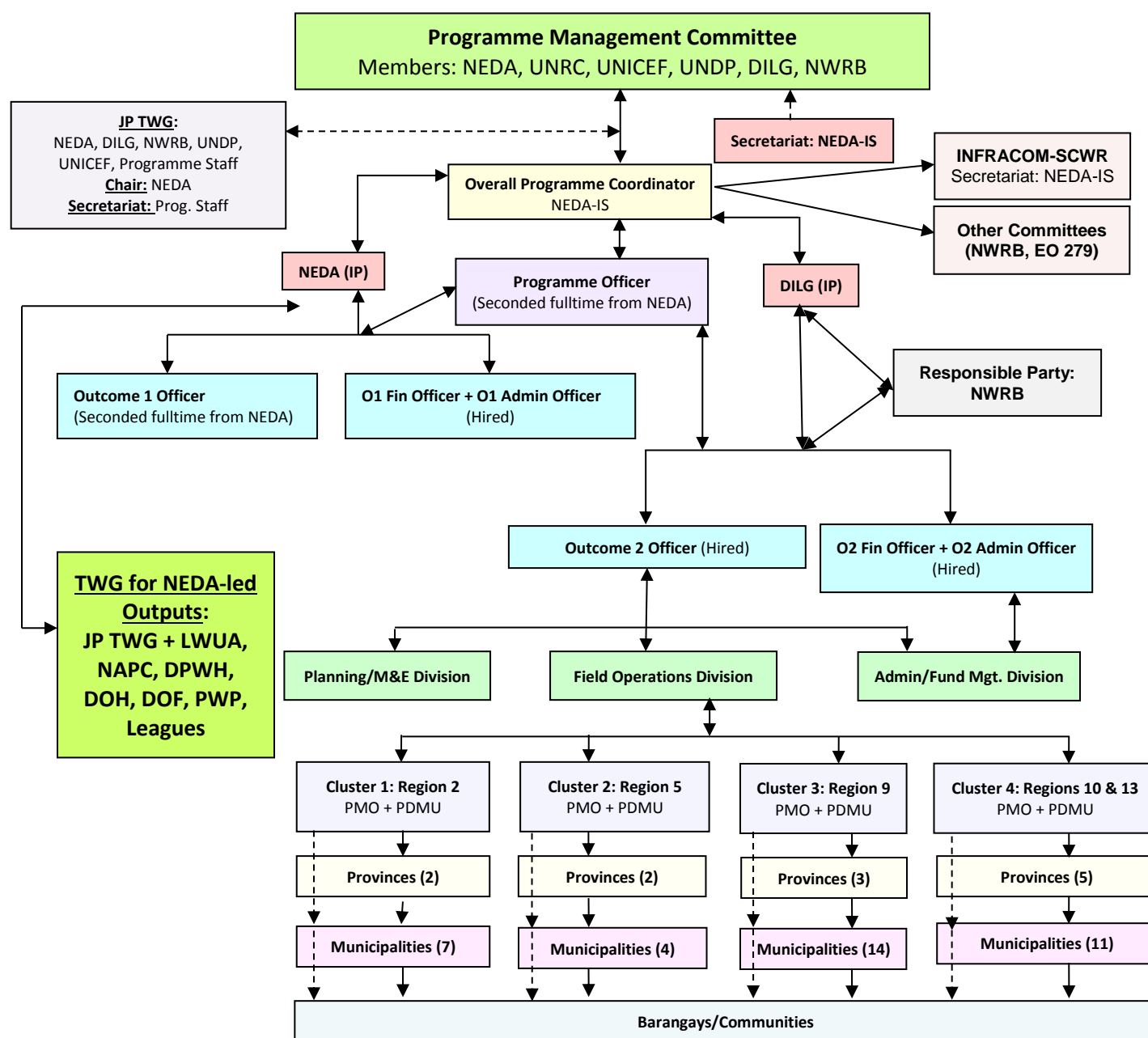
Table 1. Staff Structure

Agency	Staff/Number	Type
<i>NEDA</i>	<i>National Focal Point and Programme Coordinator - 1</i>	<i>NEDA organic</i>
	<i>Programme Officer - 1</i>	<i>Programme hired, full-time (Seconded)</i>
	<i>Outcome Officer - 1</i>	<i>Programme hired, full time (Seconded)</i>
	<i>Finance Officer - 1</i>	<i>Programme hired, full time</i>
	<i>Administrative Officer- 1</i>	<i>Programme hired, full time</i>
	<i>Driver/Utility - 1</i>	<i>Programme hired, full time</i>
	<i>Technical Staff - 8</i>	<i>NEDA, on-call</i>
<i>DILG</i>	<i>Outcome Officer - 1</i>	<i>Programme hired, full time</i>
	<i>Finance Officer - 1</i>	<i>Programme hired, full time</i>

	<i>Administrative Officer - 1</i>	<i>Programme hired, full time</i>
	<i>Regional Coordinators - 4</i>	<i>DILG</i>
	<i>DILG Regional Focal Persons - 5</i>	<i>DILG Regional Offices</i>
	<i>Technical Staff - 10</i>	<i>DILG, on-call</i>
<i>NWRB</i>	<i>Technical Staff - 3</i>	<i>NWRB, on-call</i>
<i>UNDP</i>	<i>Technical Staff - 3</i>	<i>UNDP, on-call</i>
<i>UNICEF</i>	<i>Technical Staff - 3</i>	<i>UNICEF, on-call</i>

Figure 1. JP Management Structure

Programme Management Unit



JP TWG: Core TWG undertakes JP work planning, budgeting, report preparation, and technical level discussions on implementation concerns.

TWG: Expanded TWG to review outputs/deliverables (e.g., policy study reports, IEC plan) of experts hired under the JP.

Regional Coordinators for 4 Clusters are hired in Manila but based in the regions supervise region-led activity implementation, and coordinate and facilitate activities of IPs, RP and experts at the local level.

Programme Staff: Programme Officer (NEDA), Outcome Officers (NEDA & DILG), Finance Officers (NEDA & DILG), Admin Officers (NEDA & DILG)

The commissioner of the evaluation is seeking high-qualified consultants to conduct the final evaluation, of this JP.

2. OVERALL GOAL OF THE EVALUATION

One of the roles of the MDG-F Secretariat is to monitor and evaluate the MDG-F. This role is fulfilled in line with the instructions contained in the Monitoring and Evaluation Strategy and the Implementation Guide for Joint Programmes under the Millennium Development Goals Achievement Fund. These documents stipulate that all joint programmes will commission and finance a final independent evaluation.

Final evaluations are summative in nature and seek to:

1. Measure to what extent the JP has delivered outputs and attained outcomes, i.e., development results; and
2. Generate substantive evidence based knowledge, on one or more of the MDG-F thematic windows by identifying best practices and lessons learned that could be useful to other development interventions at national (scale up) and international level (replicability).

As a result, the findings, conclusions and recommendations generated by these evaluations will be part of the thematic window Meta evaluation, the MDG-F Secretariat is undertaking to synthesize the overall impact of the fund at national and international level.

3. SCOPE OF THE EVALUATION AND SPECIFIC OBJECTIVES

The final evaluation will cover the implementation of the MDG-F Joint Programme on Enhancing Access to and Provision of Water Services with the Active Participation of the Poor, also referred here as the JP. It will focus on measuring development results and potential impacts generated by the JP, based on the scope and criteria included in these terms of reference. This will enable conclusions and recommendations for the JP to be formed within a period between four and six months.

The unit of analysis or object of study for this evaluation is the JP, understood to be the set of components, outcomes, outputs, activities and inputs that were detailed in the JP document and in associated modifications made during implementation.

In the context of enhancing the potential of the beneficiary LGUs in accessing funds for water supply investments and/or deliver improved and sustained services, this final evaluation has the following specific objectives:

1. Measure to what extent the JP has contributed to solve the needs and problems identified in the design phase.
2. Measure the JP's degree of implementation, efficiency and quality delivered on outputs and outcomes, against what was originally planned or subsequently officially revised.
3. Measure to what extent the JP on water governance has attained development results to the targeted population, beneficiaries, participants whether individuals, communities, institutions, etc.

4. Measure the JP's contribution to the objectives set in their respective specific thematic windows as well as the overall MDG fund objectives at local and national level. (MDGs, Paris Declaration and Accra Principles and UN reform).
5. Identify and document substantive lessons learned and good practices on the specific topics of the thematic window, MDGs, Paris Declaration, Accra Principles and UN reform with the aim to support the sustainability of the JP or some of its components.

4. EVALUATION QUESTIONS, LEVELS OF ANALYSIS AND EVALUATION CRITERIA

The evaluation questions define the information that must be generated as a result of the evaluation process. The questions are grouped according to the criteria to be used in assessing and answering them. These criteria are, in turn, grouped according to the three levels of the programme.

Design level:

- **Relevance: The extent to which the objectives of a development intervention are consistent with the needs and interest of the people, the needs of the country and the Millennium Development Goals.**
 - a) To what extent was the design and strategy of the development intervention relevant (assess including link to MDGs, UNDAF and national priorities, stakeholder participation, national ownership design process)?
 - b) How much and in what ways did the JP contribute to solve the (socio-economical) needs and problems identified in the design phase?
 - c) To what extent was the JP designed, implemented, monitored and evaluated jointly?
 - d) To what extent was joint programming the best option to respond to development challenges stated in the programme document?
 - e) To what extent the implementing partners participating in the JP had an added value to solve the development challenges stated in the programme document?
 - f) To what extent did the JP have a useful and reliable M&E strategy that contributed to measure development results?
 - g) To what extent did the JP have a useful and reliable communication and advocacy (C&A) strategy?
 - h) If the programme was revised, did it reflect the changes that were needed? Did the JP follow the mid-term evaluation recommendations on the programme design?

Process level

- **Efficiency: Extent to which resources/inputs (funds, time, human resources, etc.) have been turned into results**
 - a) To what extent did the JP's management model (i.e. instruments; economic, human and technical resources; organizational structure; information flows; decision-making in management) was efficient in comparison to the development results attained?
 - b) To what extent was the implementation of a JP intervention (group of agencies) more efficient in comparison to what could have been through a single agency's intervention?
 - c) To what extent the governance of the fund at program level (PMC) and at national level (NSC) contributed to efficiency and effectiveness of the JP? To what extent these

governance structures were useful for development purposes, ownership, for working together as one? Did they enable management and delivery of outputs and results?

- d) To what extent and in what ways did the JP increase or reduce efficiency in delivering outputs and attaining outcomes?
- e) What type of work methodologies, financial instruments, business practices have the implementing partners used to increase efficiency in delivering as one?
- f) What was the progress of the JP in financial terms, indicating amounts committed and disbursed (total amounts and as percentage of total) by agency? Where there are large discrepancies between agencies, these should be analyzed.
- g) What type of (administrative, financial and managerial) obstacles did the JP face and to what extent have this affected its efficiency?
- h) To what extent and in what ways did the mid-term evaluation have an impact on the JP? Was it useful? Did the JP implement the improvement plan?

- Ownership in the process: Effective exercise of leadership by the country's national/local partners in development interventions

- a) To what extent did the targeted population, citizens, participants, local and national authorities made the programme their own, taking an active role in it? What modes of participation (leadership) have driven the process?
- b) To what extent and in what ways has ownership or the lack of it, impacted in the efficiency and effectiveness of the JP?
- c) To what extent did ownership lead to the use/application of JP outputs in regular processes of the institution? Were outputs treated as reference materials or were they applied/integrated as part of the enhancement of standard operation procedures or operational guidelines?
- d) To what extent did the participating UN organizations allowed their GOP partners to steer/drive the process in terms of determining strategic interventions that would complement their current efforts on water services provision and good governance? Was the GOP the main decision maker and exercised control over the resources, e.g., managed grant proceeds?

Results level

- Effectiveness: Extent to which the objectives of the development intervention have been achieved.

- a) To what extent did the JP contribute to the attainment of the development outputs and outcomes initially expected/stipulated in the programme document?
 - i. As the JP interventions are mainly on building capacities and developing tools, to what extent would these contribute to the attainment of the Millennium Development Goals at the local and national levels?
 - ii. To what extent and in what ways would the use of JP outputs contribute to the goals set in the thematic window?
 - iii. To what extent (policy, budgets, design, and implementation) and in what ways did the JP facilitated UN's adherence to the implementation of the principles of the Paris Declaration, in particular the principle of national ownership?
 - iv. To what extent and in what ways did the JP contribute to the goals of delivering as one at country level?

- v. What are the other expected and unplanned results and outcomes from activities of the JP?
- b) To what extent has the JP contributed to the advancement and the progress of fostering national ownership processes and outcomes (the design and implementation of National and Local Development Plans, Public Policies, UNDAF, etc)
 - c) To what extent were JP's outputs and outcomes synergistic and coherent to produce development results? What kinds of results were reached?
 - d) To what extent did the JP had an impact on the targeted citizens?
 - e) Have any good practices, success stories, lessons learned or transferable examples been identified? Please describe and document them.
 - f) What types of differentiated effects are resulting from the JP in accordance with the sex, race, ethnic group, rural or urban setting of the beneficiary population, and to what extent?
 - g) To what extent did the JP help to increase stakeholder/citizen dialogue and or engagement on development issues and policies?
 - h) To what extent and in what ways did the mid-term evaluation recommendations contribute to the JP's achievement of development results?

Sustainability: Probability of the benefits of the intervention continuing in the long term.

- a) To what extent did the JP decision making bodies and implementing partners have undertaken the necessary decisions and course of actions to ensure the sustainability of the effects of the programme?
- b) At local and national level:
 - i. To what extent did national and/or local institutions support the JP?
 - ii. Did these institutions show technical capacity and leadership commitment to keep working with the program or to scale it up?
 - iii. Have operating capacities been created, *enhanced*, and/or reinforced in national partners to ensure sustainability of JP outputs?
 - iv. Did the partners have sufficient financial capacity to keep up the benefits produced by the JP?
 - v. To what extent has the JP reached out to key local and national institutions?
- c) To what extent will the JP's outputs be replicable or scaled up at national or local levels?
- d) To what extent did the JP align itself with the National Development Strategies and/or the UNDAF?
- e) Does the JP have an exit strategy or sustainability plan that would work towards ensuring benefits will continue beyond the JP's life?

5. METHODOLOGICAL APPROACH

This final evaluation will use methodologies and techniques as determined by the specific needs for information, the questions set out in the TOR, and the availability of resources and the priorities of stakeholders. In all cases, consultants are expected to analyse all relevant information sources, such as reports, program documents, internal review reports, program files, strategic country development documents and related country documents wherein the JP may have contributed to, mid-term evaluations, and any other documents that may provide evidence on which to form judgements. Consultants are also expected to use interviews, surveys or any other relevant quantitative and/or qualitative tool as a means to collect relevant data for the final evaluation. The

evaluation team will make sure that the voices, opinions and information of targeted citizens/participants of the joint programme are taken into account.

The methodology and techniques to be used in the evaluation should be described in detail in the desk study report and the final evaluation report, and should contain, at minimum, information on the instruments used for data collection and analysis, whether these be documents, interviews, field visits, questionnaires or participatory techniques.

6. EVALUATION DELIVERABLES

The consultant is responsible for submitting the following deliverables to the commissioner and the manager of the evaluation:

- **Inception Report** (to be submitted within 15 days of the submission of all program documentation to the evaluation team)
This report will be 10 to 15 pages in length and will propose the methods, sources and procedures to be used for data collection. It will also include a proposed timeline of activities and submission of deliverables. The desk study report will propose initial lines of inquiry about the JP. This report will be used as an initial point of agreement and understanding between the consultant and the evaluation managers. The report will follow the outline stated in Annex 1.
- **Draft Final Report** (to be submitted within 15 days after the completion of the field visit, please send also to MDG-F Secretariat)
The draft final report will contain the same sections as the final report (described in the next paragraph) and will be 20 to 30 pages in length. This report will be shared among the evaluation reference group. It will also contain an executive report of no more than 5 pages that includes a brief description of the JP, its context and current situation, the purpose of the evaluation, its methodology and its main findings, conclusions and recommendations. The final report will be shared with evaluation reference group and MDG-F Secretariat to seek their comments and suggestions. This report will contain the same sections as the final report, described below.
- **Final Evaluation Report** (to be submitted within 5 days after reception of the draft final report comments, please send also to MDG-F Secretariat)
The final report will be 20 to 30 pages in length. It will also contain an executive summary of no more than 5 pages that includes a brief description of the joint programme, its context and current situation, the purpose of the evaluation, its methodology and its major findings, conclusions and recommendations. The final report will be sent to the evaluation reference group. This report will contain the sections establish in Annex 2.

7. EVALUATION REPORT QUALITY STANDARDS

The following UNEG standards should be taken into account when writing all evaluation reports³⁰:

³⁰ See UNEG Guidance Document “Standards for Evaluation in the UN System”, UNEG/FN/Standards (2005).
http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=22

- a. The final report should be logically structured, containing evidence-based³¹ findings, conclusions, lessons and recommendations and should be free of information that is not relevant to the overall analysis (S-3.16).
- b. A reader of an evaluation report must be able to understand: the purpose of the evaluation; exactly what was evaluated; how the evaluation was designed and conducted; what evidence was found; what conclusions were drawn; what recommendations were made; what lessons were distilled (S-3.16).
- c. In all cases, evaluators should strive to present results as clearly and simply as possible so that clients and other stakeholders can easily understand the evaluation process and results (S-3.16).
- d. The level of participation of stakeholders in the evaluation should be described, including the rationale for selecting that particular level (S-4.10).
- e. The Executive Summary should “stand alone”, providing a synopsis of the substantive elements of the evaluation. The level of information should provide the uninitiated reader with a clear understanding of what was found and recommended and what was learned from the evaluation (see Outline in Annex 2 for more details) (S-4.2).
- f. The JP should be clearly described (as short as possible while ensuring that all pertinent information is provided). It should include the purpose, logic model, expected results chain and intended impact, its implementation strategy and key assumptions. Additional important elements include: the importance, scope and scale of the JP; a description of the recipients/intended beneficiaries and stakeholders; and budget figures (S-4.3).
- g. The role and contributions of the UN organizations and other stakeholders to the JP should be clearly described (who is involved, roles and contributions, participation, leadership) (S-4.4).
- h. In presenting the finding, inputs, outputs and outcomes/impacts should be measured to the extent possible (or an appropriate rationale given as to why not). The report should make a logical distinction in the findings, showing the progression from implementation to results with an appropriate measurement (use benchmarks when available) and analysis of the results chain (and unintended effects), or a rationale as to why an analysis of results was not provided. Findings regarding inputs for the completion of activities or process achievement should be distinguished clearly from outputs, outcomes (S-4.12).
- i. Additionally, reports should not segregate findings by data source (S-4.12).
- j. Conclusions need to be substantiated by findings consistent with data collected and methodology, and represent insights into identification and/or solutions of important problems or issues (S-4.15).
- k. Recommendations should be firmly based on evidence and analysis, be relevant and realistic, with priorities for action made clear (S-4.16).
- l. Lessons, when presented, should be generalized beyond the immediate subject being evaluated to indicate what wider relevance they might have (S-4.17).

8. KEY ROLES AND RESPONSABILITIES IN THE EVALUATION PROCESS

There will be 3 main actors involved in the implementation of MDG-F final evaluations:

³¹ Using evidence implies making a statement based on valid and reliable facts, documents, surveys, triangulation of informant’s views or any other appropriate means or techniques that contribute to create the internal validity of the evaluation. It is not enough to just state an informed opinion or reproduce an informant’s take on a specific issue.

1. The **Resident Coordinator Office** as **commissioner** of the final evaluation will have the following functions:
 - Lead the evaluation process throughout the 3 main phases of a final evaluation (design, implementation and dissemination);
 - Convene the evaluation reference group;
 - Lead the finalization of the evaluation ToR;
 - Coordinate the selection and recruitment of the evaluation team by making sure the lead agency undertakes the necessary procurement processes and contractual arrangements required to hire the evaluation team;
 - Ensure the evaluation products meet quality standards (in collaboration with the MDG-F Secretariat);
 - Provide clear specific advice and support to the evaluation manager and the evaluation team throughout the whole evaluation process;
 - Connect the evaluation team with the wider program unit, senior management and key evaluation stakeholders, and ensure a fully inclusive and transparent approach to the evaluation;
 - Take responsibility for disseminating and learning across evaluations on the various joint programme areas as well as the liaison with the National Steering Committee;
 - Safeguard the independence of the exercise, including the selection of the evaluation team; and
 - Endorse the final report to the MDG-F Secretariat.
2. The **programme coordinator** as **evaluation manager** will have the following functions:
 - Contribute to the finalization of the evaluation TOR;
 - Provide executive and coordination support to the reference group;
 - Provide the evaluators with administrative support and required data;
 - Liaise with and respond to the commissioners of evaluation;
 - Connect the evaluation team with the wider programme unit, senior management and key evaluation stakeholders, and ensure a fully inclusive and transparent approach to the evaluation;
 - Review the inception report and the draft evaluation report(s); and
 - Ensure that adequate funding and human resources are allocated for the evaluation
3. The **Programme Management Committee** will approve the documents that will emanate from the evaluation reference group (ERG). The group will be comprised of representatives from the implementing parties, e.g., NEDA, DILG, NWRB, UNDP, and UNICEF. The ERG will have the following functions:
 - Review the draft evaluation report and ensure final draft meets the required quality standards;
 - Facilitate the participation of those involved in the evaluation design;
 - Identify information needs, defining objectives and delimiting the scope of the evaluation;
 - Provide input and participate in finalizing the evaluation ToR;

- Facilitate the evaluation team's access to all information and documentation relevant to the intervention, as well as to key actors and informants who should participate in interviews, focus groups or other information-gathering methods;
- Oversee progress and conduct of the evaluation and ensure the quality of the process and the products; and
- Disseminate the results of the evaluation

The proposed composition of the ERG is as follows:

1. Jenny Galorport – DILG-OPDS
2. Ulritz Uzein Corcuera – NEDA-Infrastructure Staff
3. Belen Juarez – NWRB
4. Emmanuel Buendia – UNDP (alternate: Pamela Grafilo)
5. Tim Grieve – UNICEF (alternate: Kathleen Solis)
6. Fernando Calabazon III – DILG Region 2
7. Renato Bolon – DILG Region 5
8. M. Ali Hasan – DILG Region 9
9. Marisia Naybe – DILG Region 10
10. Renelou Jaranilla – DILG Region 13
11. Kathleen Mangune – MDG-F 1919 Programme Officer
12. Fe Crisilla Banluta – MDG-F 1919 Outcome Officer

4. **The MDG-F Secretariat** that will function as a **quality assurance member** of the evaluation in cooperation with the commissioner of the evaluation, and will have the following functions:
 - Review and provide advice on the quality of the evaluation process, the evaluation products (comments and suggestions on the adapted ToR, draft reports, final report of the evaluation), and options for improvement.
5. **The evaluation team** will conduct the evaluation study by:

Fulfilling the contractual arrangements in line with the TOR, UNEG/OECD norms and standards and ethical guidelines; this includes developing an evaluation matrix as part of the inception report, drafting reports, and briefing the commissioner and stakeholders on the progress and key findings and recommendations, as needed